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Document Title: Assessment of Administrative Data on Elder Abuse, Mistreatment, and Neglect:
Final Technical Report

Authors: Kamala Mallik-Kane, MPH, Urban Institute
Janine Zweig, Ph.D., Urban Institute
Carla Vasquez-Noriega, Urban Institute
Rachel E. Morgan, Ph.D., Bureau of Justice Statistics

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Abstract

Traditional crime statistics underestimate the occurrence of elder abuse and lack the detail required to fully understand and prevent this form of victimization. Because Adult Protective Services (APS) agencies are often first responders to elder abuse, this study examined the use of APS data as an alternative metric to monitor the scope of the problem and plan for future needs as the U.S. population ages. The study identified a set of key indicator statistics, developed a taxonomy to uniformly measure elder abuse, and surveyed APS agencies to assess their data system capacity to generate key indicator statistics. The study found both potential for and challenges to compiling APS-based elder abuse statistics across states because of variation in elder abuse laws, agencies' investigative jurisdictions, and data system capacity.

Disclaimer

The Bureau of Justice Statistics funded this third-party report. It is not a BJS report and does not release official government statistics. The report is released to help inform interested parties of the research or analysis contained within and to encourage discussion. BJS has performed a limited review of the report to ensure the general accuracy of information and adherence to confidentiality and disclosure standards. Any statistics included in this report are not official BJS statistics unless they have been previously published in a BJS report. Any analysis, conclusions, or opinions expressed herein are those of the authors and do not necessarily represent the views, opinions, or policies of the Bureau of Justice Statistics or the U.S. Department of Justice.

Caveat

This third-party report was completed in 2017. Since then, federal agencies cited in the report have conducted additional work to improve the collection of data from Adult Protection Services (APS) agencies and the measurement of elder abuse. Please refer to these federal agencies for updated information on this topic.

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Kamala Mallik-Kane, MPH
Janine Zweig, Ph.D.
Carla Vasquez-Noriega

The Urban Institute
2100 M Street, NW
Washington, DC 20037

Rachel E. Morgan, Ph.D.

Bureau of Justice Statistics
810 Seventh Street, NW
Washington, DC 20531

Abstract

Traditional crime statistics underestimate the occurrence of elder abuse and lack the detail required to fully understand and prevent this form of victimization. Because Adult Protective Services (APS) agencies are often first responders to elder abuse, this study examined the use of APS data as an alternative metric to monitor the scope of the problem and plan for future needs as the U.S. population ages. The study identified a set of key indicator statistics, developed a taxonomy to uniformly measure elder abuse, and surveyed APS agencies to assess their data system capacity to generate key indicator statistics. The study found both potential for and challenges to compiling APS-based elder abuse statistics across states because of variation in elder abuse laws, agencies' investigative jurisdictions, and data system capacity.

This document was prepared using federal funds provided by the Bureau of Justice Statistics (BJS), U.S. Department of Justice, under award number 2010-MU-MU-K072. Points of view in this document are those of the authors and do not necessarily represent the official position or policies of BJS or the U.S. Department of Justice. The BJS project manager was Rachel E. Morgan, Statistician, Victimization Statistics Unit.

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Executive summary

Background

Elder abuse, mistreatment, and neglect (EAMN) refers to a wide range of civil and criminal violations committed against elderly victims who may be physically or mentally vulnerable by caregivers, family members, or others in trusted positions. EAMN may include physical or sexual violence, emotional or psychological abuse, financial or material exploitation, caregiving neglect, or abandonment. EAMN is a growing concern as the baby boomer generation ages and the number of elderly persons in the U.S. population increases.

A lack of basic information on the rate of elder abuse in the United States has impeded policymakers' ability to document the scope of the problem, monitor changes over time, evaluate the effectiveness of system responses, design prevention strategies, and plan effectively for future service needs. A 2011 Government Accountability Office report identified four studies in the past two decades that attempted to estimate the prevalence of elder abuse nationwide. The most recent and frequently cited epidemiologic study of elder abuse estimates that 11 percent of persons age 60 and older residing in the community experienced at least one form of mistreatment, including current and potential neglect (5.1%) and emotional (4.6%), physical (1.6%), and sexual (0.6%) mistreatment (Acierno et al., 2009). Actual prevalence may be higher because the methodology relied on self-reports and excluded residents of long-term care institutions—some of the most vulnerable elders. Nevertheless, applying this 11 percent prevalence estimate to the 2010 U.S. Census Bureau's count of 40.3 million adults age 65 or older suggests that more than 4 million older Americans experience this form of abuse each year (Howden & Meyer, 2011). The number of victims is expected to increase as the U.S. population ages—in particular, the baby boomer generation born from 1946 to 1964.

Several federal agencies and national stakeholders have long highlighted the need for uniform national data to establish the prevalence of elder abuse, both known to Adult Protective Services agencies (APS) and criminal justice authorities and unreported. Data are also needed to measure system performance, make comparisons across jurisdictions, and monitor trends over time (ASPE, 2010; U.S. Government Accountability Office [GAO], 2011; National Academies Committee on National Statistics, 2010; Wood, 2006).

However, national, uniform, and comparative data on the incidence and prevalence of and responses to EAMN were not available. The response to EAMN occurred at the state and local levels primarily through APS agencies and also local law enforcement, state attorneys general, state health care licensing agencies, and state and local long-term care ombudsmen. The federal role in defining and responding to EAMN has been limited. State and local data are difficult to combine across jurisdictions due to differences among states' legal definitions of EAMN, reporting mechanisms for identifying cases, administrative structures for investigating and responding to reported cases, and systems for storing case information.

In 2010, the Bureau of Justice Statistics (BJS) awarded a grant to the Urban Institute (Urban) to examine available administrative data about EAMN as reported to APS agencies. It assesses the feasibility of using those data to report on key indicators of victimization and to distinguish between criminal and noncriminal acts.

Administrative data reflect known cases and working records of agencies as they conduct their routine operations. Because these data collections occur on an ongoing basis, they may be used economically to answer important policy questions. Administrative data are the working records of agencies as they conduct their routine operations. However, using administrative records for statistical, research, and policymaking purposes requires a thorough understanding of the underlying data systems and their limitations (Iwig et al., 2013).

BJS is interested in whether administrative data from APS agencies may augment current crime statistics about the victimization of older adults. Reporting to APS agencies, which perform needs assessments, service referrals, and civil investigations, may be more complete than reporting to police and other criminal justice agencies. Many elder care and elder abuse resources, including the Department of Justice's Elder Justice Initiative website, instruct concerned individuals to contact APS in the absence of an immediate, life-threatening emergency (DOJ, n.d.a). Because elder abuse often occurs within the context of familial or caregiving relationships, victims and other reporters may be reluctant to risk the arrest of the perpetrator by involving police out of affection for or loyalty to the perpetrator or fear of disrupting a caregiving relationship on which the victim may depend.

In comparison with police, victims may see APS agencies as a source of assistance rather than a source of punishment or getting in trouble. Also, because APS agencies typically investigate reports of self-neglect, they may detect underlying abuse or neglect that were heretofore unnoticed. Finally, APS data may be used to measure victimizations in long-term care facilities and other institutions that house vulnerable adults who are difficult to reach in population-based surveys of victimization. BJS's National Crime Victimization Survey (NCVS), for example, measures victimization in the U.S. civilian household population and excludes persons who live in institutions such as skilled nursing facilities. This results in an undercount of victimizations among older adults age 85 and older—11 of whom live in nursing homes (Morgan & Mason, 2014).

BJS focused on administrative data collected by APS because the majority of initial reports of suspected abuse, neglect, or exploitation of elderly individuals are submitted to APS agencies. For these potential victims, APS agencies are the first responders. Many cases referred to APS fall into a gray area of victimization not captured by other statistical data collections between the "dark figure" of unreported victimizations and the number of official offenses known to law enforcement. The percentage of APS referrals do not rise to the level of criminal victimization. This percentage is unknown because data are unavailable to make that assessment. Similarly, the proportion of APS cases referred to the criminal justice system for further processing is not well understood due to a lack of data and the need for a comprehensive assessment across APS agencies of the different ways in which each APS engages with law enforcement and local prosecutors. Additionally, BJS must understand how existing APS data systems may serve as an

alternative to other sources, such as police records and victimization surveys, to provide a more complete picture of victimization for this sometimes difficult-to-reach population.

Project objectives

The main objectives of this project were to—

- in collaboration with stakeholders and a diverse selection of experts across the elder justice field, determine a set of **key indicators** on which APS staff should collect data for each reported case of suspected abuse
- conduct **telephone interviews** with state-level APS representatives in every state and the District of Columbia to determine locations, level of centralization, and coverage of APS administrative data
- develop a **taxonomy** for counting incidents of elder abuse, distinguishing between acts of criminal and noncriminal nature
- administer a **web-based online survey** to assess existing APS administrative data on EAMN cases against core indicators and gauge comparability across jurisdictions
- **develop a broad understanding of APS agencies' current practices** related to detecting, reporting, and collecting data on alleged cases of EAMN and facilitate data aggregation and interpretation.

The first objective was to develop a list of key indicator statistics with stakeholders and experts in the elder justice field (**chapter 2**). Stakeholders within the Federal Interagency Working Group on Elder Abuse developed these indicators in a June 2013 meeting as a way to answer key substantive questions about the extent of EAMN in the United States. Key indicator statistics included data collected at multiple stages, or time points, in the lifecycle of an APS case: initial reports of suspected abuse, investigations opened, and cases substantiated.

Collectively, data from these stages measure potential and confirmed victimizations and may be used to calculate the “transition probabilities” of moving from one stage to the next in the investigative process. Three cohorts of data that APS agencies may maintain were—

- **Initial reports of suspected abuse** represent the most expansive way of collecting data on potential victimizations. These data represent all potential victimizations reported to APS agencies from a wide range of sources, including elders themselves, their family members, friends or acquaintances, and professionals such as health care workers, social service providers, and law enforcement officers.
- **Investigations opened** represent the subset of reports deemed appropriate for APS agencies to pursue as abuse investigations.
- **Investigation outcomes** indicate whether the APS agency substantiated (i.e., confirmed) allegations of abuse.

Key indicators about initial reports of suspected abuse reflect all potential victimizations, indicators about investigations reflect all reports deemed appropriate for APS to pursue (based on case and jurisdictional criteria), and indicators about cases substantiated reflect those reports deemed to be abuse. Due to APS agencies' data collection practices, it is necessary to delineate between data collected during the report and investigation stages. Some APS agencies gather

and maintain data on reports separately from investigations. Even when APS agencies track reports and investigations in an integrated data system, they collect limited information when receiving the initial report and gather more detailed data during the course of the investigation. As such, the assessment of available data for constructing key indicators depends on which stage the key indicator reflects and whether a given type of information was collected at that stage.

Second, state-level APS representatives conducted semi-structured telephone interviews in every state and the District of Columbia and determined their locations, level of centralization, and coverage of administrative data in each state (**chapter 3**). Telephone interviews were an important step for laying the groundwork and informing the online survey of state and local APS agencies (**chapter 5**). Results of this work indicated that 42 states administered APS at the state level, 7 states administered APS at the county level, 1 state reported a hybrid of state and county APS administration, and 1 state reported regional administration.

Most states had highly centralized APS data collection systems and used a single data system across their local jurisdictions to record information throughout the lifecycle of an APS case, from the initial report of suspected abuse through case findings. Given the high level of data centralization, future studies could be conducted mainly with state-level APS respondents. However, future studies also should include local-level respondents from the five states where APS data collection systems are more decentralized: California (all 58 counties), Delaware (all 3 counties), Idaho (all 6 regions), New Jersey (all 21 counties), and New York (1 city, New York City, as it maintains data independently from the rest of the state).

Third, a taxonomy for counting criminal and noncriminal acts was developed to guide the project's assessment on the extent to which APS data systems may be used to generate key indicators of victimization and criminal victimization (**chapter 4**). The taxonomy presents a working definition of elder abuse so that research and statistical data may be collected in a uniform manner across states and localities with different legal and programmatic definitions. Because elder abuse is a multidimensional phenomenon, any operational definition must account for offense, victim, and perpetrator characteristics, as described in detail below. The confluence of these three elements makes a particular victimization elder abuse. Absent these victim characteristics and relationship dynamics, the same acts may be described as assault, rape or sexual assault, theft, or fraud.

For criminal justice research and statistical purposes, elder abuse may be conceptualized as acts with specific behavioral criteria, committed against vulnerable older adults, and perpetrated by individuals whom the victim may trust. The taxonomy builds on definitions proposed by the Centers for Disease Control and Prevention (CDC). The CDC, like BJS, is a federal statistical agency that develops case definitions and collects epidemiologic data. To avoid duplication across federal agencies, this project adopted the CDC's detailed, behaviorally based descriptions of elder abuse acts and built on the victim and perpetrator attributes that characterize a given act as elder abuse.

Definitions and this taxonomy found support through a review of the literature and states' APS laws, policies, and practices (**chapter 4**). Certain acts of elder abuse may be severe enough to warrant criminal justice system intervention, and chapter 4 discusses criteria for distinguishing criminal and noncriminal acts of elder abuse.

Fourth, an online survey was administered to APS agency representatives to assess existing administrative data on EAMN cases against the set of core indicators and gauge comparability across jurisdictions (**chapter 5**). The survey compiled detailed information on APS agencies' data collection practices in 2015, including database structure, units of count, specific data elements collected, and other pertinent information about APS administrative data. Questions about data element availability asked whether victim, perpetrator, or incident attributes were recorded and, if so, the extent to which they were collected as structured database fields to facilitate ease of retrieval for statistical reporting. The survey also collected contextual information about APS agencies' definitions of abuse and scope of responsibility. This information helped to assess the comparability of case types and investigative scope across agencies to gauge the extent to which data may be appropriately aggregated and used to develop national estimates of elder abuse victimization.

Survey results confirmed earlier findings that APS data were highly centralized at the state level. Reported results focus on state APS agencies, as local level practices were reflective of three states. Nearly all state APS data systems collected detailed information about APS case investigations and substantiations in electronic databases, and more than three-quarters also gathered information about the initial report of suspected abuse. Agencies typically reported case-level information, but nearly half gathered information in hierarchical systems that would permit person- and case-level reporting.

Findings on data elements maintained by APS agencies described two dimensions of availability: whether the information was gathered in any form and the extent to which the information was available as a structured electronic data field. Data availability was characterized as high if 75% or more agencies maintained information as structured data, moderate when 50% to 74% maintained information as structured data, and low when fewer than 50% maintained the information as structured data. Although most APS agencies gathered information about case attributes needed to report key indicator statistics, the availability of information as structured database fields varied considerably.

Operationalizing Creating an operational definition of elder abuse requires a combination of victim, perpetrator, and incident information not uniformly available as structured electronic data. The availability of age and abuse type was high, but the availability of victim-perpetrator relationship information was moderate. Victim vulnerability information was rarely available as structured electronic data. APS agencies often stored this information in electronic case notes (i.e., free text). Survey findings were similar for other case attributes of interest (e.g., abuse location) and data elements needed to characterize abuse incidents as criminal (e.g., injury severity, capacity to consent, and legal caregiving responsibility). Although information on

location and these elements of criminality were gathered in electronic case notes, availability as structured data ranged from moderate to low.

The results from this project inform national efforts to produce key indicators of victimization and determine the feasibility for BJS to build a national data collection with the information currently available in APS data systems (**chapter 6**). Chapter 6 synthesizes findings to provide a broad understanding of APS agencies' current practices related to detecting, reporting, and collecting data on alleged cases of EAMN to facilitate data aggregation and interpretation. The chapter summarizes the advantages and challenges of using APS administrative data for statistical reporting and offers recommendations for future work in measuring elder victimization. These future efforts include opportunities for coordinating with other federal agencies to develop national statistics on elder abuse.

Chapter 1: Introduction

Why measure elder abuse?

Elder abuse, mistreatment, and neglect (EAMN) refers to a wide range of civil and criminal violations committed against elderly victims who may be physically or mentally vulnerable, by caregivers, family members, or others in trusted positions. EAMN may take the form of physical or sexual violence, emotional or psychological abuse, financial or material exploitation, caregiving neglect, or abandonment. EAMN is a growing concern as the “baby boom” generation born from 1946 to 1964 ages and the number of elderly persons in the U.S. population increases.

While elder abuse is a growing concern as the population of the United States ages, a lack of basic information impedes policymakers’ ability to document the scope of the problem, monitor changes over time, evaluate the effectiveness of system responses, design prevention strategies, and plan for future service needs. A 2011 Government Accountability Office report identified four studies in the past two decades that attempted to estimate the prevalence of elder abuse nationwide. The most recent and frequently cited epidemiologic study of elder abuse estimates that 11 percent of persons age 60 and older residing in the community experienced at least one form of mistreatment, including neglect (5.1%) and emotional (4.6%), physical (1.6%), and sexual mistreatment (0.6%) (Acierno et al., 2009). Actual prevalence may be higher because the methodology relied on self-reports and excluded residents of long-term care institutions—some of the most vulnerable older adults. Nevertheless, applying this 11 percent prevalence estimate to the 2010 U.S. Census Bureau’s count of 40.3 million adults age 65 and older suggests that more than 4 million older Americans experience this form of abuse each year (Howden & Meyer, 2011). The number of victims is expected to increase as the U.S. population ages—in particular, the baby boomer generation.

Several federal agencies and national stakeholders have long highlighted the need for uniform national data to establish the prevalence of elder abuse known to Adult Protective Services (APS) agencies and criminal justice authorities and unreported. Such data are also needed to measure system performance, make comparisons across jurisdictions, and monitor trends over time (ASPE, 2010; GAO, 2011; National Academies Committee on National Statistics, 2010; Wood, 2006).

However, national, uniform, and comparative data on the incidence and prevalence of and responses to EAMN were not available. The response to EAMN occurred at the state and local levels primarily through APS agencies and also local law enforcement, state attorneys general, state health care licensing agencies, and state and local long-term care ombudsmen. The federal role in defining and responding to EAMN was limited. State and local data were difficult to combine across jurisdictions due to differences among states’ legal definitions of EAMN, reporting mechanisms for identifying cases, administrative structures for investigating and responding to reported cases, and systems for storing case information.

National criminal justice system-based data collections were not designed to measure elder abuse. They do not contain the level of specificity needed to distinguish elder abuse from other forms of victimization committed against older adults, and they do not encompass the range of victimization types that make up elder abuse. Arrest information collected through the National Incident-Based Reporting System (NIBRS), administered by the Federal Bureau of Investigation, does not collect the fields needed to ascertain either the vulnerability of the older victim or the relationship with the alleged perpetrator. For example, the NIBRS includes a category of “babysittee” to describe the victim’s relationship to the offender, but there is no comparable category for an adult receiving caregiver assistance (Federal Bureau of Investigation, 2013). Like the NIBRS, the National Crime Victimization Survey (NCVS) lacks sufficient detail for identifying victimizations by nonfamily caregivers and fiduciaries (BJS, 2012). Moreover, the population-based NCVS does not collect information on the full range of elder abuse victimizations. The NCVS measures “nonfatal personal crimes (rape or sexual assault, robbery, aggravated and simple assault, and personal larceny) and household property crimes (burglary, motor vehicle theft, and other theft)” but does not collect information on emotional or psychological abuse, neglect, or the misappropriation of an older person’s financial resources (BJS, 2013).

Policymakers generally have two options for collecting comprehensive, national data on elder abuse: population-based surveys and administrative data. Population-based surveys are the “gold standard” for estimating the true prevalence of any condition known to APS and criminal justice authorities and unreported. Elder abuse, like other victimizations, is often underreported (Planty et al., 2013; Zweig et al., 2014). One study found that 1 in 14 incidents of abuse were reported to authorities, whereas another found that for every known case, another 24 went undetected (Bonnie & Wallace, 2003; Lifespan of Greater Rochester, 2011). However, population-based surveys are complex and costly undertakings, particularly when it comes to measuring elder abuse. In conducting their population-based epidemiologic survey, Acierno and colleagues (2009) noted that the most vulnerable or incapacitated elders may be unable to self-report, and proxy reports by family members or caregivers may be unreliable when the reporter may be a perpetrator of abuse. Acierno’s 2009 study is the most recent prevalence study and does not have a known planned update.

Administrative data reflect known cases and working records of agencies as they conduct their routine operations. Because these data collections occur on an ongoing basis, they may be used economically to answer important policy questions. Administrative data are the working records of agencies as they conduct their routine operations. Using administrative records for statistical, research, and policymaking purposes requires a thorough understanding of the underlying data systems and their limitations (Iwig et al., 2013).

In comparison to police, APS agencies are often the first responders to reports of suspected elder abuse (Teaster, 2006). Initial reports of alleged abuse are often made to APS abuse hotlines, and APS agencies receive reports from multiple sources, including private citizens, health care personnel, financial professionals, and law enforcement agencies. In emergencies, APS agencies are responsible for ensuring the immediate safety of victims and investigating

allegations of abuse. In some cases, they may provide long-term services and coordinate with other human services agencies and the criminal justice system (National Adult Protective Services Association [NAPSA] & National Association of States United for Aging and Disabilities [NASUAD], 2012). The U.S. Department of Health and Human Services has determined that administrative data from APS agencies would form the most comprehensive basis for a nationwide data system on known cases of elder abuse due to APS's central role in responding to, investigating, and serving victims of abuse (ASPE, 2010).

Need for current project

In 2010, the Bureau of Justice Statistics (BJS) awarded a grant to the Urban Institute (Urban) to examine available administrative data about EAMN as reported to APS agencies and assess the feasibility of utilizing those data to report on key indicators of victimization. This project focuses on distinguishing between criminal and noncriminal acts.

BJS is interested in whether administrative data from APS agencies may augment current crime statistics about the victimization of older adults. Reporting to APS agencies may be more complete than reporting to police and other criminal justice agencies. APS agencies perform needs assessments, service referrals, and civil investigations. Including the U.S. Department of Justice's Elder Justice Initiative website, many elder care and elder abuse resources instruct concerned individuals to contact APS in the absence of an immediate, life-threatening emergency (DOJ, n.d.a).

Elder abuse often occurs within the context of familial or caregiving relationships. Victims and other reporters may be reluctant to risk the perpetrator's arrest by involving police out of affection for or loyalty to the perpetrator or fear of disrupting a caregiving relationship on which the victim may depend. In comparison with police, victims may see APS agencies as a source of assistance than of punishment or getting in trouble. Also, because APS agencies typically investigate reports of self-neglect, they may detect underlying abuse or neglect that was previously unnoticed. Finally, APS data may be used to measure victimizations in long-term care facilities and other institutions that house vulnerable adults who are difficult to reach in population-based surveys of victimization. For example, BJS's NCVS measures victimization in U.S. civilian households and excludes persons who live in institutions such as skilled nursing facilities. This results in an undercount of victimizations among older adults age 85 and older—11 percent of whom live in nursing homes (Morgan & Mason, 2014).

Project objectives

The main objectives of this project were to—

- in collaboration with stakeholders and a diverse selection of experts across the field of elder justice, determine a set of **key indicators** on which APS staff should collect data for each reported case of suspected abuse

- conduct **telephone interviews** with state-level APS representatives in every state and the District of Columbia to determine locations, level of centralization, and coverage of APS administrative data
- develop a **taxonomy** for counting incidents of elder abuse, distinguishing between acts of criminal and noncriminal nature
- administer a **web-based online survey** to assess existing APS administrative data on EAMN cases against the core indicators and gauge comparability across jurisdictions
- **develop a broad understanding of APS agencies' current practices** related to detecting, reporting, and collecting data on alleged cases of EAMN and facilitate data aggregation and interpretation.

The first objective in this project was to develop a list of key indicator statistics with stakeholders and experts in the elder justice field (**chapter 2**). Stakeholders within the Federal Interagency Working Group on Elder Abuse developed these indicators in a June 2013 meeting as a way to answer fundamental questions about the extent of EAMN in the United States. Key indicators included statistics collected at multiple stages, or time points, in the lifecycle of an APS case: initial reports of suspected abuse, investigations opened, and cases substantiated.

Key indicators about **initial reports of suspected abuse** reflect all potential victimizations. Indicators about **investigations opened** reflect all reports deemed appropriate for APS to pursue based on case or jurisdictional criteria. Indicators about **cases substantiated** reflect those reports deemed to be abuse. Due to APS agencies' data collection practices, it is necessary to differentiate between data collected during the report and investigation stages. Some APS agencies gather and maintain data on reports separately from investigations. Even when APS agencies track reports and investigations in an integrated data system, they collect limited information when receiving the initial report and gather more detailed data during the course of the investigation. As such, assessing how to construct key indicators with available data depends on which stage the key indicator reflects and whether a given type of information was collected at that stage.

Next, semi-structured telephone interviews conducted with state-level APS representatives in every state and the District of Columbia were used to determine their locations, level of data centralization, and coverage of administrative data in each state (**chapter 3**). Results of this work indicated that 42 states administered APS at the state level, 7 states administered APS at the county level, 1 state reported a hybrid of state and county APS administration, and 1 state reported regional administration.

Most states had highly centralized APS data collection systems and used a single data system across their local jurisdictions to record information throughout the lifecycle of an APS case, from the initial report of suspected abuse through case findings. Given the high level of data centralization, future studies could be conducted mainly with state-level APS respondents. However, future studies should also include local-level respondents from the five states where APS data collection systems are more decentralized: California (all 58 counties), Delaware (all 3

counties), Idaho (all 6 regions), New Jersey (all 21 counties), and New York (1 city, New York City, as it maintains data independently from the rest of the state).

Third, a taxonomy for counting criminal and noncriminal acts was developed to guide the project's assessment of the extent to which APS data systems may be used to generate key indicators of victimization and criminal victimization (**chapter 4**). The taxonomy presents a working definition of elder abuse so that research and statistical data may be collected in a uniform manner across states and localities with different legal and programmatic definitions.

Fourth, an online survey was administered to APS agency representatives to assess existing administrative data on EAMN cases against core indicators and gauge comparability across jurisdictions (**chapter 5**). The survey compiled detailed information on APS agencies' data collection practices in 2015, including database structure, units of count, specific data elements collected, electronic data entry practices, and other pertinent information about APS administrative data. Results identify which of the key indicator statistics APS agencies may be able to provide. The survey also collected contextual information about APS agencies' definitions of abuse and scope of responsibility. This information illustrates the comparability of case types and investigative scope across agencies to gauge the extent to which data may be appropriately aggregated across agencies and used to develop national estimates of elder abuse victimization.

Together, all parts of this project provide a broad understanding of APS agencies' current practices related to detecting, reporting, and collecting data on alleged cases of EAMN to facilitate data aggregation and interpretation. Results inform national efforts to produce key indicators of victimization and help determine the feasibility for BJS to build a national data collection with the information currently available in APS data systems (**chapter 6**).

Chapter 2: Elder abuse, mistreatment, and neglect key indicators

In June 2013, the Bureau of Justice Statistics (BJS) and the Urban Institute (Urban) organized a meeting of the Federal Interagency Working Group on Elder Abuse to get feedback on a key set of indicators important to the field. Elder abuse stakeholders included persons from BJS and the Office for Victims of Crime of the U.S. Department of Justice; and the Administration for Community Living within the Administration on Aging, the Office of the Assistant Secretary of Planning and Evaluation, and the Office on Women’s Health of the U.S. Department of Health and Human Services. Stakeholders noted they are frequently asked about the prevalence of elder abuse and emphasized the importance of distinguishing elder abuse from the abuse of vulnerable adults of any age. Additionally, stakeholders asked for person- and case-level information to gauge victims’ risk factors and service needs and agencies’ responses and resource needs.

Key indicators included statistics collected at multiple stages in the lifecycle of an Adult Protective Services (APS) case: initial reports of suspected abuse, investigations opened, and cases substantiated. Key indicators about **initial reports of suspected abuse** reflect all potential victimizations. Indicators about **investigations opened** reflect all reports deemed appropriate for APS to pursue (based on case or jurisdictional criteria). Indicators about **cases substantiated** reflect those reports deemed to be abuse. Due to APS agencies’ data collection practices, it is necessary to delineate between data collected at the report and investigation stages. Some APS agencies gather and maintain data on reports separately from investigations. Even when APS agencies track reports and investigations in an integrated data system, they collect limited information when receiving the initial report and gather more detailed data during the course of the investigation. As such, the assessment of available data for constructing key indicators depends on which stage the key indicator reflects and whether a given type of information was collected at that stage.

Collectively, APS data from initial reports, investigations, and cases substantiated measure potential and confirmed elder abuse, mistreatment, and neglect (EAMN) victimizations. They may be used to calculate the “transition probabilities” of moving from one stage to the next in the investigative process. These three types of data that APS agencies may maintain are—

- **Initial reports of suspected abuse** represent the most expansive way of collecting data on potential EAMN victimizations. These data represent all potential victimizations reported to APS agencies from a wide range of sources, including victims themselves, their family members, friends or acquaintances, and professionals such as health care workers, social service providers, and law enforcement officers.
- **Investigations opened** represent the subset of reports deemed appropriate for APS agencies to pursue as abuse investigations.
- **Investigation outcomes** indicate whether the APS agency substantiated (i.e., confirmed) allegations of abuse.

Key indicator statistics include the—

- number of suspected victimizations reported to APS, which represents all potential victimizations known to APS
- percentage of suspected victimizations reported by the criminal justice system (e.g., police and prosecutors), victims, victims' family and friends, health care workers, social service providers, bank and financial professionals, and other justice system actors (e.g., civil courts, attorneys)
- percentage of victims who previously reported abuse to APS
- number of reported victimizations investigated by APS
- percentage of victims with cases investigated by APS
- number of victimizations substantiated by APS
- percentage of victims (reported and investigated) whose cases were substantiated by APS
- number and percentage of victimizations (reported, investigated, and substantiated) that were criminal in nature
- number of victimizations referred by APS to the criminal justice system (e.g., police or prosecutors)
- percentage of victims (reported, investigated, substantiated, and criminally victimized) whose cases resulted in—
 - arrest
 - prosecution
 - conviction
 - an alternative sanction or outcome such as a protective order, loss of license, loss of guardianship, or a listing on an abuser registry
- percentage of victims (reported, investigated, substantiated, and criminally victimized) by—
 - sex
 - race and Hispanic origin
 - age
 - abuse type (e.g., physical, sexual, psychological, neglect, financial exploitation, or abandonment)
 - abuse location: community (e.g., victim's home, family member's home, unlicensed group home) or institution (e.g., nursing home, assisted living facility, licensed group home)
 - disability type (e.g., hearing, vision, cognitive, or ambulatory limitation, or the inability to perform self-care tasks or activities needed for independent living)
 - capacity (e.g., ability to make decisions for oneself)
 - relationship to the perpetrator (e.g., intimate partner, family member, caregiver, nonfamily acquaintance, or stranger).

Collectively, these key indicators measure potential and confirmed victimizations, characterize the potential and confirmed victims of abuse, and measure the progress of cases through both APS and criminal justice investigative processes. Stakeholders advised that the collection of key indicator statistics should be supplemented with information about the laws, rules, and policies governing the APS response to alleged elder abuse in each state. As demonstrated in chapters 3, 4, and 5, substantial variation may exist in the operational scope of APS agencies across states, and such contextual information is necessary to aggregate and interpret APS-based statistics appropriately.

Chapter 3: Telephone interviews with Adult Protective Services agency representatives

Semi-structured telephone interviews with Adult Protective Services (APS) agency representatives laid the groundwork for the online survey of state and local APS agencies (**chapter 5**). Interviews identified the highest organizational level at which APS maintained uniformly collected data on EAMN cases within each state. State APS representatives confirmed, corrected, and supplemented essential background information assembled about the organizational structure of APS in each state, the impact of that structure on data collection operations at the state and local levels, and extent to which data collected across APS were uniform. The interviews with state APS representatives also clarified the number of individual APS organizational units that had primary responsibility for collecting case data, which formed the online survey respondent universe.

From December 2013 to February 2014, these semi-structured telephone interviews were conducted with state-level APS representatives in every state and the District of Columbia. Interviews sought to determine the locations of APS organizational units, level of case data centralization, and coverage of APS administrative data across the state.¹ The appropriate contact within each state-level APS agency was identified through information posted on the agency's website or by using contact information collected during a previous survey of APS agencies conducted in 2012 by the NAPSA (NAPSA & NASUAD, 2012). Interviews additionally covered the case types investigated by APS in each state, the extent of local discretion to set investigative criteria, and criminal justice agency involvement with APS cases. These interviews served to inform the sampling frame and design of a subsequent online survey of state and local APS agencies (**chapter 5**). Interview findings about data centralization also gave preliminary information on the feasibility of collecting key indicator statistics about elder abuse from state agencies.²

The interviews revealed that most states had highly centralized APS data collection systems and used a single data system across their local jurisdictions to record information throughout the lifecycle of an APS case, from the initial report of suspected abuse to case findings. Even when states reported that APS programs were administered at the county-level or another level, state APS agencies generally maintained individual-level case records and reported overseeing local APS programs.

The high level of data centralization suggested that it would be feasible to conduct an online survey with state-level APS respondents. However, local-level respondents are needed in five states where APS data collection systems are more decentralized. Based on the information learned during the

¹The term "states" in this chapter refers to the 50 U.S. states and the District of Columbia.

²The term "abuse" reflects a wide range of maltreatment types, including physical, sexual, and emotional abuse; neglect; and financial or material exploitation.

telephone interviews, the online survey APS respondent universe should include all 50 state representatives, the District of Columbia, and 89 local-level agencies. Local-level data collection is encouraged in five states: California (58 counties), Delaware (all 3 counties), Idaho (all 6 regions), New Jersey (all 21 counties), and New York (1 city, New York City, as it maintains data independently of the rest of the state).³

Furthermore, telephone interviews found considerable state-level variation in the scope of APS agency responsibilities, suggesting the need to document APS policies, interpret APS data in light of these policies, and potentially construct key indicators from stratified caseload statistics rather than aggregate totals. Interviews revealed how state APS operations differ with respect to the age of clients served, locations over which APS has investigative jurisdiction, and the types of maltreatment subject to investigation. For example, all APS agencies responded to abuse in community-based settings, but, in many states, APS lacked the authority to investigate licensed facilities, such as nursing homes. As a result, the subsequent online survey was designed to include more precise measures of states' elder abuse definitions and APS operational responsibilities. Previous work suggests that data on certain subsets of elder abuse (e.g., physical abuse of community residents) would be more widely available in some states than others. The lack of a uniform case definition creates an “apples to oranges” problem when comparing or combining caseload totals across states. To compensate for this, Urban anticipates that BJS may consider collecting stratified caseload statistics so that data may be aggregated into a common frame of reference. Collecting APS statistics by age group, abuse location, and abuse type would allow BJS to compute more refined national statistics, using data from applicable states to construct specific measures.

Detailed findings from the 2013-2014 telephone interviews

1. State APS agencies typically oversaw local APS

Most states (42) administered Adult Protective Services at the state level. Seven states reported that APS is administered at the county level, one reported a hybrid of state and county administration, and one reported regional administration. Even when APS programs are administered locally, the state-level APS agency has oversight responsibilities. State-level APS agencies set policy and provide training in all county-administered states and, in every state except California, have oversight over data and monitor local APS programs. Collectively, state APS agencies oversee 1,884 local APS offices.

2. Individual-level electronic data were generally maintained by state-level APS agencies

The project's June 2013 meeting with federal government stakeholders identified a set of key indicators about elder abuse, which included statistics collected at multiple time points in the lifecycle of an APS case (**chapter 2**). Collectively, these measure potential and confirmed

³By the time of the survey administration in April 2016, local data collection was needed in three states (California, New Jersey, and New York) as Delaware and Idaho had centralized their APS data at the state level.

victimizations and may be used to calculate the transition probabilities of moving from one stage to the next in the investigative process. These three cohorts of data that APS agencies may maintain and the telephone interviews indicated that electronic data representing these cohorts are typically maintained by the state-level APS agency.

- **Initial reports of suspected abuse.** Telephone interviews with APS representatives found that data on the initial report of suspected abuse are consolidated in an electronic database and maintained at the state level in nearly all states and the District of Columbia (50), though the reports may originate from a variety of sources within any given state. California reported that individual-level data are available only from county APS agencies.
- **Investigations opened.** State screening practices varied. Reports may be evaluated against APS eligibility and jurisdictional criteria before APS opens an investigation. Reports that are not accepted for APS investigation could be referred to non-APS social services if abuse was not suspected, while some suspected abuse is forwarded to other agencies for investigation (e.g., regulatory or licensing agencies that have jurisdiction over certain caregiver or facility types). Telephone interviews with APS representatives found that nearly all states (46) reported entering individual-level data on newly opened investigations into a state electronic database. In Delaware, Idaho, New Jersey, and North Carolina, local APS agencies forwarded data to the state. However, the extent varied to which the state received and maintained individual-level electronic records. California reported that counties exclusively collected and maintained individual-level data.
- **Investigation outcomes.** Telephone interviews with APS representatives found that nearly all states (47) maintained these data at the state APS agency as individual-level electronic records. New York excluded case substantiation as an outcome measure and instead focused on service provision. California, Delaware, Idaho, and New Jersey maintained case findings at the county level as a combination of electronic and paper records.

Data about these three stages in the lifespan of an APS case were typically collected in a single integrated data system that follows a case from the initial report through to the investigation outcomes (in 44 states). The remainder of states collected data on discrete stages of the APS investigative process (e.g., initial reports), which may not be easily linked to downstream actions (e.g., opening an investigation or substantiating the allegation).

3. APS caseload statistics across states do not use a uniform case definition

The lack of uniformity in case definitions across states presents a potential limitation of using APS caseload statistics to estimate the prevalence of reported abuse nationwide. APS agencies have different operational scopes, stemming from differences in states' elder and vulnerable adult abuse laws and investigative practices. Notably, APS administrative data collection differed

with respect to the location of the alleged abuse, age of clients served, and types of abuse investigated.

- **Community- vs. facility-based abuse.**⁴ Sixteen states (31%) reported that APS did not routinely investigate facility-based abuse. In these states, jurisdictional responsibility for facility-based abuse investigation often rested with the licensing agency responsible for regulating facilities. Even when states reported that APS routinely investigated abuse in facilities, respondents noted many exceptions and caveats. Establishing jurisdiction may be complex within a given state and definitions differ across states. For example, resident-on-resident abuse in a licensed facility may fall under APS jurisdiction, whereas abuse by facility employees may fall under jurisdiction of the regulatory agency.
- **Younger vs. older vulnerable adults.** In most states, APS' investigative authority was based on vulnerability rather than age alone. Most states (45) investigated elder abuse within a broader context of vulnerable adult abuse, which includes disabled adults ages 18 to 59. Six states (12%) reported serving only clients age 60 and older.
- **Self-neglect vs. other abuse types.** Most states' APS programs (47) investigate self-neglect, and self-neglect makes up a substantial portion of the total caseload for many. Four states reported that their APS program does not investigate self-neglect cases.

4. APS representatives perceived a low level of interaction with the criminal justice system, but more refined measures are needed

Additionally, interviews focused on ascertaining the potential for overlap between APS and criminal justice system statistics on victimization. While elder victimization is underreported, police and prosecutors receive some reports and are often legally mandated to inform APS (Stiegel & Klem, 2007). Regardless of mandatory reporting requirements, police and prosecutors may also involve APS when services are needed or if they feel criminal justice intervention is not needed. Similarly, APS agencies may refer cases to police or prosecutors when they feel criminal law enforcement is needed. Consequently, there are victimizations known to both APS and criminal justice data systems, but the degree of that overlap is unknown.

As these telephone interviews were not designed to collect statistical data, respondents were asked to comment on referrals to and from the criminal justice system, specifically law enforcement officers (e.g., police) and prosecutors. APS respondents were asked whether police and prosecutors were "required to make a report to APS when they [found] out about possible vulnerable adult abuse." Further, APS respondents were asked about criminal justice involvement in APS investigations, specifically whether police and prosecutors "participate[d] in or continue[d] an APS investigation (beyond accompanying an APS worker for safety reasons)" and whether this occurred in particular types of cases.

⁴Community-based settings include the victim's home, a public place, or an unlicensed group home. Facility-based, or institutional, settings include skilled nursing facilities (e.g., a nursing home), assisted living facilities, and other licensed group care settings.

Criminal justice practitioners, especially police, are typically mandated to report abuse. When asked how often police or prosecutors participated in or followed up on an APS investigation—beyond accompanying the APS worker for safety reasons—APS representatives typically felt this occurred less than half the time. However, the wording of these questions seemed too general. Some respondents reported that criminal justice involvement was rare because the bulk of their cases are self-neglect. Others commented that criminal justice practitioners became involved when cases involved severe physical or sexual abuse, financial exploitation, or Medicaid fraud.

Implications of telephone interview findings

Telephone interview findings with state-level APS representatives informed the development and design of the online survey to assess APS data availability. Additionally, findings from the telephone interviews were used to develop initial conclusions about the availability of data to produce key indicator statistics. These preliminary conclusions were further explored using data collected through the online survey (**chapter 5**).

Requirements for the online survey to assess APS data availability

- ***Survey all state APS agencies and selected local agencies.*** State-level APS agencies in most states maintain data on all three cohorts of interest: reports of suspected abuse, APS investigations opened, and APS investigation outcomes. However, not all states maintain data at the state level, thus local-level surveys are necessary in some states.
- ***Identify how APS agency policies may shape the universe of cases differently across jurisdictions.***
 - **Screening procedures.** Some states' APS agencies are required to investigate all reports of suspected abuse, while others have established criteria for referring reports to non-APS social services or other investigative agencies. Contextual knowledge on APS screening procedures may be needed to interpret statistics on the number of investigations opened.
 - **Elder abuse case definitions.** The definition of an APS case differs across states by abuse location, victim age, and abuse type, which sets the operational scope of the APS program. Generating national key indicator statistics requires aggregating statistical data from state and local APS agencies. Doing so accurately in an “apples-to-apples” fashion requires establishing a common frame of reference.
- ***Collect more precise information on collaborations with the criminal justice system to understand potential cross-reporting.*** APS agency interactions with the criminal justice system are context dependent. Therefore, assessments of coordination between APS and criminal justice need to focus on specific times and case types.
 - **APS case stages.** Criminal justice system actors may interact with APS differently at multiple time points, including (1) referrals to the APS agency; (2) collaboration with APS during the investigation (e.g., accompaniment on APS visits, participation in multidisciplinary teams); and (3) referrals from APS to the criminal justice system.

- **Case types.** Questions about criminal justice system involvement in APS cases should be restricted to those cases in which one individual is victimized by another, ideally by specific abuse type. Without such a specific frame of reference, APS respondents may underestimate the extent of collaboration with the criminal justice system. Data also suggest that the justice system response may differ by abuse type.
- ***Assess potential for criminal justice and APS data linkages (e.g., to identify cross-reported cases).*** The online survey also may assess states' capacity to link data across APS and law enforcement data systems by asking about the inclusion of various personal identifiers in APS administrative databases (e.g., dates of birth, Social Security numbers, and police report numbers).

Preliminary conclusions about key indicator data availability

- In most states, key indicator statistics were obtained from the state-level APS agency due to the centralization of APS data.
- APS data on community-based victimizations were more widespread and reliable, given APS' limited jurisdiction over licensed facilities. Data from those states in which APS plays a major role in investigating facilities provide valuable, foundational knowledge on the share of victimizations that occur in such settings, and future data collection efforts should incorporate data collected from regulatory agencies.
- Given their broader focus on serving vulnerable adults of all ages, most APS agencies need to subset their data to report specifically on elder abuse. This requires being able to identify victims age 60 and older and exclude reports of self-neglect.
- Any collection of key indicator statistics should gather contextual information on APS policies to aid in the aggregation and interpretation of statistics. The comparability of data across states may vary by agencies' policies governing facility investigations, any specific vulnerability criteria used for adults age 60 and older, abuse types investigated, and other screening criteria used prior to opening an investigation.

Chapter 4: What is elder abuse? A taxonomy for collecting criminal justice research and statistical data

Defining elder abuse: a multidimensional taxonomy

Generating uniform statistics on elder abuse first requires a working definition of elder abuse. Because elder abuse is a multidimensional phenomenon, any operational definition must account for offense, victim, and perpetrator characteristics. The confluence of these three elements makes a particular victimization “elder abuse.” Absent these victim characteristics and relationship dynamics, the same acts may be described more simply as assault, rape or sexual assault, theft, or fraud.

Legal definitions of elder abuse vary across states. For example, state laws define 3 to 22 types of abuse (Stiegel & Klem, 2007), with disparate names like “general abuse,” “intentional abuse,” and “reckless abuse.” Yet, previous research conducted throughout the course of this project found a fair amount of agreement in how elder abuse is defined across states. Various federal entities and national organizations developed umbrella definitions of the types of acts that constitute elder abuse, and these categorization schemas are generally similar (**appendix A**).

For criminal justice research and statistical purposes, elder abuse may be conceptualized as certain acts with specific behavioral criteria committed against vulnerable older adults and perpetrated by individuals whom the victim could be expected to trust. The taxonomy (Mallik-Kane & Zweig, 2016) presented built on definitions proposed by the Centers for Disease Control and Prevention (CDC). The CDC, like the Bureau of Justice Statistics (BJS), is a federal statistical agency with a mission to develop case definitions and collect epidemiologic data. In the interest of avoiding duplication across federal agencies, this project adopted the CDC’s detailed, behaviorally based descriptions of the acts constituting elder abuse and victim and perpetrator attributes that characterize a given act as elder abuse. A review of the literature and states’ Adult Protective Services (APS) laws, policies, and practices found support for these definitions and this taxonomy. Further, certain acts of elder abuse may have been severe enough to warrant criminal justice system intervention.

Taxonomy of elder abuse for criminal justice research and statistical purposes

Elder abuse occurs—

- when one of the following acts is committed:
 - physical abuse
 - sexual abuse
 - emotional or psychological abuse
 - neglect (by others)
 - financial or material exploitation
 - abandonment

- against an adult age 60 or older with a demonstrated vulnerability
- by a perpetrator whom the victim could reasonably be expected to trust, such as a family member, financial advisor, in-home caregiver, or employee of a caregiving institution.

Such an act constitutes elder abuse regardless of whether the—

- abuse was committed in a community or institutional setting
- act is codified as a crime.

Elder abuse data should be counted at—

- a person-incident unit of analysis, so each victimization a person experiences is counted, and multiple incidents for a given person may be aggregated
- multiple points in the APS investigative process to understand potential prevalence, case processing, and case outcomes. These include—
 - initial reports
 - investigations opened
 - cases substantiated.

An incident of elder abuse may be counted as criminal in nature when—

- APS refers a given report to the criminal justice system for follow up
- certain specific incident characteristics are present:
 - physical force or inappropriate restraint that caused bodily injury or impairment
 - any sexual assault
 - psychological or emotional abuse that caused the victim to seek or receive medical or mental health care
 - neglect to provide the necessities of life (e.g., food, clothing, shelter, health care) by a person with a defined caregiving responsibility
 - financial exploitation that resulted in the loss of the victim’s property, or when a person without the capacity to consent was coerced to change legal documents or transfer property
 - abandonment by a person with a defined caregiving responsibility.

Offense characteristics: What acts constitute elder abuse?

The BJS taxonomy considers six forms of interpersonal abuse to be elder abuse. The CDC (2014) defined six mutually exclusive categories of interpersonal abuse and a seventh category for self-neglect. These encompass acts of varying severity that may be considered criminal or noncriminal in nature:

- “**Physical Abuse** occurs when an elder is injured (e.g., scratched, bitten, slapped, pushed, hit, burned), assaulted or threatened with a weapon (e.g., knife, gun, other object), or inappropriately restrained.”

- “**Sexual Abuse or Abusive Sexual Contact** is any sexual contact against an elder’s will. This includes acts in which the elder is unable to understand the act or is unable to communicate. Abusive sexual contact is defined as intentional touching (either directly or through the clothing) of the genitalia, anus, groin, breast, mouth, inner thigh, or buttocks.”
- “**Psychological or Emotional Abuse** occurs when an elder experiences trauma after exposure to threatening acts or coercive tactics. Examples include humiliation or embarrassment; controlling behavior (e.g., prohibiting or limiting access to transportation, telephone, money, or other resources); social isolation; disregarding or trivializing needs; or damaging or destroying property.”
- “**Neglect** is the failure or refusal of a caregiver or other responsible person to provide for an elder’s basic physical, emotional, or social needs, or failure to protect them from harm. Examples include not providing adequate nutrition, hygiene, clothing, shelter, or access to necessary health care; or failure to prevent exposure to unsafe activities and environments.”
- “**Financial Abuse or Exploitation** is the unauthorized or improper use of the resources of an elder for monetary or personal benefit, profit, or gain. Examples include forgery, misuse or theft of money or possessions; use of coercion or deception to surrender finances or property; or improper use of guardianship or power of attorney.”
- “**Abandonment** is the willful desertion of an elderly person by caregiver or other responsible person.”

Note that the CDC (2014) additionally included a category of **self-neglect**, which “occurs when vulnerable elders fail or refuse to address their own basic physical, emotional, or social needs. Examples include self-care tasks such as nourishment, clothing, hygiene, and shelter; proper/appropriate use of medications; and managing or administering one’s finances.” Due to BJS’s concern with victimizations perpetrated against others, self-neglect should not be included under BJS’s definition of elder abuse.

Victim characteristics: Who are victims of elder abuse?

Victims of elder abuse are typically defined by both age and vulnerability. Based on the CDC’s case definition, the Elder Justice Act, and state APS legislation and practice, the following thresholds for age and vulnerability were used. Interestingly, other federal agencies and national stakeholder groups have not explicitly defined these criteria (**appendix A**).

AGE 60 OR OLDER

In keeping with the CDC and the Elder Justice Act, the age threshold was defined as 60 (**appendix A**). Similarly, state APS programs most often operationalized the term “elder” as persons age 60 and older (GAO, 2011).

DEMONSTRATED VULNERABILITY

The taxonomy specified that victims of elder abuse must be vulnerable adults in addition to meeting the age 60 threshold. In most states, APS’ investigative authority is based on vulnerability rather than age alone (Stiegel & Klem, 2007). Most APS agencies (88%) reported investigating elder abuse within a broader context of vulnerable adult abuse, which includes

disabled adults ages 18 to 59. Few state APS agencies have the authority to investigate abuse or intervene in the affairs of an adult unless that person demonstrated some vulnerability. Four states used age alone as a factor for determining eligibility for APS. The criteria for deciding when a person age 61 and older is vulnerable vary across states. Stiegel and Klem (2007) classify states' vulnerability criteria along the following dimensions:

- **Condition:** Most states' APS laws (48) had some requirement related to the physical or mental condition of the individual. Many states list nonlimiting examples of the types of mental or physical conditions or impairments that qualify using language such as "including but not limited to." Some specifically enumerate advanced age (13 states), substance abuse (4 states), situation of danger or risk (2 states), or a diagnosed lack of capacity (7 states) as alternative qualifying conditions.
 - Note that in 13 states, advanced age is a sufficient "condition" for APS to provide services. However, the law does not specify a threshold age. These statutes use language about impairment due to "advanced age" or "the infirmities of aging."
- **Function:** Most states (49) have at least one stipulation regarding an individual's functional status. The most common stipulations are whether individuals may protect or care for themselves (28 and 29 states, respectively). Other criteria relate to the individual's ability to perform activities of daily living (15 states), capacity to make decisions for themselves (13 states), and ability to manage assets and financial resources (12 states).
- **Lack of assistance:** In five states, an individual must "have no able and willing person available to provide assistance" to be eligible for APS services, meaning APS may investigate or intervene only if a person lacks social support.
- **Living situation:** In 11 states, individuals are categorically eligible for APS services if they reside in a long-term care facility, whereas five states specifically have provisions regarding living situation for those who are not in a long-term care facility.
- **Receiving services:** In seven states, individuals receiving services from a care agency are categorically eligible for APS services.
- **Guardianship/conservatorship:** In six states, individuals who have been assigned a guardian or conservator are categorically eligible for APS services.

For the purpose of a research and statistical definition of elder abuse, all of these categories, except lack of assistance, should define attributes of vulnerability and elder abuse. However, more information is needed to operationalize a definition of vulnerability. Outstanding questions include—

- What measures do states use to ascertain physical or mental "impairment"?
- What constitutes "advanced age" in states where that or the "infirmities of aging" authorize APS to investigate alleged abuse?
- Which "conditions" merit inclusion in a definition of vulnerability regardless of the level of impairment?
- How do states measure the ability to perform activities of daily living (ADL)? Is any deficit in ADLs sufficient to define vulnerability, or is there a threshold amount? Further, do states consider only basic ADLs, such as walking, bathing, dressing, toileting, brushing

teeth, and eating, or do they consider the instrumental activities of daily living (IADLs) that are characteristic of being able to live independently? These IADLs include cooking, driving, using the telephone or computer, shopping, keeping track of finances, and managing medication (Weston, 2009).

- What types of service eligibility should render a person categorically vulnerable?
- Can APS data conform to the disability categories used in the National Crime Victimization Survey (NCVS)? The NCVS defines six types of disability (Morgan & Mason, 2014):
 - Hearing limitation entails deafness or serious difficulty hearing.
 - Vision limitation is blindness or serious difficulty seeing, even when wearing glasses.
 - Cognitive limitation includes serious difficulty in concentrating, remembering, or making decisions because of a physical, mental, or emotional condition.
 - Ambulatory limitation is difficulty walking or climbing stairs.
 - Self-care limitation is a condition that causes difficulty dressing or bathing.
 - Independent living limitation is a physical, mental, or emotional condition that impedes doing errands alone, such as visiting a doctor or shopping.

Perpetrator characteristics: What is the relationship between victims and perpetrators of elder abuse?

This taxonomy, like the CDC's, includes an expectation of trust between the victim and perpetrator as a defining element of elder abuse. Cases frequently, but not necessarily, occur within a familial or caregiving relationship between the victim and perpetrator. For example, the National Research Council's description of elder abuse includes "(a) intentional actions that cause harm or create a serious risk of harm to a vulnerable elder by a caregiver or other person who stands in a trust relationship to the elder, or (b) failure by a caregiver to satisfy the elder's basic needs or to protect the elder from harm" (Bonnie & Wallace, 2003). Similarly, the CDC (2014) defines elder abuse as "abuse or neglect...by a caregiver or another person in a relationship involving an expectation of trust." Because other national organizations do not explicitly define the victim-perpetrator relationship as clearly, the CDC's language for defining perpetrators of elder abuse was adopted for this taxonomy.

This "expectation of trust" does not necessarily mean that the perpetrator is known to the victim. Victims would typically know family members, but others are in a position of trust by virtue of their employment or profession. For example, an employee of a nursing home, even one not directly involved in patient care, is expected to behave in a manner consistent with the best interests of a vulnerable adult. There is an implicit expectation of trust because of his or her professional role. The same may be said of attorneys, financial advisors, and other financial professionals who may have a professional code of ethics to act in the best fiduciary interests of their clients.

How states operationalize this concept of a "trust relationship" between the victim and perpetrator is varied and unclear. For example, Stiegel and Klem's 2007 review of APS laws did

not analyze requirements around the victim-perpetrator relationship. Some state APS agencies, like Florida's, explicitly require there to be a trust relationship to investigate allegations of elder abuse. However, most states do not cite the victim-perpetrator relationship as an overt criterion for receiving APS services (GAO, 2011).

Financial exploitation in particular is sometimes conceptualized more broadly to include financial scams by strangers who target older adults. For example, the Department of Justice's Elder Justice Initiative website describes a typology whereby the nature of financial exploitation differs according to the relationship between the victim and perpetrator: "family members tend to use theft and misuse of assets; acquaintances, neighbors, service providers, financial professionals, and professional caretakers tend to use theft and fraud; and strangers tend to use fraud/scams" (DOJ, n.d.b).

However, to be consistent with other forms of elder abuse, this taxonomy limits the definition of elder abuse to situations in which there is an expectation of trust between the victim and perpetrator. This definition includes financial exploitation by those with an expectation of trust (e.g., financial or health care professionals, friends, family), but excludes scams perpetrated by strangers.

What does not define elder abuse, but is nevertheless important to document?

Abuse setting or location

Elder abuse may occur in any type of setting—private residences, group homes, assisted living facilities, or residential nursing facilities, to name a few. Conceptually, both community- and institutionally based abuse should be counted as elder abuse. Community settings include the victim's home, a public place, or an unlicensed group home. Institutional settings include skilled nursing facilities (e.g., a nursing home), assisted living facilities, and other licensed group care settings.

However, APS operations and data collection are limited in institutional settings. States differ with respect to APS jurisdiction over institutional settings. As reported in chapter 3, 16 states (31%) indicated that abuse in long-term care facilities and other such institutional settings is not routinely investigated by APS, but rather by health departments or licensing agencies. Even when states reported that APS routinely investigates abuse in facilities, respondents noted many exceptions and caveats. Establishing jurisdiction may be complex within a given state, and definitions differ across states. For example, visitor-on-resident abuse in a licensed facility may fall under APS jurisdiction whereas abuse by facility employees may fall under the jurisdiction of the facility's regulatory agency. Sometimes resident-on-resident abuse is also investigated by the facility's regulatory agency, as it relates to the facility's ability to provide a safe environment for all residents.

To gauge the universe of data coverage, this project assessed the extent to which APS agencies record the location of alleged abuse and its licensing status. A national statistical program may need to report separately on abuse occurring in community and institutional settings.

When is elder abuse a crime?

The United Nations' Task Force on Crime Classification noted two conceptions of crime: the technical legal definition codified in law and the "common unacceptable action." The former are often recoded in police crime statistics, while the latter are measured through victimization surveys, which use behavioral criteria to describe unacceptable acts (United Nations Office on Drugs and Crime, 2012). APS data fall between these ends of the spectrum. By definition, cases reported to APS agencies are known to the government. At the same time, APS data encompass a range of actions, including crimes as defined by law, unacceptable actions that may not be codified as crimes, and harmful situations in which no one is at fault (such as self-neglect, which the proposed taxonomy excludes from criminal justice statistics).

It is important to determine if APS data systems have the capacity to differentiate between reported victimizations of criminal and noncriminal nature. APS agencies investigate cases from a human services perspective and in a civil capacity. As such, APS agencies and data systems may not explicitly distinguish between acts that are criminal and noncriminal in nature. Furthermore, interviews with both APS and law enforcement personnel revealed that neither thought that it was appropriate for APS to distinguish between criminal and noncriminal acts. They believed that determination should rest with police or prosecutors who are trained to do so. APS personnel refer cases that they suspect are criminal to police or prosecutors. However, relatively few of these cases are prosecuted—not necessarily because the act was noncriminal. Some respondents questioned the value of prosecution with respect to the well-being of the victim, while others perceived a lack of willingness to prosecute for reasons such as ageism, the complexity of some cases, and the difficulty of collecting admissible evidence.

Possibilities were investigated for how to operationalize a definition of criminal elder abuse and how this may differ from other abuse reports to APS. Referrals to and from the criminal justice system constitute one, albeit imperfect, marker, as decisionmaking criteria vary across agencies and are potentially subjective within agencies. The online survey of APS representatives explored the following markers for when elder abuse is criminal in nature:

- **Referrals from the criminal justice system** help assess which victimizations do and do not come to the attention of the criminal justice system. Criminal justice practitioners, especially police, are typically mandated to report abuse to APS agencies. However, other measures must be considered because criminal justice agencies may become involved in a case after someone else made the initial report to APS.
- **Cases substantiated by APS** approximate "proven" abuse and may estimate criminal elder abuse. A comparison of substantiated and unsubstantiated allegations may shed light on noncriminal reports. However, many cases substantiated by APS workers do not result in follow up with the criminal justice system or prosecution. When police and prosecutors were interviewed, they cited a number of reasons why this may occur: (1) APS investigative standards are less stringent than criminal justice investigative standards, and (2) APS has a lower evidentiary threshold than criminal justice agencies. Namely, APS

considers whether there is a preponderance of evidence, whereas the criminal justice system must provide proof beyond a reasonable doubt.

- **Referrals to the criminal justice system** may be the best marker for criminal acts, and the online survey assesses how these are recorded in APS data systems. When asked how often police or prosecutors participated in or followed up on an APS investigation—beyond accompanying the APS worker for safety reasons—APS representatives typically thought this occurred less than half the time. They also reported that police involvement depended on the type of abuse present in a particular case. It is important to define “referral to the criminal justice system” and “police involvement” for each APS agency because of the range of practices in the field. For example—
 - Some APS agencies refer all substantiated cases to law enforcement as a matter of policy, while others are more selective.
 - To define criminal elder abuse, one must distinguish between circumstances when law enforcement officers accompany APS workers for safety reasons and when they actually participate in an investigation.
 - An APS data system’s capacity to record criminal justice outcomes or link to criminal justice data sources (by maintaining numbers for police reports or prosecution case files) determines whether the agency can measure criminal justice involvement.
 - While examining APS and police collaboration on cases, one should ascertain how law enforcement and APS collaborate (e.g., on multidisciplinary teams) and assess perceived barriers in the relationship between these agencies.

The taxonomy proposed the following **objective criteria for determining the criminality of elder abuse victimizations**. These criteria were established, based on an understanding of criminal statutes in general, the elder abuse literature, and a review of the language used in BJS’s NCVS to operationalize definitions of crimes. General definitions of elder abuse delineate when an incident may be criminal or noncriminal. They are provided for research and statistical reporting purposes and are not designed to comport with specific criminal statutes, which vary across the 50 states and the District of Columbia.

- **“Physical abuse** occurs when an elder is injured (e.g., scratched, bitten, slapped, pushed, hit, burned), assaulted or threatened with a weapon (e.g., knife, gun, other object), or inappropriately restrained” (CDC, 2014).
 - Physical abuse may be considered criminal in nature when it results in bodily injury or impairment (e.g., cuts or lacerations, bruising, dislocated joints, broken bones, or any injury for which the victim seeks or receives medical attention). Inappropriate restraint also is criminal in nature and could include physical restraints or the misuse of medication (e.g., sedatives) to confine an individual. On the other hand, some forms of physical force are unlikely to be criminal—

particularly scratching, pushing, shoving, shaking, slapping, or pinching that does not result in bodily injury or impairment.

- **“Sexual abuse or abusive sexual contact** is any sexual contact against an elder’s will. This includes acts in which the elder is unable to understand the act or is unable to communicate. Abusive sexual contact includes intentional touching (either directly or through the clothing) of the genitalia, anus, groin, breast, mouth, inner thigh, or buttocks” (CDC, 2014).
 - All forms of sexual abuse should be considered criminal in nature.
- **“Psychological or emotional abuse** occurs when an elder experiences trauma after exposure to threatening acts or coercive tactics. Examples include humiliation or embarrassment; controlling behavior (e.g., prohibiting or limiting access to transportation, telephone, money, or other resources; monitoring a person’s actions or behaviors); social isolation; disregarding or trivializing needs; extreme criticism or insults; or damaging or destroying property” (CDC, 2014).
 - Psychological or emotional abuse, while harmful, may not meet the threshold for criminal behavior. However, such abuse may result in measurable injury, such as depression, anxiety, PTSD-like symptoms, and somatic conditions like unexplained pain (Hornor, 2012). As such, psychological or emotional abuse should be counted as criminal in nature when it results in a victim seeking or receiving medical or mental health services.
- **“Neglect** is the failure or refusal of a caregiver or other responsible person to provide for an elder’s basic physical, emotional, or social needs, or failure to protect them from harm. Examples include not providing adequate nutrition, hygiene, clothing, shelter, or access to necessary health care; or failure to prevent exposure to unsafe activities and environments” (CDC, 2014).
 - Most states include neglect by caregivers in their criminal statutes, and these define neglect as either a failure to provide or willful withholding of the necessities of life, such as adequate food, clothing, shelter, or health care. The key to determining criminal neglect is whether the alleged perpetrator is in a caregiving role. A caregiver relationship exists if the alleged perpetrator is a paid caregiver, adult child of the vulnerable adult (as in the 30 states with filial responsibility laws), or individual who voluntarily assumed caregiving responsibilities (Stiegel, Klem, & Turner, 2007).
- **“Financial abuse or exploitation** is the unauthorized or improper use of the resources of an elder for monetary or personal benefit, profit, or gain. Examples include forgery, misuse or theft of money or possessions; use of coercion or deception to surrender finances or property; or improper use of guardianship or power of attorney” (CDC, 2014).
 - Criminal financial abuse or exploitation occurs when an individual’s resources are taken for the alleged perpetrator’s gain. This includes money that was borrowed but never repaid; large or unauthorized bank transfers or withdrawals of funds;

changing the title of the individual's home, car, or other property; or changing the payee on an individual's benefits or direct deposits. For example, the elder abuse screening instrument developed by Conrad et al. (2012) advises contacting police if these behaviors are reported. Other behaviors warrant suspicion but may be noncriminal, such as being evasive about how money was spent, demanding money from the older adult, and pressuring an individual to sign documents or change his or her will. However, the latter behavior qualifies as criminal if the older adult lacks the capacity to consent or make decisions.

- **“Abandonment** is the willful desertion of an elderly person by caregiver or other responsible person” (CDC, 2014).
 - The same criteria for identifying criminal neglect may be applied here, as abandonment is an extreme case of neglect.

Counting data on elder abuse

Unit of analysis

Elder abuse was defined in terms of person-incidents to conform to the UN Task Force on Crime Classification's 2012 guidance, which stipulates that definitions should be event-based and highlights the importance of the capacity to link crime events, perpetrators, and victims. These goals correspond with those of federal elder abuse stakeholders who expressed a need for both person-level and incident-level key indicator statistics.

The assessment of APS data systems (online survey) examined the extent to which APS agencies maintain data hierarchies and may report both person- and incident-level statistics. APS agency workloads are defined in terms of reports or cases, and multiple entities could report a given incident of abuse. One state, Minnesota, addressed this issue by tracking records with separate allegation (i.e., incident), report, and victim identification numbers because there may be multiple reports per allegation and multiple allegations per victim.

A reported incident of elder abuse likely represents a single episode of victimization within a larger pattern of ongoing abuse, similar to domestic violence. For example, a particular episode of violence prompts the victim or other concerned parties to report abuse, but further investigation reveals a history of abuse. In such instances, the reporting system should capture the reported details of the episode but also record the duration and nature of prior abusive episodes.

When should an incident of reported elder abuse be counted?

APS data may be conceptualized as three cohorts corresponding to different points of case processing: reports of potential victimizations to APS, investigations conducted by APS, and cases/allegations substantiated by APS. All three are important to quantifying victimization and the system response. Data on—

- **Initial reports of suspected abuse** represent the most expansive way of collecting data on potential victimizations. Data represent all potential victimizations reported to APS

agencies from a wide range of sources, including victims, their family members, friends or acquaintances, and professionals such as health care workers, social service providers, and law enforcement officers. These data are roughly analogous to calls-for-service data in police agencies.

- **Investigations opened** represent the subset of reports deemed appropriate for APS agencies to pursue as abuse investigations. State screening practices vary. Some states investigate each report they receive, while others evaluate reports against eligibility and jurisdictional criteria before opening an investigation. If APS agencies reject reports for investigation, they may refer the cases to non-APS social services if abuse is not suspected. If they suspect abuse, they may forward the report to other agencies for investigation (e.g., regulatory or licensing agencies that have jurisdiction over certain caregiver or facility types).
- **Investigation outcomes or cases substantiated** indicate whether the APS agency confirmed the allegations of abuse and the closest approximation of whether the initial report of elder abuse was proved. APS agencies typically substantiate a case when the preponderance of evidence indicates that abuse occurred.

Elder abuse should be counted at each of these time points within a case. Federal stakeholders have noted that key indicators from each of these cohorts improve understanding of the prevalence and response to elder abuse. Data on initial reports and investigations opened, in concert with information about APS screening practices, may be used to characterize the number of potential victimizations and serve as a denominator for measuring the investigative process. Data on substantiated reports reflect proven cases and address the question of reported prevalence. Case substantiation rates may be used to evaluate the investigative process and its relative effectiveness for different types of abuse, alleged perpetrators, and victims, thus pointing to differential challenges or successes in the response to elder abuse.

[Collecting APS data on elder abuse: Potential limitations and workarounds](#)

The lack of uniformity in case definitions across states presents a potential limitation of using APS administrative records to collect nationwide statistical data on elder abuse. Cross-jurisdictional operational differences complicate the ability to aggregate statistical information from APS agencies across the nation. State laws and regulations govern APS agencies' definitions of what constitutes elder abuse, who is a victim, and APS' authority to intervene. The implication for nationwide statistical data collection is that APS agencies serve and keep records on systematically different client populations across and occasionally within states (Mallik-Kane et al., 2012).

Notably, the scope of APS administrative data may differ with respect to the—

- types of abuse investigated
- age and vulnerability of clients served
- requirement for a trust relationship to exist between the victim and perpetrator

- location of the alleged abuse.

The taxonomy creates a standardized definition of elder abuse across these jurisdictional differences. Stakeholders anticipate that key indicator statistics collected from APS agencies would most likely need to be stratified or subset by these characteristics to account for key operational differences across states, permit valid comparisons, and reliably aggregate elder abuse data in an “apples-to-apples” fashion across APS agencies (Mallik-Kane et al., 2012).

However, APS agencies’ ability to report data according to this taxonomy depends on their ability to subset data according to these attributes. Past surveys of APS agencies in 2000, 2004, and 2007 revealed widespread difficulties in reporting statistical data. States used varying definitions of the total number of reports received, and a sizeable number of APS agencies could not provide counts by abuse type, differentiate between older and younger vulnerable adults, or provide case substantiation outcomes (Teaster, 2006; Teaster et al., 2006; Otto and Quinn, 2007). The most recent survey of APS agencies conducted in 2012 suggested that states have improved their data collection capacities. The majority of states (47) now use computerized data collection systems, but this was relatively new for many. Fifty-nine percent of states implemented automated systems within 10 years of the survey, including some that were implemented 2 years prior (NAPSA & NASUAD, 2012).

[Additional attributes of elder abuse to consider when assessing APS data capacity](#)

The UN Task Force on Crime Classification’s 2012 report highlighted the need to collect detailed information about each victimization incident to create a comprehensive crime classification. This would allow the crime classification to describe acts in a granular fashion. The section below includes additional descriptors suggested by the UN Task Force’s report and federal elder abuse stakeholders. Assessing APS data systems’ capacity to collect and report on these attributes contributes to the creation of a comprehensive crime classification in accordance with UN recommendations and further understanding about elder abuse.

[Supplementary data elements for assessing crime classification, research, and policy analysis needs](#)

- Characteristics of the act:
 - date, time, and location of the offense
 - degree of completion of the event: planned, attempted, or completed
 - use of any objects or weapons
 - other elements of the modus operandi of the act (e.g., whether it was enabled by threats, force, deception, or intimidation)
 - target of the act (e.g., person, animal, property, institution, communal values)
 - seriousness of the act in terms of the level of harm to the victim (e.g., death, nonfatal injuries sustained, amount of financial loss, or institutionalization or other residential disruption) and any consequences to the community

- civil or criminal justice system oversight: whether the act occurred despite the presence of a protective order, a legal guardian, or criminal justice supervision, such as probation or parole.
- Victim characteristics:
 - demographics: age, sex, race and Hispanic origin, nationality, English language proficiency, employment, income, and educational attainment
 - vulnerability of the victim as measured by health conditions (e.g., physical, mental, cognitive, influence of drugs/alcohol); disability status; functional ability (e.g., performing activities of daily living); and categorical eligibility (by virtue of program eligibility, residence, or guardianship)
 - dependence on the perpetrator (e.g., for caregiving, housing, or financial support)
 - victimization history, in general and with this perpetrator
 - perpetration history, in general and with this victim (e.g., did the victim have a history of domestic violence or child abuse against the perpetrator?)
 - social support: victim's residence, caregiving needs, and receipt of services.
- Perpetrator characteristics:
 - demographics: age, sex, race and Hispanic origin, nationality, English language proficiency, employment, income, and educational attainment
 - vulnerability of the perpetrator as measured by health conditions (e.g., physical, mental, cognitive, influence of drugs/alcohol); disability status; functional ability (e.g., performing activities of daily living); and categorical eligibility (by virtue of program eligibility, residence, or guardianship)
 - dependence on the victim (e.g., for housing or financial support)
 - victimization history, in general and with this victim (e.g., did the victim have a history of domestic violence or child abuse against the perpetrator?)
 - perpetration history, in general and with this victim (e.g., criminal history)
 - social support: residence, caregiving needs, and receipt of services
 - intent: purposefulness and motivation of the offender
 - degree of co-responsibility, if others were involved, or if the offender acted alone.

Chapter 5: Assessment of existing administrative data

The Urban Institute (Urban) conducted a survey of state and local Adult Protective Services (APS) agencies to ascertain their data system capacity to report data on elder abuse cases.⁵ The survey collected information on the scope and organization of APS agencies' data systems, their ability to identify instances of elder abuse within their caseloads, the aspects of elder abuse they could measure, and the extent to which they possess the data elements needed to report on key indicators of elder abuse. The findings reported in this chapter focus on the data system capacity of state APS agencies, given the high level of centralization of APS data (**chapter 3**). Additionally, this chapter concentrates on the availability of information as structured electronic data fields because of its ease of retrieval relative to paper files or electronic case notes.

This chapter describes the APS survey methodology, including the survey instrument, respondent universe, response rates, and analysis methods. Although both state and local APS agencies were surveyed, this chapter focuses on APS data availability from state-level APS agencies because the survey found that three states maintained data predominantly at the local level (California and New Jersey, and New York City maintained data separately from New York State). See Appendix D for survey findings about local-level APS data.

The chapter then reports on the structure of available data. First, it discusses the extent to which APS agencies collect data on the full life cycle of APS cases, including reports of potential victimizations, investigated cases, and cases substantiated by the APS investigation. It also describes the extent to which APS systems have the capacity to report person-level data to facilitate reporting key indicator statistics about elder abuse victims and caseload characteristics.

Next, the chapter documents whether APS agencies collect the data elements necessary to identify and characterize the elder abuse cases within their broader caseloads in accordance with the taxonomy laid out in chapter 4. Specifically, it describes the extent to which state and county APS data systems maintain the data elements needed to describe victimizations as elder abuse based on the types of abuse alleged, age and vulnerability of victims, and perpetration by a trusted individual. It further describes how often APS data systems capture information about the severity of these offenses, to permit an estimation of the share that represent criminal victimizations. The availability of data on other important case characteristics, like the location of abuse, is also discussed.

Finally, the chapter summarizes the extent to which APS data systems collect the information needed to report key indicators of elder abuse identified by federal stakeholders (**chapter 2**). Producing key indicator statistics requires identifying instances of elder abuse within the broader

⁵BJS prioritized the assessment of data elements present in each APS agency's data system. The survey did not assess other dimensions of agencies' capacity to report data, such as technical ability, resource constraints, or data system capacity for summarizing or exporting information. Earlier drafts of the survey included these items, but the final version limited the scope to data element availability to minimize respondent burden.

APS caseload at specific times in the life cycle on an APS case and describing key victim and incident attributes.

The completeness and comparability of APS-based statistics across states depend on each agency's scope of responsibilities, as defined by state legislation and practice. The survey assessed relevant APS policies and practices, and these findings are integrated throughout the chapter as they pertain to specific data elements and key indicator statistics. See chapter 6 for recommendations regarding collecting statistical data from APS agencies.

Survey of state and local APS data collection practices

In 2016, Urban administered a web-based online survey to APS agencies nationwide to assess the feasibility of using administrative data from state and local APS agencies to report key indicator statistics about reported (i.e., alleged), investigated, and substantiated cases of elder abuse, mistreatment, and neglect (EAMN). This survey had two related goals:

- Compile detailed information on APS agencies' data collection practices in 2015, including database structure, units of count, specific data elements collected, electronic data entry practices, and other pertinent information about APS administrative data. Identify which elements of elder abuse agencies collected and which of the key indicator statistics they may be able to generate.
- Compile contextual information about APS agencies' definitions of abuse and scope of responsibility. Assess the comparability of case types and investigative scope across agencies to gauge the extent to which data may be aggregated appropriately across agencies and used to develop national estimates of elder abuse victimization.

The survey asked APS agencies to report on their data collection practices in 2015 using a self-administered survey on the internet. The survey questionnaire (**appendix B**) was programmed into Qualtrics software—a secure, web-based data collection tool that collects discrete, categorical responses in addition to longer text responses and automates the skip patterns built into the instrument. The survey focused on three substantive areas:

- **Section A. About Your Agency's Recordkeeping and Data Reporting Practices** asked about the units of count that each respondent's APS recordkeeping system maintains, whether they maintain data electronically, and data entry and quality assurance procedures. These questions were designed to establish the extent to which APS agencies may generate statistical data at different levels of count. Questions about electronic data availability assess agencies' capacity to subset relevant elder victimizations from their overall caseload and generate statistical data in keeping with BJS definitions.
- **Section B. Information Gathered About Elder Abuse Reports and Investigations** asked about the individual data elements that each agency collects in its data system. Collectively these questions address electronic data availability and the availability of fields needed to establish whether a case fits the definition of elder abuse and measure key attributes of the case. The survey asked about the following domains of information:

- victim and perpetrator characteristics, including personal identifiers, demographics, vulnerability and disability status, housing and living arrangements, and prior history of elder abuse.
- reporter characteristics, such as the source of the abuse report and whether the alleged abuse was referred by the criminal justice system. These questions also assess whether the data system captures APS' decisionmaking on whether to open an abuse investigation.
- incident characteristics, including the time and place of the suspected abuse; the general type of abuse alleged; specific acts committed against the victim; the severity of injuries sustained by the victim, such as any need for medical care or financial losses; and case outcomes, including abuse substantiation, referral to the criminal justice system, and criminal justice system case outcomes, such as arrest, prosecution, and conviction.

The survey first presented respondents with a list of data elements and asked which pieces of information they gathered during investigations of reported EAMN and whether they collected information electronically or on paper. Response categories for each data element included—

- electronically in a structured data field
- electronically as free text
- electronically, but unknown field type
- on paper only
- not recorded.⁶

For each piece of information respondents reported gathering during an investigation, they were asked a follow-up question about when it was collected, specifically whether it was collected as part of the initial report before beginning an investigation.

- **Section C. Elder Abuse Definitions and APS Agency Responsibilities** collected information on the respondent agency's definition of abuse and its scope of responsibilities because states' laws define abuse and delineate investigative responsibility in different ways. States may investigate some but not all types of abuse, and such operational differences would affect BJS's ability to aggregate APS data across states in an "apples-to-apples" fashion. Responses to these questions provide an understanding of which abuse categories consistently fall under the purview of APS agencies, thus lending themselves to nationwide statistical data collection across most states. Other abuse categories collected by fewer states would require BJS to develop alternate strategies for estimating the prevalence of reported abuse. Additionally, section C asked about policies for referring abuse cases to law enforcement agencies. These questions addressed the

⁶Respondents also had the option to refuse answering individual items, report that an item did not apply to them, or respond that they did not know.

extent to which APS and law enforcement data sources may overlap to describe elder victimization.

Survey administration and response rates

The respondent universe for this survey consisted of 130 state and local APS agencies (**table 1**). This included all 50 state APS agencies, the District of Columbia, and 79 local-level agencies in 3 states (California, New Jersey, and New York). As described in chapter 3, BJS and Urban found that APS administrative data were centralized at the state level in most states, meaning that disaggregated, individual-level records of reported, investigated, and substantiated cases of EAMN were typically available from the state APS agency. However, in California, New Jersey, and New York, individual-level data were decentralized and maintained by local agencies, typically at the county level. Relevant local APS agencies in these three states were included as part of the respondent universe in addition to their respective state APS agencies.

The web-based survey was conducted over 18 weeks, from April 29 to August 30, 2016. The research team distributed one survey to each APS agency. Identified through earlier telephone interviews (**chapter 3**), the most knowledgeable individual in the agency (typically the APS administrator or data manager) was asked to complete the survey. This person may have delegated portions of the survey to colleagues within the agency if others were better suited to provide the requested information. Respondents were invited to participate in the survey by mail (with a survey website provided) and by email, and the research team issued periodic reminders by email, postcard, and telephone to encourage survey completion (**appendix C**).⁷ A total of 113 of 130 APS agencies completed the survey, yielding an 87% response rate. Response rates were similar for state- (86%) and local-level (90%) agencies.

⁷The research team conducted its initial outreach at the end of April 2016 by mail using a hard-copy invitation letter customized to each respondent. This letter described the project purpose, summarized the survey, and provided a link and log in information for the online survey. A follow-up email invitation in early May 2016 reiterating the same information and a clickable link was sent to respondents within 1 week of the hard-copy letter to facilitate easy access to the survey and ensure that agencies received the letters. Project staff followed up as needed to obtain correct respondent contact information and were successful in emailing all but one agency in the respondent universe. One week after this email invitation, weekly email reminders were sent to nonrespondents until the survey was completed or the respondent actively declined participation by notifying the project team. Three weeks after the email invitation, the research team mailed a postcard reminder. Project staff initiated telephone calls to nonrespondents 5 weeks after the email invitation and offered to provide assistance with the survey instrument as needed and requested.

Table 1. Respondent universe and response rates, online survey of state and local Adult Protective Services data collection practices, 2015

Level of government	Number of agencies in respondent universe	Number of participating agencies	Response rate
All	130	113	87%
State ^a	51	43	86
Local ^b	79	71	90

^aIncludes the District of Columbia.

^bLocal jurisdictions were surveyed in the three states where Adult Protective Services (APS) data were decentralized. The respondent universe included all 58 county agencies in California and 20 county agencies in New Jersey, one of which consolidated APS operations for two counties. New York City was surveyed because it maintains APS data separately from New York State.

Analyzing survey data and reporting results

The research team exported online survey data to SPSS for data cleaning and analysis. Data cleaning ensured correct coding of skip patterns. The research team corrected erroneous outliers, which are footnoted in relevant data tables. The analysis examined frequency distributions of survey responses, stratified by state and local agency type. This chapter reports findings from state-level agencies. For detailed findings from local-level agencies, see appendix D.

The analysis focused on the availability of data elements with which to identify elder abuse investigations within a broader APS caseload and generate key indicator statistics about the elder abuse caseload. Data availability is characterized along two dimensions: the existence of the information and its ease of retrieval. To gauge the existence of information, the survey asked whether case characteristics are gathered and stored in any form, including paper records, unstructured electronic text (e.g., case notes), and structured data fields. However, availability as structured data fields is paramount because they lend themselves to easily querying and tabulating APS information for statistical data reporting. This report characterizes data availability as—

- **high or widespread** if 75% or more agencies maintained information as structured data fields
- **moderate** if 50% to 74% of agencies maintained information as structured data fields
- **low or rare** if fewer than 50% of agencies maintained information as structured data fields.

In discussing the availability of APS data elements, the survey and this analysis focused on the agency's investigative caseload. Information collected about reports to APS was more limited, as reports to APS may be referred elsewhere for services or investigation.

Finally, the results reflect state-level respondents because most APS data were centralized at the state level and three states reported maintaining individual-level data at local- rather than state-level agencies. (Data were locally held in all California and New Jersey counties and New York City, which maintained data separately from New York State.) As such, comparisons between state- and local-level data collection cannot be generalized and would only reflect practices in three states. The research team conducted preliminary analyses comparing state- and local-level data availability and generally found similar results. (See appendix D for detailed responses about local-level data collection.)

Survey results: Data system components needed to measure elder abuse

Earlier chapters in this report described key indicators needed by the field (**chapter 2**) and a taxonomy for characterizing elder abuse consistently across jurisdictions (**chapter 4**). To summarize, stakeholders expressed a need for elder abuse statistics that describe both person- and incident-level attributes of elder abuse cases at multiple points during the course of a case investigation (e.g., knowing how many instances of physical abuse were reported, investigated, and substantiated). Generating such statistics involves collecting the right pieces of information at particular times and at a given level of specificity.

Nearly all state APS agencies collected information in electronic databases, which is expected to facilitate their ability to measure elder abuse and report key indicator statistics.⁸ The ability to generate these key indicators relies on several components, described in the following sections. These include agencies' capacity to report information at person- and case-levels and at different times in the life cycle of a case. Of particular importance is whether APS agencies gather the data elements needed to describe a case as elder abuse—acts with specific behavioral criteria committed against vulnerable older adults and perpetrated by individuals whom the victim could be expected to trust. Specific attributes of elder abuse cases are also needed, such as the extent to which incidents were criminal in nature and the location where incidents occurred (e.g., private residences or institutional care settings). The chapter concludes with an assessment of the extent to which these aspects of APS data may be combined to generate key indicators of interest to the field.

Counting cases in APS data systems

Elder abuse stakeholders expressed a need for key indicator statistics reflecting various time points during the life cycle of an APS investigation (**chapter 2**). These included the number of reports made to APS agencies, cases investigated, and cases substantiated. Such statistics reflect

⁸California did not maintain individual-level data in an electronic database because APS are decentralized to county-level agencies in California. Most local-level APS agencies (86%) reported maintaining electronic databases (appendix table 4).

APS workload, agency decisionmaking, and perspectives on the amount of elder abuse that may occur. Additionally, stakeholders were interested in knowing the number of incidents and individuals to whom APS agencies responded. These convey information about the incidence of elder abuse, number of affected individuals, and potentially repeat victimizations.

Earlier telephone interviews with APS agencies (**chapter 3**) found that most maintained data in a single, integrated system from the initial report through case substantiation. Survey results confirmed the time points at which APS agencies gathered data and documented screening policies and practices that influence the universe of cases maintained by agencies. Results also described the units of analysis at which agencies maintained data and their capacity to report incident- and person-level statistics.

When should an incident of reported elder abuse be counted?

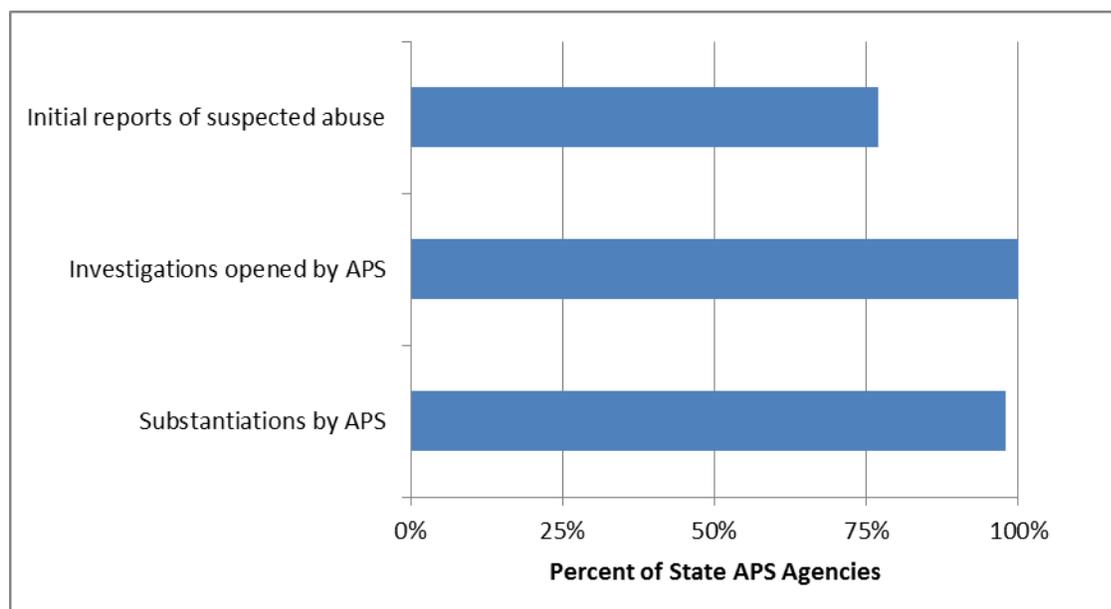
APS cases generally start with a report of suspected abuse. The APS agency then determines which reports to investigate, conducts its investigation, and concludes whether the initial allegations may be substantiated.⁹ All three stages are important to quantifying elder victimizations and the system response.

There was high availability of information about the life cycle of APS cases, with more than three-quarters of APS agencies maintaining information about each of the three stages of case processing (figure 1; appendix tables 1 and 15a). By definition, all respondents collected information on investigations conducted by APS, and nearly all (98%) recorded the outcomes of their investigations (e.g., substantiation).¹⁰ When respondents were asked if they generally maintained information about the initial report before an investigation was officially opened, a smaller (but majority) share (77%) reported that they collected data during this stage.

⁹In addition, APS agencies often provide services to victims in the abuse investigation.

¹⁰The survey was framed in terms of APS data gathered during the course of investigating elder abuse.

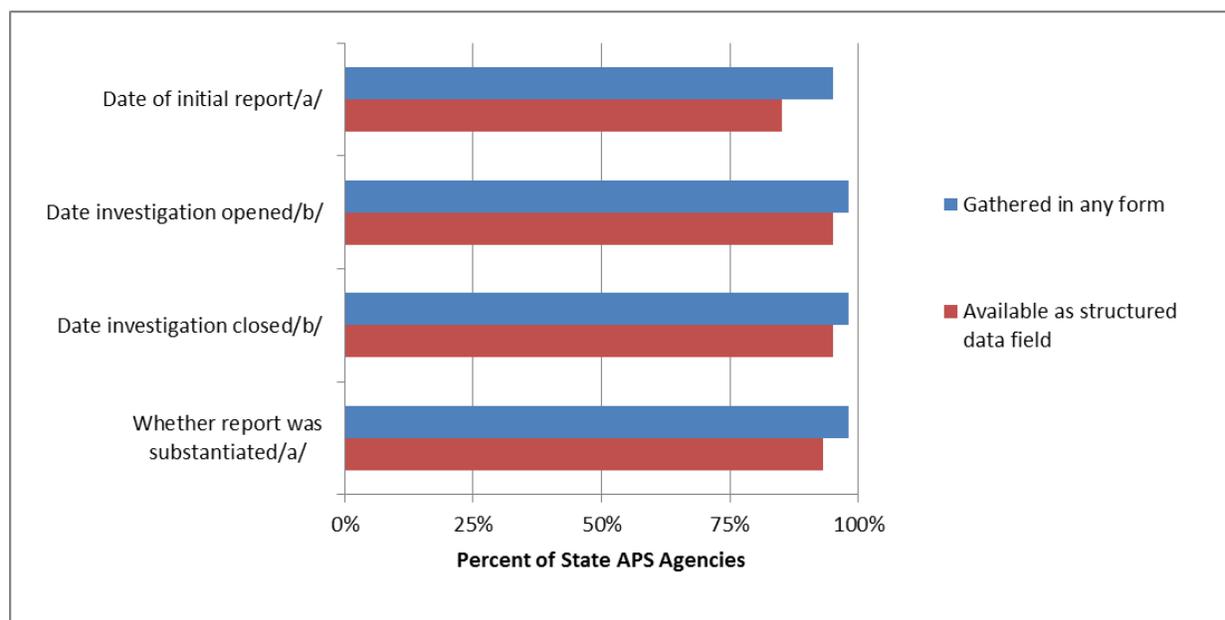
Figure 1. Investigative stage cohorts of data maintained by state APS agencies



Note: N = 43 state agencies. Percentages are based on nonmissing data. See appendix tables 1 and 15a for more information.

Most states collected the underlying dates needed to organize data into the number of reports, investigations, and substantiations that occurred within a particular year (**figure 2**; appendix tables 13a and 15a). Regardless of whether they maintained full data on initial reports, nearly all APS agencies (95%) collected the date of the initial report, and 85% maintained the date of the report as a structured data field. Nearly all (98%) recorded the date an investigation was opened and the date it was closed. Both items were collected as structured data fields by 95% of states. Regarding whether an agency substantiated or confirmed the alleged abuse report received, nearly all (98%) agencies collected information on whether the overall report of abuse was substantiated and 94% of them recorded it as a structured data field. Further, 95% of states had the capacity to collect information on the reason a case was closed, an item collected as a structured data field by 83% of respondents.

Figure 2. Availability of data elements needed to report on APS investigative stages



Note: Percentages are based on nonmissing data. See appendix tables 13a and 15a for more information.

^aN = 41 state agencies.

^bN = 42 state agencies.

Importantly, *most APS investigations represent reports that have undergone a screening process to determine which reports to investigate* (appendix table 2). Most agencies (85%) said that their investigations reflect reports for which the agency had conducted an initial screening. Additionally, 7% said another agency or unit conducted the initial screening. Seven percent said they opened an abuse investigation for all reports received. Of the agencies that used a screening process, most (83%) could report the number of incidents screened out in 2015. Agencies cited multiple reasons for declining to investigate reports. *When asked for the primary reason, nearly half (48%) said they screened out reports not in need of protective services, 23% screened out reports not in their jurisdiction, and 29% cited “other reasons.”* Most states (88%) collected information on why the agency opened an abuse investigation and recorded why the agency did not open an investigation (86%) (appendix table 13a). However, fewer maintained this information in structured data fields (64% and 52%, respectively).

Unit of analysis: Person- or incident-level information

Elder abuse stakeholders expressed a need for both person- and case-level key indicator statistics to describe both the prevalence and incidence of victimization (**chapter 2**).

- **Person-level statistics** provide an estimate of the prevalence of reported abuse, reflecting how widespread a problem is within a population. Examples include the number and proportion of older adults who experience elder abuse. Person-level statistics also provide information on the needs and characteristics of both victims and perpetrators.

- **Case-level statistics** count the number of victimizations, providing an estimate of the incidence of abuse (i.e., how often it occurs). Examples include counting the number of reports received or cases investigated during the year. In addition to incidence information, case-level statistics provide information on case outcomes, such as the investigation or substantiation rate. They also measure agency workload.

The capacity to report data at a person-case level offers the most flexibility for gathering both prevalence and incidence statistics. For example, if APS responded to Jane Doe three times in one year, it would be ideal if the agency could report that there was one unique person involved in three separate victimizations. Although agencies are likely to record information about victim, perpetrator, and case attributes, their ability to compile person- or case-level statistics depends on the underlying units by which they store information about their caseloads. The survey asked how agencies presently report statistical information, and delved further into the underlying structure of APS data systems to ascertain the potential for collecting and reporting information at multiple levels.

Respondents were asked whether they would report elder abuse statistics for 2015 as the number of cases or individuals. The greatest share (50%) said their 2015 statistics reflected cases or reports (**figure 3**; appendix table 3). That is, if Jane Doe had been in three cases, they would count this as three.¹¹ Some states (7%) said they were restricted to reporting on individuals only (e.g., counting Jane Doe once, even if she had been in three cases). Many states (43%) responded that they could report data both ways. This flexibility means that most states (93%) could report data on cases or reports, and half (50%) could report data on individuals.

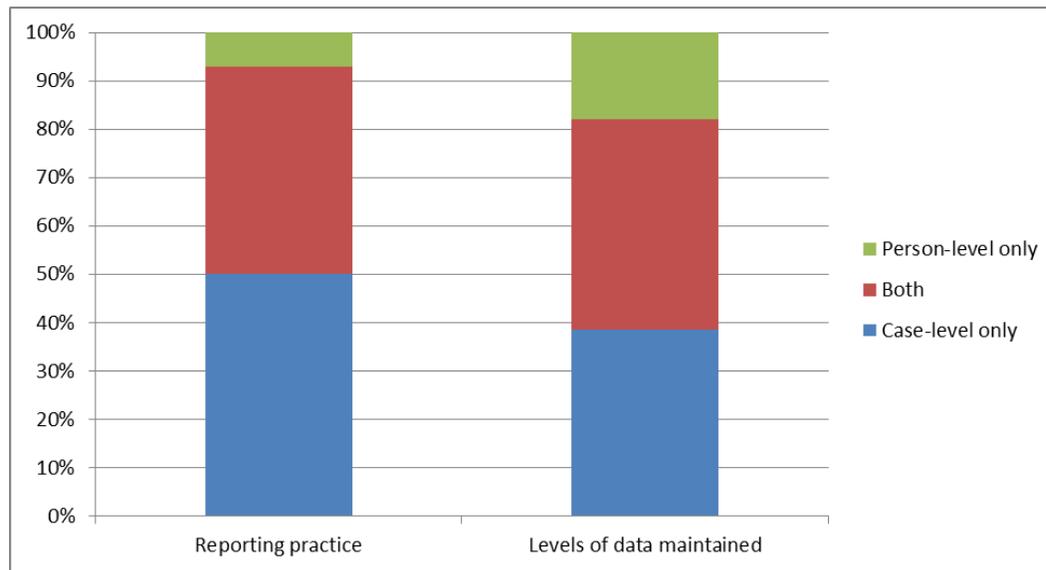
APS agencies were asked about the organization of their recordkeeping systems and, specifically, the levels at which data were entered and stored in their system (figure 3). The greatest share, 44%, said that they entered data at multiple levels in hierarchical or relational tables. More than a third (38%) said they collected data at case or report levels only, and 18% said they collected data at a person level only.¹² The results support the earlier finding that states are predominantly able to report information about cases or reports (82%), and suggest that more (62%) could report information about persons.¹³

¹¹In addition, most states (91%) reported recording whether the abuse was a single incident or ongoing (not shown).

¹²In comparison, in the three states where data were maintained at the local level, it was most common to enter and record information at a person level (appendix table 3).

¹³These statistics combine the proportion of states that maintain data hierarchically with those that maintain data at a given single level.

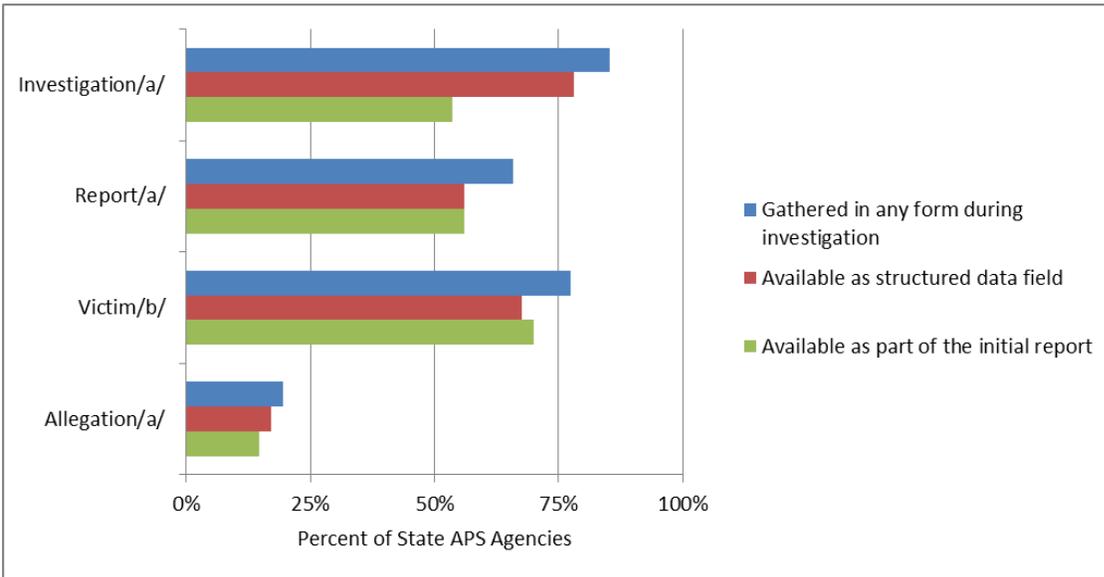
Figure 3. Levels of data maintained and reported by APS agencies



Note: N = 43 state agencies. Percentages are based on nonmissing data. See appendix table 3 for more information.

Respondents also were asked about the specific identifiers they maintained in the data. This question was designed to learn the extent to which unique identification numbers are assigned to different parts of a case, as this may allow for greater reporting flexibility when aggregating data (e.g., knowing when multiple reports or investigations are related to the same person may allow for reporting both person- and case-level statistics). APS agencies typically assigned unique identifiers to investigations (85% of state agencies), reports (66%), and victims (78%), but less often to specific abuse allegations within a case (20%) (**figure 4**; appendix table 16a). In instances when states did not assign a unique identifier to victims, they collected identifying information such as name (83%), Social Security number (42%), and dates of birth (75%) (not shown). Electronic data availability was highest for investigation ID numbers (78%), moderate for victim ID numbers (68%) and report ID numbers (56%), and low for separate allegations within a report (17%) (not shown).

Figure 4. Unique identification numbers assigned by APS data systems



Note: Percentages are based on nonmissing data. See appendix table 16a for more information.

^aN = 41 state agencies.

^bN = 40 state agencies.

Collectively, data suggest that APS agencies may readily report information at a case level. While person-level reporting is lower, the underlying data structures suggest that more states have the potential to report person-level statistics.

Distinguishing elder abuse from other APS case types

Telephone interviews with APS representatives conducted prior to the survey showed that APS agencies respond to varied situations in which older and vulnerable adults need assistance (chapter 3). Yet not all instances in which an older person needs assistance constitute or result from abuse. Chapter 4 presented a taxonomy for defining elder abuse, summarized below as table 2. Importantly, elder abuse consists of specific acts committed against vulnerable older adults by individuals whom they could be expected to trust. Accordingly, not all victimizations of elderly individuals constitute elder abuse. For instance, scams targeting the elderly are not abuse per se if committed by strangers or others not in trusted positions. In comparison, self-neglecting individuals may need assistance, but they are not victims of abuse unless they have been neglected by someone else with a legal responsibility to care for them.

Taxonomy of elder abuse for criminal justice research and statistical purposes

Elder abuse occurs when—

- one of the following acts is committed:
 - physical abuse
 - sexual abuse
 - emotional or psychological abuse
 - neglect (by others)
 - financial or material exploitation
 - abandonment
- against an adult age 60 or older with a demonstrated vulnerability
- by a perpetrator whom the victim could reasonably be expected to trust, such as a family member, financial advisor, caregiver, or another employee of a caregiving institution.

Such an act constitutes elder abuse regardless of whether the—

- abuse was committed in a community or institutional setting
- act is codified as a crime.

Elder abuse data should be counted at—

- a person-incident unit of analysis, so each victimization a person experiences is counted, and multiple incidents for a given person may be aggregated
- multiple points in the APS investigative process to understand potential prevalence, case processing, and case outcomes. These include—
 - initial reports
 - investigations opened
 - cases substantiated.

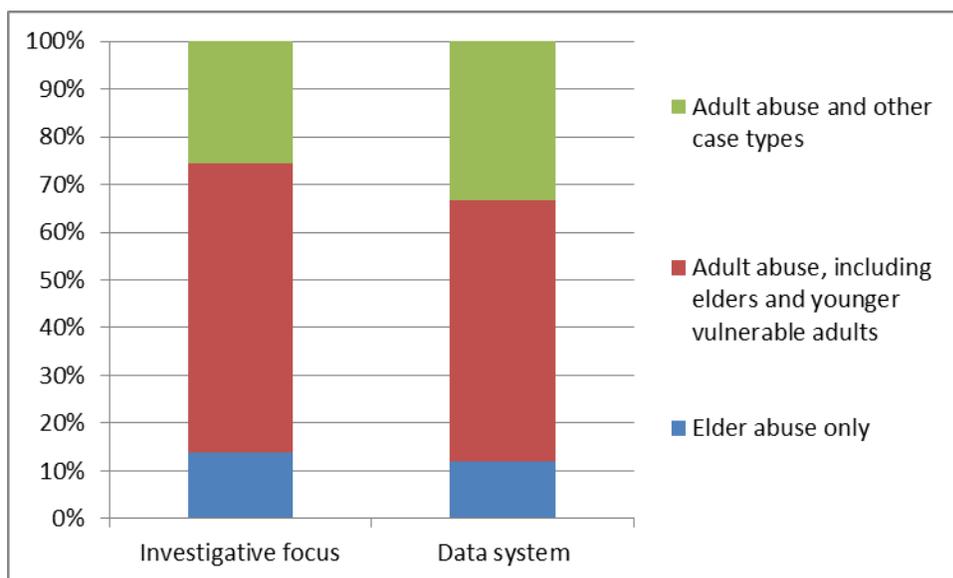
An incident of elder abuse may be counted as criminal in nature when—

- APS refers a given report to the criminal justice system for follow up
- specific incident characteristics are present:
 - physical force or inappropriate restraint that caused bodily injury or impairment
 - any sexual assault
 - psychological or emotional abuse that caused the victim to seek or receive medical or mental health care
 - neglect to provide the necessities of life (e.g., food, clothing, shelter, health care) by a person with a defined caregiving responsibility
 - financial exploitation resulting in the loss of property or when a person without the capacity to consent was coerced to change legal documents or transfer property
 - abandonment by a person with a defined caregiving responsibility.

Scope of APS agency caseloads

Survey findings confirmed that most APS agencies (86%) also respond to cases other than elder abuse. The majority (60%) of state agencies said they worked on elder abuse and the abuse of younger vulnerable adults, and 26% said they worked on elder abuse and other types of cases. In comparison, 14% said they focused exclusively on elder abuse (**figure 5**; appendix table 4). Additionally, about a third (35%) of states said they worked with elders when there was no suspected abuse.¹⁴ These results suggest that the majority of agencies would have databases with a mix of elder abuse and other types of cases.

Figure 5. Scope of APS agency responsibilities and data systems



Note: N = 43 state agencies. Percentages based on nonmissing data. See appendix table 4 for more information.

When asked about the scope of their data systems, 12% of state APS agencies said they had an electronic database for elder abuse cases alone. More than half (55%) said they had a database that covered elder abuse and the abuse of vulnerable adults. A third (33%) said their database maintained information on elder abuse, vulnerable adult abuse, and other case types. Additionally, 33% of respondents reported investigating cases posthumously and maintaining data on those cases within the same data system (appendix table 5).

Because APS agencies typically collected data beyond elder abuse, the survey assessed the extent to which APS data systems could distinguish elder abuse from other case types. Questions evaluated whether elder abuse cases could be identified by the type of abuse, attributes of the victim, and characteristics of the victim-perpetrator relationship. The next sections describe the

¹⁴The survey did not explicitly ask about the nature of this work, but some APS agencies provide services to at-risk individuals.

extent to which APS data systems collected these data elements corresponding to the taxonomy presented in chapter 4 (and table 2 of this chapter).

Offense characteristics: What acts constitute elder abuse?

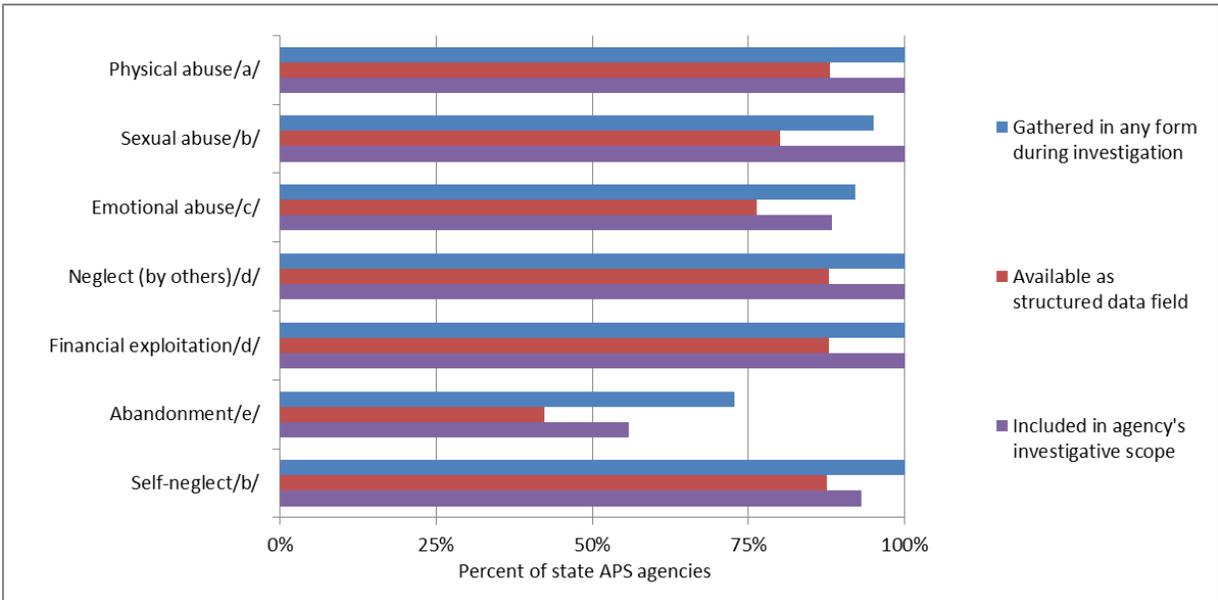
The conceptual framework for defining elder abuse (**chapter 4; table 2**) included the following types of abuse: physical abuse, sexual abuse, psychological or emotional abuse, neglect by others, financial abuse or exploitation, and abandonment. Importantly, this definition excluded self-neglect because it is not a form of victimization against others. Survey items assessed the extent to which APS agencies' data systems could gather information on each of these distinct abuse types. Although self-neglect is excluded from this definition of elder abuse, the survey still assessed whether agencies could capture this information, as it would allow states to exclude such incidents from statistical reporting on elder abuse.

Most states gathered data about these different types of abuse as structured data fields (**figure 6; appendix table 14a**). All state APS agencies collected information about physical abuse, neglect by others, self-neglect, and financial exploitation in their systems; more than 90% collected information about sexual and psychological abuse; and 73% collected information about abandonment. *The availability of structured data fields for most abuse type categories was high, including physical abuse (88%), sexual abuse (80%), emotional abuse (76%), neglect (88%), and financial exploitation (88%). The exception was abandonment, with 42% of states collecting this as a structured data field.*

The extent to which abuse types were gathered corresponded to agencies' investigative responsibilities (**figure 6; appendix table 5**). All states reported an obligation to investigate physical abuse, sexual abuse, neglect by others, and financial or material exploitation; 88% were responsible for investigating emotional or psychological abuse; and 56% investigated reports of abandonment.¹⁵ Most states (93%) also investigated self-neglect.

¹⁵States may be less likely to define, investigate, and track abandonment as a distinct type of abuse. An American Bar Association review of state elder abuse laws found eight states that explicitly defined abandonment as a separate abuse category, and five others explicitly mentioned abandonment as part of a definition of "neglect" or "abuse" (Stiegel & Klem, 2007).

Figure 6. Types of abuse investigated by APS agencies and data availability for each type



Note: Percentages are based on nonmissing data. See appendix tables 5 and 14a for more information.

^aN = 42 state agencies.

^bN = 40 state agencies.

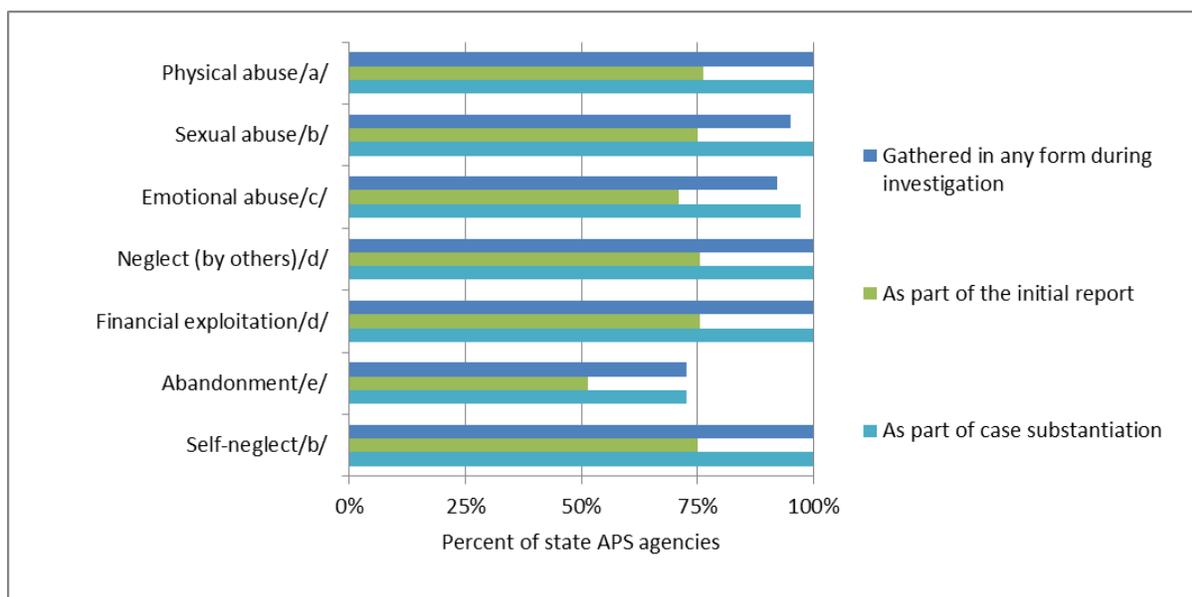
^cN = 38 state agencies.

^dN = 41 state agencies.

^eN = 33 state agencies.

Additionally, stakeholders expressed a need to know about the specific abuse types involved when elder abuse was reported to APS and when cases were substantiated. The types of abuse involved in an incident may not have been fully evident at the start of a case, so it is possible that specific types of abuse at the end of a report are different than what was initially reported. The survey asked whether states gathered information on abuse types when an incident was initially reported and whether they tracked the specific abuse types that were substantiated by the investigation (**figure 7**; appendix tables 14a and 15a). With the exception of abandonment, 71% to 76% of states collected information on the type of abuse alleged at the initial report stage, keeping with the 77% that reported gathering data about initial reports in general. Data availability on substantiated abuse types was higher and corresponded to the availability of information gathered during the investigation. Also with the exception of abandonment, nearly all state APS agencies collected case substantiation by abuse type and 78% to 93% stored this information in structured data fields (appendix table 15a).

Figure 7. Availability of abuse type data at different stages of APS investigation



Note: Percentages are based on nonmissing data. See appendix tables 14a and 15a for more information.

^aN = 42 state agencies.

^bN = 40 state agencies.

^cN = 38 state agencies.

^dN = 41 state agencies.

^eN = 33 state agencies.

Importantly, all states captured information about self-neglect, and 88% collected self-neglect as a structured data field (appendix table 14a). Most states (93%) said they were responsible for investigating and responding to cases of self-neglect (figure 6; appendix table 5). Of the states that responded to reports of self-neglect, 80% conducted a formal abuse investigation and about 73% provided services to elders. Sixty-five percent of states conducted an initial screening to determine jurisdiction before investigating (appendix table 5). Although they provided services to elders in self-neglect reports, about 13% of states expressed that other agencies were responsible for the formal investigation.

Victim characteristics: Who are victims of elder abuse?

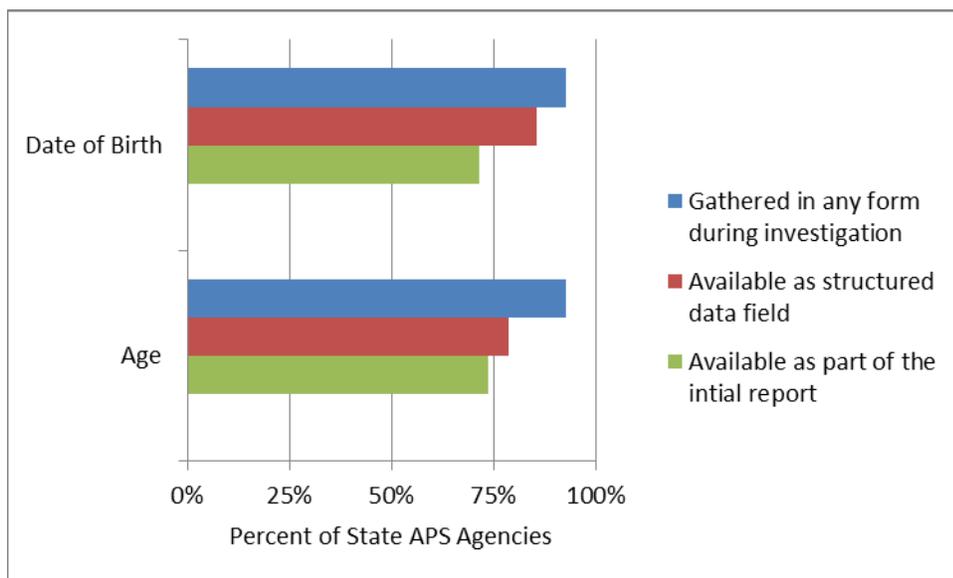
Identifying elder abuse victimization requires knowing the victim's age and vulnerability status. Because APS agencies often serve vulnerable adults of varying ages, the survey asked a series of questions to get at each agency's ability to distinguish clients by age, definition of "elder," and how that status is determined. The survey also assessed the extent to which agencies gathered information on vulnerability status and used that as a criterion for investigating cases.

Age 60 or older

Information on victim age was widely available in state APS data systems. Most states (93%) had the capacity to collect information on victims' date of birth and age and often stored this as structured electronic data: 86% collected date of birth in a structured data field and 79% did the

same for age. Victim age was also available in initial reports of abuse, with 71% and 74% of states, respectively, gathering these two data elements before initiating an investigation (**figure 8**; appendix table 11a).

Figure 8. Victim age information collected by state APS agencies



Note: N = 42 state agencies. Percentages are based on nonmissing data. See appendix table 11a for more information.

The majority of APS agencies serve both older and younger vulnerable adults. Consequently, the survey asked whether and how agencies may distinguish between elders and younger vulnerable adults. The majority of state APS agencies (55%) reported making such a distinction and 64% reported defining a specific age threshold for considering someone an elder (appendix table 6).¹⁶ On average, the age at which someone was considered an elder was 62 (appendix table 6), with 32% reporting age 60 and 65% reporting age 65 (not shown).

Demonstrated vulnerability

Not all victimizations of older adults constitute elder abuse. The taxonomy posits that elder abuse involves the victimization of vulnerable older adults (**chapter 4; table 2**). To document vulnerability, respondents were asked to report on the availability of several measures, including specific disabilities collected by BJS’s National Crime Victimization Survey (NCVS) and indicators of dependence on others and capacity to make decisions.

¹⁶Local APS agencies in the three states with decentralized data collection were more likely to make distinctions between elders and younger vulnerable adults. Most (81%) distinguished between elders and others, and 93% defined an age threshold for elders (appendix table 6). The average age to be considered an elder was 64.

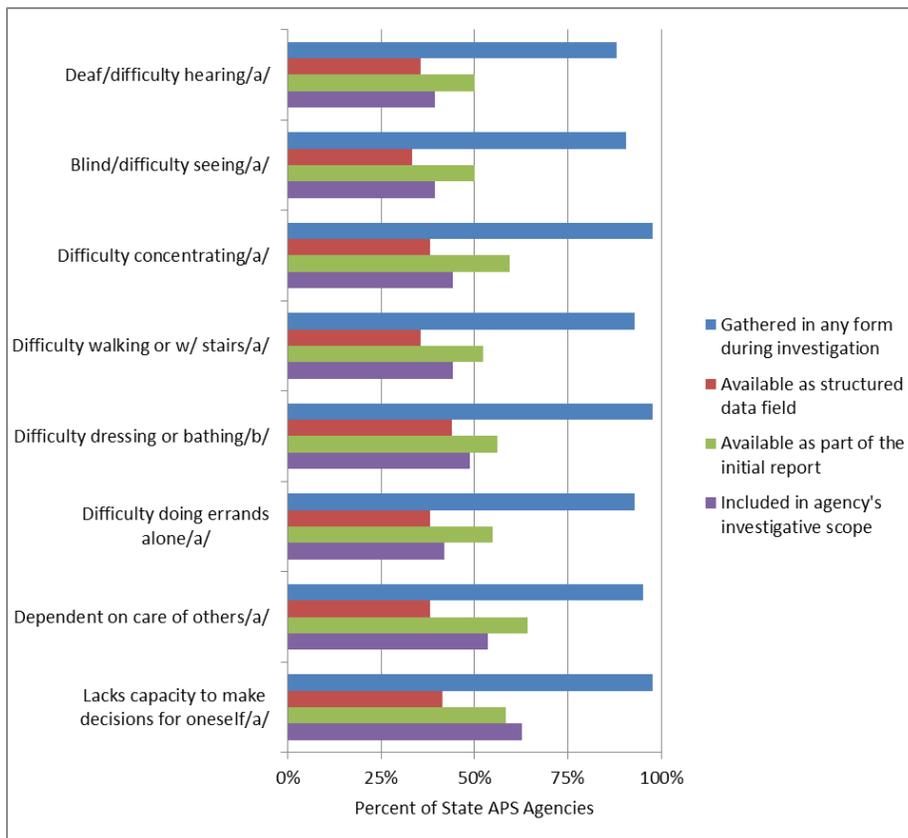
While agencies typically gathered information on victims' vulnerability status, the availability of this information as structured electronic data was low.

The NCVS defines disability as one of the following six limitations: difficulty—

- hearing or deaf
- seeing or blind
- concentrating
- walking or climbing stairs
- dressing or bathing
- doing errands alone.

Especially in the context of aging, additional descriptors that demonstrate vulnerability include dependence on the care of others, lack of capacity to make decisions for oneself, and meeting an agency's definition of "vulnerable adult." Most states gathered these measurements of vulnerability, but relatively few maintained the information as structured electronic data (**figure 9**). Rather, this information was typically stored in harder to retrieve case notes or text fields (appendix table 11a). Looking at the NCVS disability categories, 88% to 98% of states gathered information, but fewer than 44% maintained data as structured data fields.

Figure 9. Victim vulnerability policies and data capacity of state APS agencies



Note: Percentages are based on nonmissing data. See appendix table 11a for more information.

^aN = 42 state agencies.

^bN = 41 state agencies.

Substance use and guardianship status are two alternate dimensions of vulnerability, with substance use indicating potentially impaired judgment and guardianship signifying individuals who cannot manage their own affairs. Agencies were asked to confirm whether victims had a legal guardian at the time of the incident and if they had the capacity to collect data on alcohol use, illegal drug use, inappropriate use of prescription drugs, and substance use in general. As with other measures of vulnerability, most agencies gathered the information, but fewer than half stored it in structured data fields (appendix table 11a). Guardianship status was most often collected as a structured data field by 48% of state APS agencies. Measures of substance use were collected as electronic data fields less often, including alcohol use (38%), illegal drug use (33%), substance use in general (29%), and inappropriate use of prescription drugs (19%).

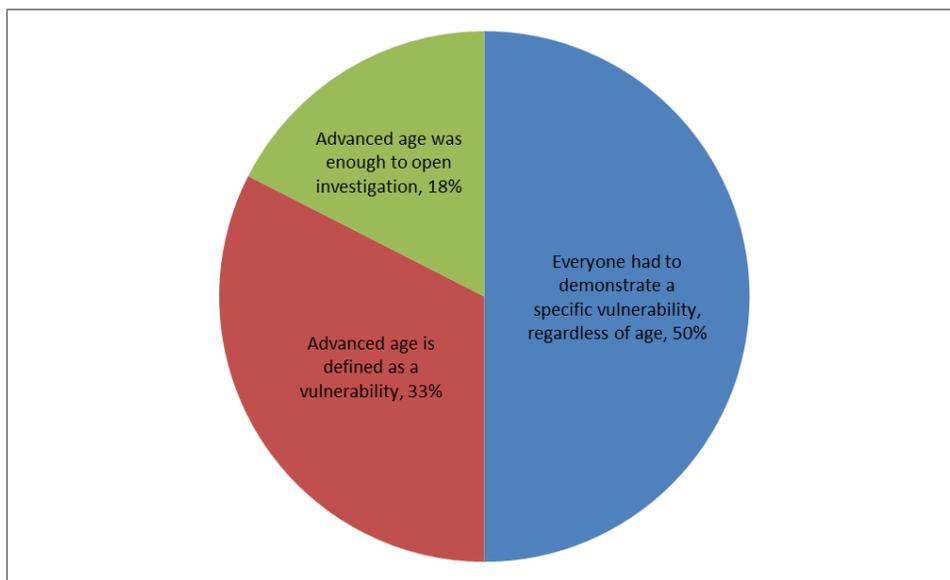
In the majority of states (65%), APS's authority to investigate suspected abuse was restricted to individuals who demonstrated some vulnerability. States were asked how they defined vulnerability and reported a range of conditions (**figure 9**; appendix table 7). The most common vulnerability standards were lacking the capacity to make decisions for oneself (63%) and being dependent on the care of others (54%). Each of the remaining measures of disability (e.g., blindness, deafness, and difficulties walking or getting around on one's own) was reported as a criterion for vulnerability by fewer than half the states. Other vulnerabilities defined by APS agencies were legal guardianship (40%), living in a long-term care facility (35%), advanced age (33%), and receiving services from a care agency (30%).

Intersection of age and vulnerability

Advanced age is another criterion that states used in defining vulnerability. A third (33%) defined vulnerability in terms of advanced age (appendix table 7). The most common thresholds for advanced age were age 65 (79%) and age 60 (15%) (not shown).

Looking at the intersection of age and vulnerability (figure 10), the survey found that half of the states were authorized to investigate abuse only when individuals demonstrated some vulnerability other than age alone. Advanced age was sufficient to open an investigation in the other half, but in a third of states, advanced age itself was defined as a specific vulnerability.

Figure 10. Intersection of vulnerability and age requirements reported by state APS agencies



Note: N = 43 state agencies. Percentages based on nonmissing data. See appendix table 7 for more information.

Perpetrator characteristics: What is the relationship between victims and perpetrators of elder abuse?

One of the defining aspects of elder abuse is the expectation of trust between the victim and perpetrator (**chapter 4; table 2**). The victim-perpetrator relationship may be a family, social, caregiving, or professional connection. It includes persons whose role carries an expectation of trust even if that person is not personally known to the victim (e.g., the administrator of a care facility). Other victimizations by strangers fall outside this definition of elder abuse.

The survey asked agencies to report on the specific relationships they were capable of recording in their systems and policies for defining the victim-perpetrator relationship. The specific relationship categories assessed were intimate partner, adult child, adult grandchild, other family member, nonfamily friend or acquaintance, paid caregiver, health care provider, other employee of a caregiving institution, or financial professional. Though strangers are not perpetrators of elder abuse by definition, the survey also asked about this category to ascertain whether agencies may be able to exclude such instances.

Most respondents gathered information on the victim-perpetrator relationship, but availability as a structured data field was typically moderate from 50% to 74% (figure 11; appendix table 12a).

Nearly all the states had the capacity to collect information on abuse committed by intimate partners and paid caregivers (98% each); other family members (95%); adult children, nonfamily friends or acquaintances, and health care providers (93% each); adult grandchildren (90%); financial professionals (88%); and other employees of caregiving institutions (85%). Most states (84%) also gathered information on whether the perpetrator was a stranger. However, the extent to which state agencies collected relationship categories as structured data fields was substantially lower, ranging from 38% to 76%. The stranger category was least likely to be

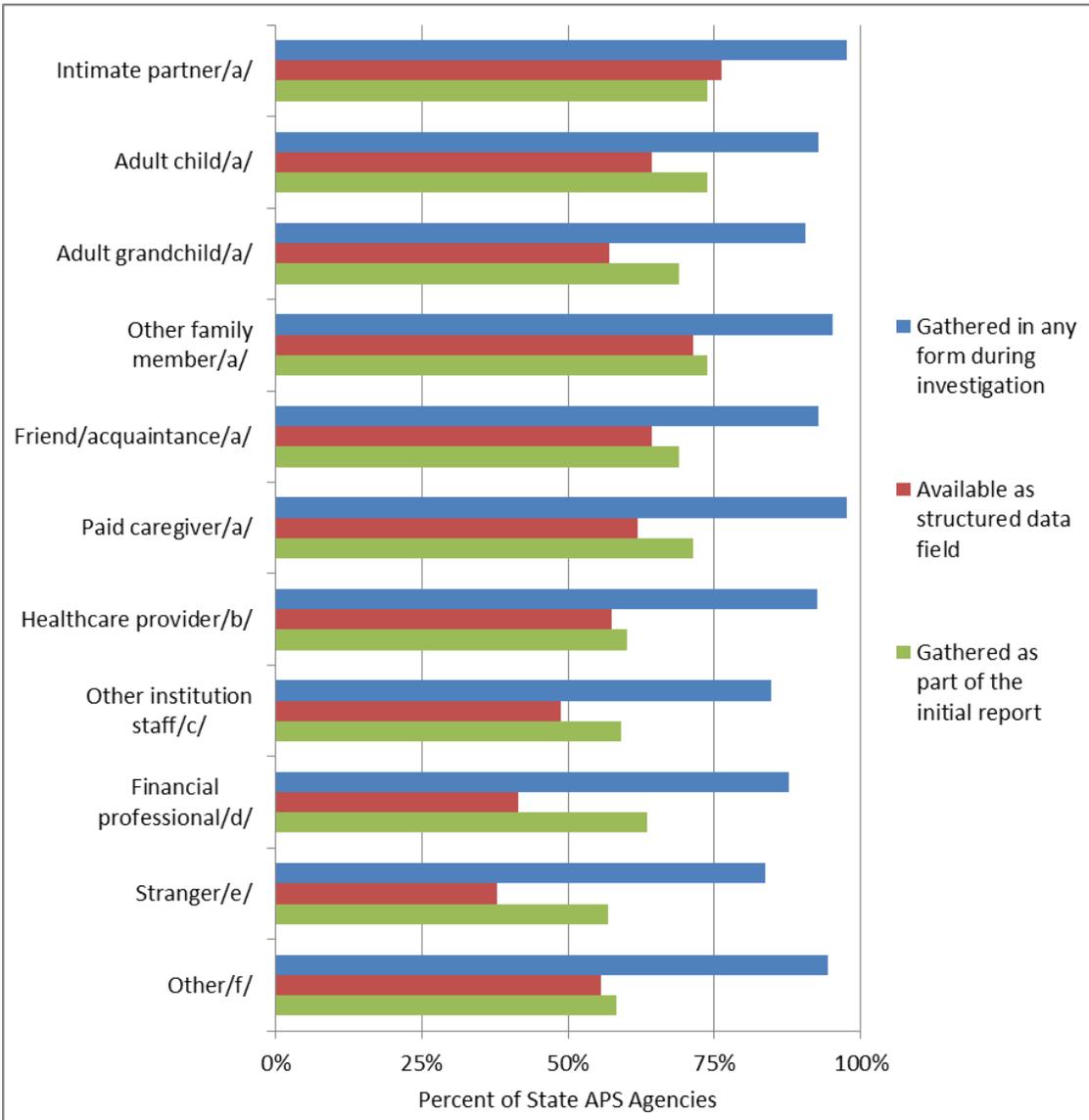
collected as a structured field (38%) while intimate partner was collected by three-quarters (76%) of states as a structured data field. Fifty-seven percent to 74% of states collected relationship characteristics at the report stage.

In a quarter (24%) of states, the victim-perpetrator relationship determined if an investigation could be opened (appendix table 8). These ten respondents typically considered the following relationship types as within their investigative scope, to varying degrees: family members (all 10, 100%); paid caregivers (90%); financial professionals (70%); medical professionals (60%); and facility personnel (50%). In five of these 10 states, the abuser did not need to be aware of the victim's vulnerability, suggesting that abuse could have been committed by someone with a distant relationship to the victim. Four of the 10 states reported that they considered it abuse, even if perpetrated by a stranger.

In comparison, three-quarters of states (76%) reported that the victim-perpetrator relationship did not restrict their investigative scope. Additionally the majority of states (62%) gathered information on whether the alleged perpetrator met their agency's definition of an abuser, though a much smaller share (24%) maintained this as structured electronic data (appendix table 12a).

These results suggest that APS agencies potentially investigated relationship types that fall outside the BJS definition of elder abuse in many states. This includes strangers who scam older adults, which 88% of APS agencies investigated (appendix table 5). However, APS data system capacity to identify and exclude strangers from data reporting was relatively low, with 38% collecting this information as a structured data field.

Figure 11. Victim-perpetrator relationship categories collected by state APS agencies



Note: Percentages based on nonmissing data. See appendix table 12a for more information.

^aN = 42 state agencies.

^bN = 40 state agencies.

^cN = 39 state agencies.

^dN = 41 state agencies.

^eN = 37 state agencies.

^fN = 36 state agencies.

Criminality and other attributes of elder abuse cases

When is elder abuse a crime?

Certain cases of elder abuse may be criminal in nature, but legal definitions vary across states. The survey examined whether agencies may be able to differentiate criminal incidents of abuse based on a uniform set of case severity characteristics recorded in data. The elder abuse taxonomy developed for this project outlined incident characteristics specific to each type of abuse (**chapter 4**). For example, physical abuse that caused injury or involved weapons or the inappropriate restraint of the victim counts as a crime. In comparison, physical abuse limited to pushing or shoving is not classified as a crime unless it resulted in injury.

The survey found that APS data systems often collected information about the severity of elder abuse incidents, but rarely as structured electronic data, making retrieval for statistical reporting challenging. Referrals to and from the criminal justice system may be alternate indicators, and agencies often recorded these as structured data. However, the interpretation of these referrals requires an understanding of varying state policies on when to refer cases.

Indicators of injury and abuse severity

The criteria for defining abuse as criminal for research and statistical reporting purposes varied by abuse type and are summarized here (**chapter 4**). These typically involve the extent of injury, but the criteria sometimes consider whether the victim has the capacity to make decisions or whether the perpetrator has caregiving responsibility:

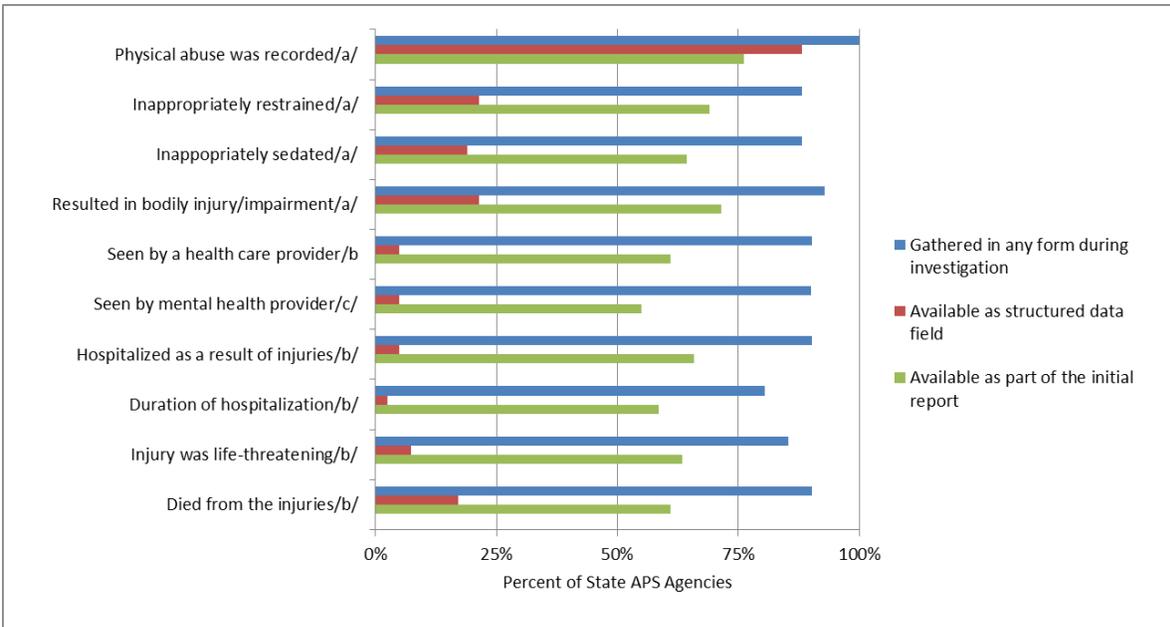
- **physical abuse** that caused injury, involved weapons, or the inappropriate restraint of the victim
- any form of **sexual abuse**, as this abuse type includes any sexual contact against the individual's will
- **psychological or emotional abuse** that caused an individual to seek medical or mental health care
- **neglect** by someone in a caregiving role
- any unauthorized use of the elder's **financial or material** resources for another's gain and pressuring an elder to change legal documents when the individual lacks the capacity to make such decisions
- **abandonment** by someone in a caregiving role.

By definition, all instances of sexual abuse may be criminal in nature, and most APS agencies (80%) collected this type of abuse as structured electronic data (**figure 6**). Identifying criminal instances of other abuse types requires combining abuse type information with more in-depth information about the case.

Figures 12-16 display data element availability for characterizing physical abuse, emotional abuse, neglect, financial exploitation, and abandonment as criminal (appendix table 17a). Figure 17 shows the extent to which APS agencies collect information on weapon use, which could be an element of criminality for all abuse types. Looking across abuse types, more than 80% of state

APS data systems gathered information about these abuse characteristics but less than 20% collected the information in structured data fields that would facilitate retrieval and reporting. *Due to rates of availability as structured data fields, APS data systems may not be used to ascertain criminality by the severity of elder abuse incidents.*

Figure 12. Data elements for differentiating criminal incidents of physical abuse



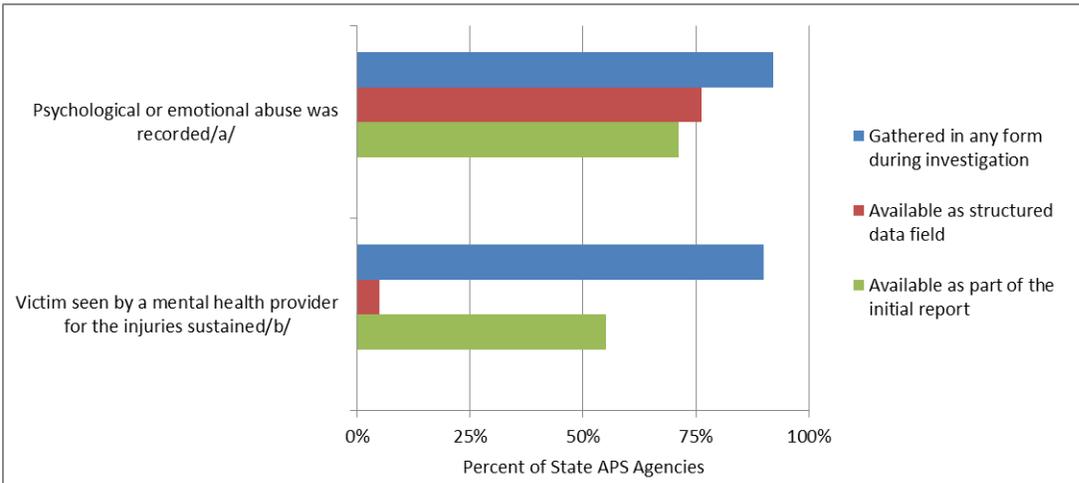
Note: Percentages are based on nonmissing data. See appendix table 17a for more information.

^aN = 42 state agencies

^bN = 41 state agencies

^cN = 40 state agencies

Figure 13. Data elements for differentiating criminal incidents of psychological or emotional abuse

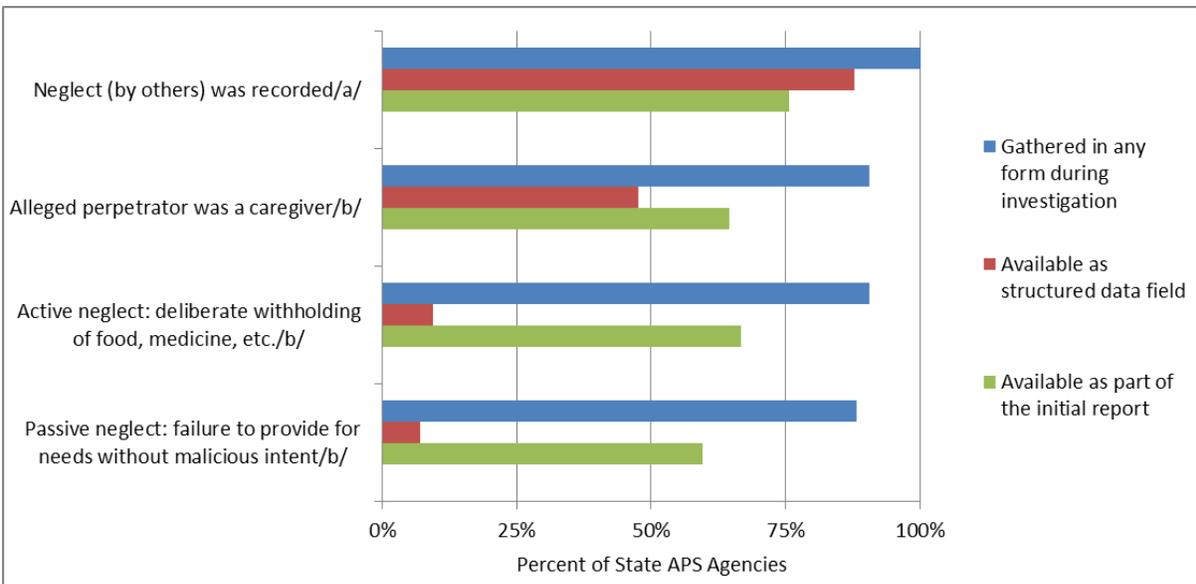


Note: Percentages are based on nonmissing data. See appendix table 17a for more information.

^aN = 38 state agencies.

^bN = 40 state agencies.

Figure 14. Data elements for differentiating criminal incidents of neglect

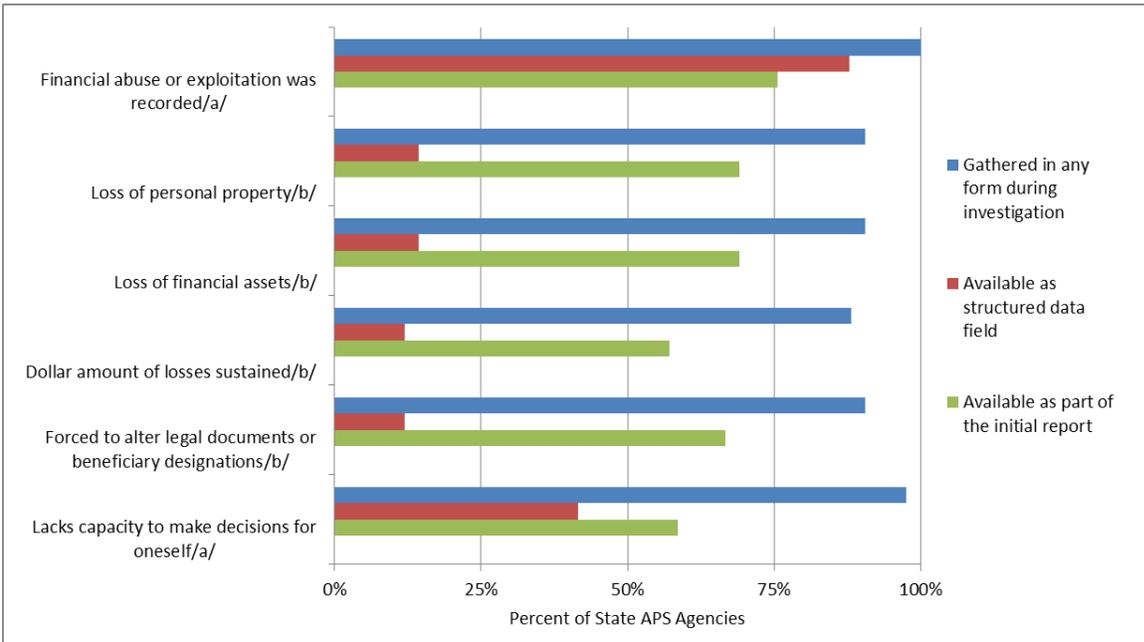


Note: Percentages are based on nonmissing data. See appendix table 17a for more information.

^aN = 41 state agencies.

^bN = 42 state agencies.

Figure 15. Data elements for differentiating criminal incidents of financial or material exploitation

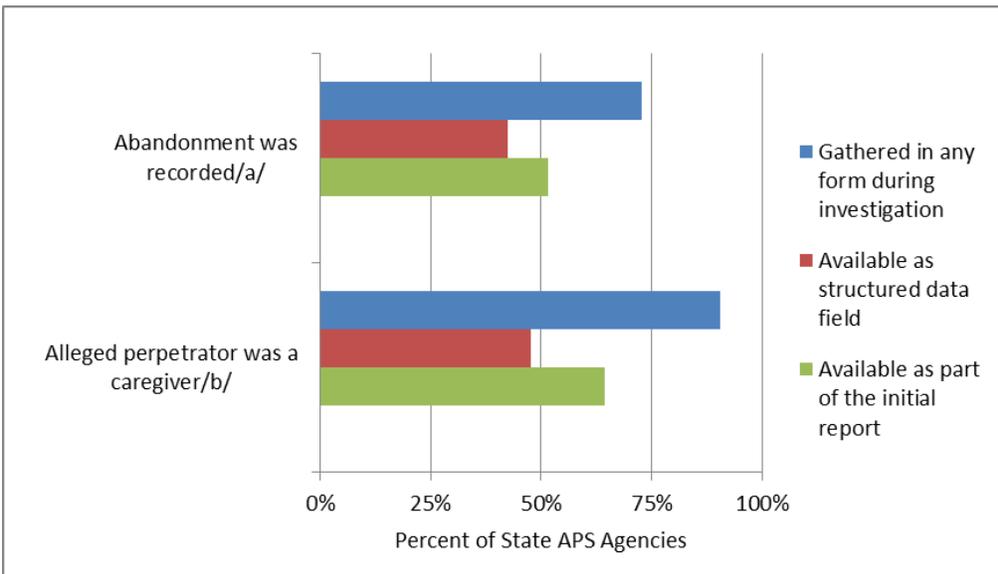


Note: Percentages are based on nonmissing data. See appendix table 17a for more information.

^aN = 41 state agencies.

^bN = 42 state agencies.

Figure 16. Data elements for differentiating criminal incidents of abandonment

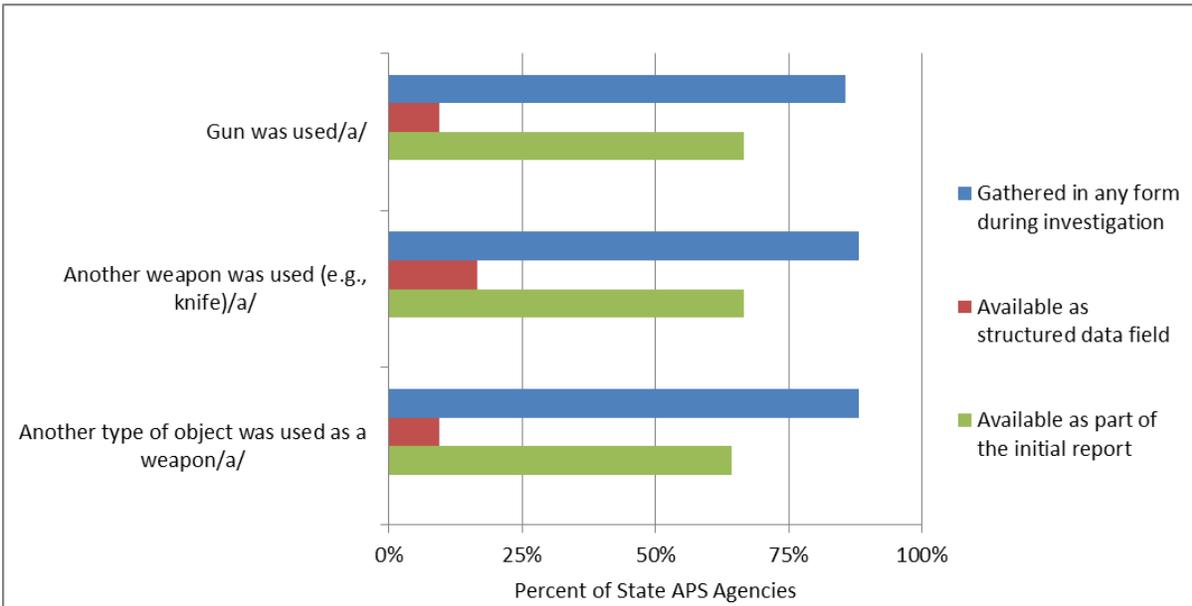


Note: Percentages are based on nonmissing data. See appendix table 17a for more information.

^aN = 33 state agencies.

^bN = 42 state agencies.

Figure 17. Data elements on weapon use

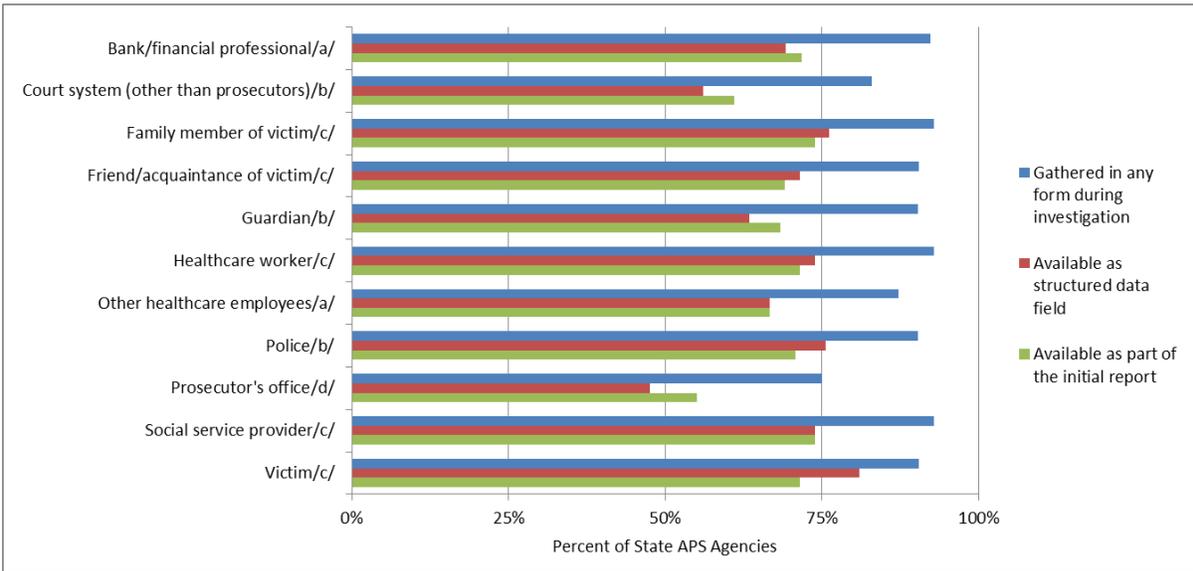


Note: Percentages are based on nonmissing data. See appendix table 17a for more information.
a/ N = 42 state agencies.

Referrals to and from the criminal justice system

When suspected abuse comes to the attention of the criminal justice agencies, state law often requires reporting to APS. However, *reports from the criminal justice system are not necessarily criminal in nature. They also may represent suspected abuse that the criminal justice system felt was insufficiently severe for its jurisdiction or better served by APS.* Most state APS agencies collect information on the source of reports, including referrals from police (90%), prosecutors' offices (75%), and other reporting sources (**figure 18**; appendix table 13a). Reports from police in particular are usually recorded in structured database fields (76%), but reports from prosecutors' offices are less widely available as structured electronic data (48%).

Figure 18. Reporting sources maintained by state APS agencies



Note: Percentages are based on nonmissing data. See appendix table 13a for more information.

^aN = 39 state agencies.

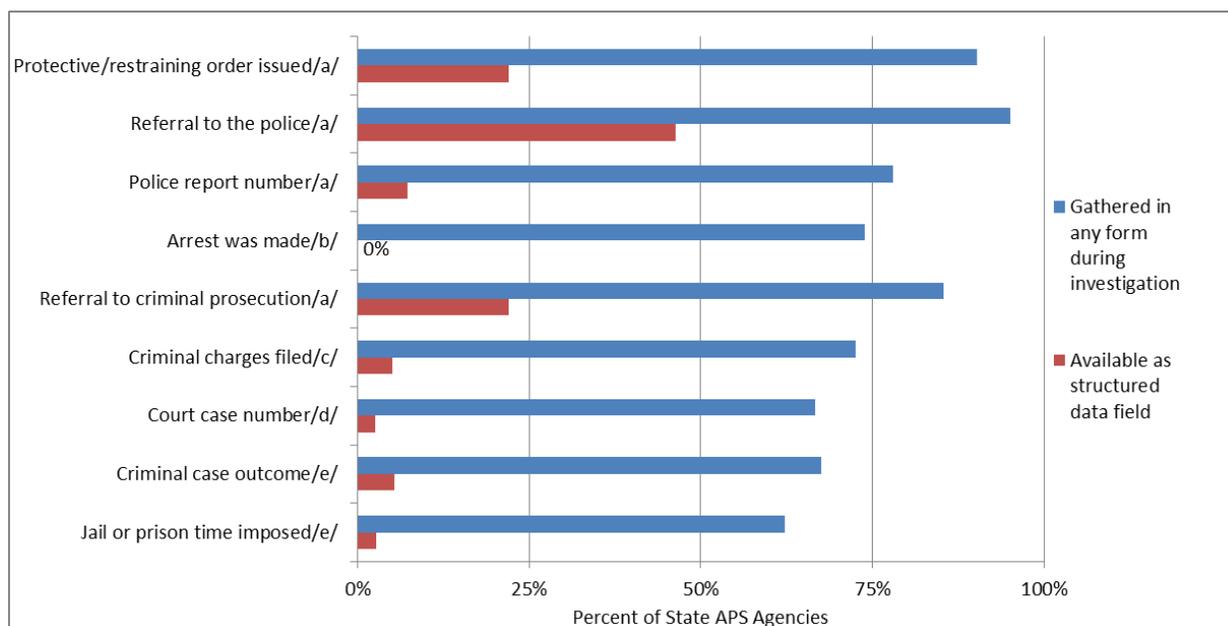
^bN = 41 state agencies.

^cN = 42 state agencies.

^dN = 40 state agencies.

Referral to the criminal justice system after APS investigation may indicate criminal abuse more correctly. Most APS agencies gathered information about referrals to police and prosecution, but less frequently as structured data (figure 19; also appendix table 15a). Nearly all (95%) could record whether there was a referral to police, and 85% could record whether there was a referral to prosecution. However, *fewer than half (46%) used structured data fields to record referrals to police, and 22% had structured fields for collecting information on referrals to prosecution*. The survey found similar results with other justice system outcomes, including protective orders (90%), arrest (74%), charge filing (73%), conviction (68%), and sentencing (62%). However, little of this information was captured as a structured electronic data field. A fifth (22%) recorded the issuance of a protective order using structured fields. Typically, 5% or fewer used structured fields to record information about case outcomes, and none used structured fields to record arrests. The survey also asked about the recording of case numbers to cross-reference or potentially link APS and criminal justice data. While police and court case numbers were recorded by more than half of agencies, 7% and 3%, respectively used structured fields to record them.

Figure 19. Criminal justice system outcomes maintained by state APS agencies



Note: Percentages are based on nonmissing cases. See appendix table 15a for more information.

^aN = 41 state agencies.

^bN = 42 state agencies.

^cN = 40 state agencies.

^dN = 39 state agencies.

^eN = 37 state agencies.

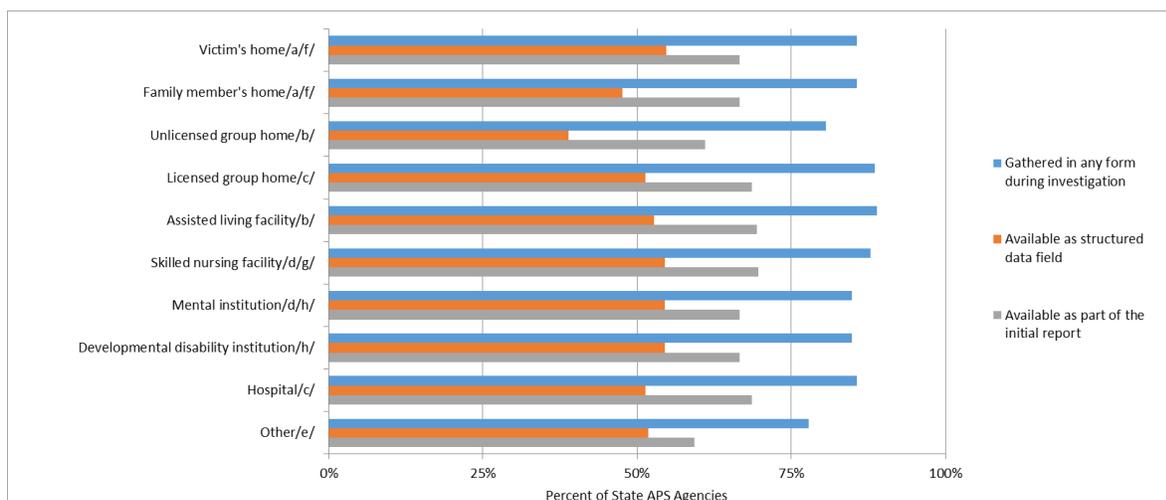
Further, referral to the criminal justice system is an imperfect measure of whether a given incident of elder abuse constitutes a crime due to variation in states’ reporting policies. Most states (83%) had policies on when to report substantiated cases to the criminal justice system, but in more than a third (38%), all substantiated cases had to be reported (appendix table 9). Although case substantiation means that the allegations were proved, it does not indicate anything about the severity or criminal nature of the abuse. In the remaining 62% of states that did not refer all cases of substantiated abuse to the criminal justice system, criteria for criminal justice referral varied. Nearly all (21 of 23 states) referred cases that they defined as criminal in nature. These states additionally had policies for referring all substantiated cases within specific abuse types, including sexual abuse (11 of 23 states), physical abuse (9), financial exploitation (9), neglect (5), psychological abuse (3), and abandonment (1).

What is the abuse setting or location for these incidents?

The survey assessed the extent to which APS agencies record the location of alleged incidents of abuse. The definition of elder abuse is not restricted to any particular location, but differential APS jurisdiction may affect the location types that they investigate and that are available from agencies’ databases. The availability of APS data on abuse location and agency policies on investigative authority in different settings are summarized here.

The survey asked respondents whether they collected the location where the abuse occurred using the range of community location and facility type categories. State agencies typically collected information on these location types, but availability as structured data was approximately 50% (**figure 20**; appendix table 14a). State APS agencies collected the following community locations as structured electronic data: victim’s home (55%), family member’s home (48%), and unlicensed group home (39%).¹⁷ Facility locations collected as structured data included skilled nursing, mental, and developmental disability institutions (55% each); assisted living facilities (53%); and hospitals and licensed group homes (51% each).¹⁸

Figure 20. Locations of abuse collected in state APS data systems



Note: Percentages are based on nonmissing cases. See appendix table 14a for more information.

^aN = 42 state agencies.

^bN = 36 state agencies.

^cN = 35 state agencies.

^dN = 33 state agencies.

^eN = 27 state agencies.

^fInvestigative scope reflects community settings in general.

^gInvestigative scope reflects institutional settings in general.

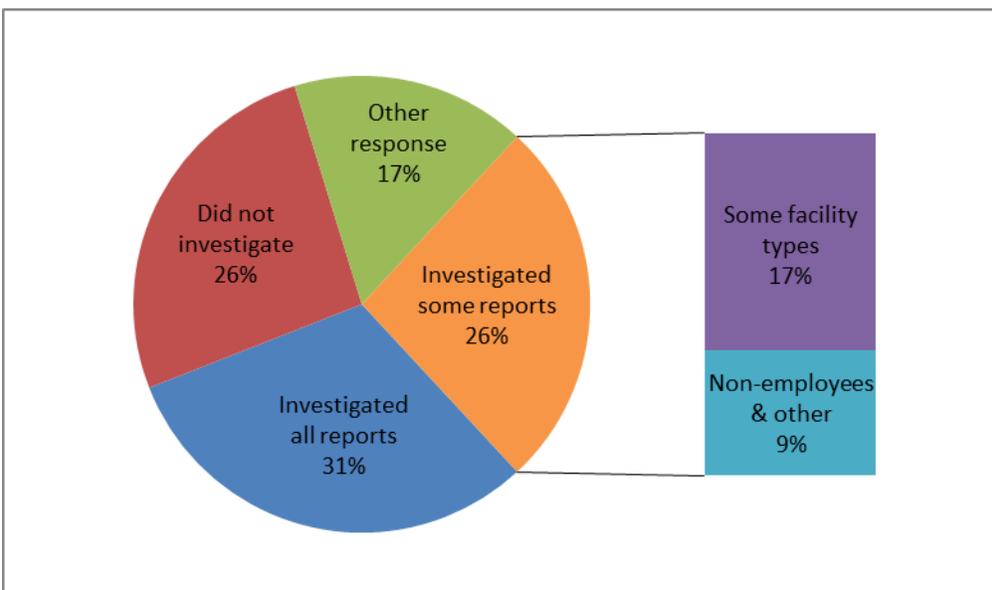
^hInvestigative scope reflects both of these institution types.

¹⁷Respondents were asked which locations they defined as facilities. While 84% of states classified licensed group homes as facilities, fewer (35%) defined unlicensed group homes as facilities (appendix table 10).

¹⁸More than three-quarters of state respondents defined each of these categories as facilities or institutions: licensed group home (84%), assisted living facility (81%), nursing home (88%), state mental illness facility (81%), state developmental disability facility (79%), and hospital (77%) (appendix table 10).

Respondents were asked about their investigative jurisdiction over community and facility settings to estimate the completeness of reporting about these locations. *While 100% of states responded to abuse in community settings, fewer than two-thirds (64%) were responsible for responding to abuse in facilities or institutions (appendix table 10). Even in states where APS responded to abuse in facilities, their jurisdiction is sometimes limited.* Facilities also fall under the jurisdiction of health care licensing and regulatory agencies (chapter 3). Thirty-one percent of state APS agencies said they were responsible for investigating all reports of facility abuse, 26% said they were responsible for investigating some facility cases, 26% said they were not responsible for investigating any reports of abuse in facilities, and 17% reported other responses (figure 21). Agencies reported responding to some cases typically due to having jurisdiction over a limited number of facility types. At other times, APS was restricted to investigations in which the alleged perpetrator was not a member of the institution’s staff (e.g., if one resident abused another).

Figure 21. State APS policy on responding to facilities and institutions



Note: N = 43 state agencies. Percentages are based on nonmissing data. See appendix table 10 for more information.

Other case attributes of interest

The United Nation’s Task Force on Crime Classification’s 2012 report recommends that statistical data collections obtain detailed information about victimization incidents to describe acts in a granular fashion and create more comprehensive crime classifications. Furthermore, elder abuse stakeholders expressed interest in client-focused case characteristics and outcomes. In response, the online survey assessed the extent to which APS agencies collected in-depth information on incident, victim, and perpetrator characteristics beyond what is needed to simply identify cases as elder abuse. Incident characteristics assessed included the timing of suspected abuse, level of completion of incidents (e.g., differentiating between attempted and completed acts), use of weapon and restraints, use, specific elements of neglect, and extent of injury to victims.

Additionally, the survey asked about the collection of victim and perpetrator attributes—such as demographics, relationship, and housing characteristics—and prior histories of victimization and perpetration.

Incident characteristics

The survey found that *APS agencies often gathered detailed information about the abusive incident in the course of an investigation. However, retrieval for statistical reporting may be difficult* because these data were rarely recorded in structured data fields. The types of incident information collected are listed below:

- **Time of suspected abuse.** The majority of APS agencies (more than 72%) collected information on the date, time, and serial nature of abuse incidents. However, electronic availability was low, with 20% to 52% of respondents collecting this information in structured data fields (appendix table 14a).
- **Weapon and restraint use.** APS agencies generally collected information on whether guns, other weapons, or other objects were used in the commission of abusive act. Eighty-six percent or more agencies gathered this information in the course of an investigation. Ten to 21% maintained such information in structured database fields (appendix table 14a).
- **Level of completion.** Eighty-six percent of APS agencies recorded whether an act was threatened, attempted, or completed, but 14% stored the information in a structured data field (appendix table 14a).
- **Injuries sustained.** APS agencies gathered a range on information about bodily injuries (93%), nonconsensual sexual contact (88%), elements of neglect (88% to 90%), financial losses (88% to 90%), and the receipt of physical and mental health care in response to these injuries (80% to 90%). Availability of this information was low, with 2% to 24% of agencies maintaining such information in structured data fields (appendix table 14a).

Victim and alleged perpetrator characteristics

Information about victims was available more often than information on perpetrators. Most state APS agencies collected victim demographics and did so in structured data fields (appendix table 11a). Comparable demographic information about perpetrators was less available. While information was gathered more than half the time, there was relatively lower availability as structured electronic data (appendix table 12a). Information on perpetrators' histories was less available and rarely stored as structured data. Similarly, information on abuse histories was often collected as case notes rather than structured data.

- **Victim demographics.** In addition to recording victims' ages, as reported earlier, agencies gathered information on victims' sex (93%), race (88%), and Hispanic origin (75%). These were typically available as structured data fields. Victims' sex was available as an electronic field from 90% of agencies, race from 83%, and Hispanic origin from 70% (appendix table 11a).

- **Alleged perpetrator demographics.** Agencies most often recorded the sex of a perpetrator, with 79% of agencies gathering the information and 64% storing it in a structured field. Other characteristics were gathered less often, including age (74%), race (68%), and Hispanic origin (54%). Availability as structured fields was lower, ranging from 44% to 52%. Additionally, 55% of agencies recorded whether the alleged perpetrator was a vulnerable adult, but 5% recorded this in a structured data field (appendix table 12a).
- **Abuse and perpetration histories.** Most APS agencies recorded when a victim was first reported to the agency (80%), but this was available electronically less often (58%) (appendix table 11a). Perpetration history was collected less often, and rarely as a structured data field (appendix table 12a). Two-thirds of agencies (68%) recorded perpetrators' criminal history, but availability as a structured data field was considerably lower at 15%. Findings for other dimensions of a perpetrator's history were similar (e.g., presence of a protective order, being listed on an abuser registry, and being under criminal justice supervision).

Client-focused case outcomes

Elder abuse stakeholders were also interested in the availability of information on client-focused noncriminal justice outcomes, notably changes in housing and guardianship following APS investigation. Stakeholders also expressed interest in noncriminal justice outcomes for victims and perpetrators. *Information on these outcomes was typically collected by APS agencies, but availability as structured electronic data was low.*

- **Housing and living arrangements.** APS agencies generally gathered information about where victims resided when the abuse was reported, whether they had lived with the alleged perpetrator, and whether there was a change in living arrangements after the investigation. Most agencies (75% or more) gathered information on the type of residence a victim lived in (e.g., their own home, someone else's home, assisted living). However, such categories were available as structured data fields from far fewer agencies (39% to 68%). Similarly, most agencies gathered information about whether victims and perpetrators lived together (90%) and whether victims changed residences since the incident (85%). Data availability was much lower—43% and 12%, respectively for these items (appendix table 11a).
- **Guardianship.** Most APS agencies (93%) gathered information on whether the alleged perpetrator had guardianship over or power of attorney for the victim, and availability as a structured data field was 55% (appendix table 12a). Similarly 67% collected information on guardianship proceedings and whether there was a change in guardianship (88%), but structured electronic data availability was lower, 3% and 24%, respectively (appendix table 15a).
- **Noncriminal justice system outcomes.** APS agencies recorded whether protective or restraining orders were obtained (90%) and also whether perpetrators faced noncriminal justice sanctions, like being placed on an abuser registry (67%) or losing licensure (58%)

(appendix table 15a). However, the availability of structured electronic data was low: 22% for protective orders, 17% for inclusion on an abuser registry, and none had a field for loss of licensure.

APS data system capacity to generate key indicator statistics

As described in chapter 2, Urban and BJS developed a set of key indicator statistics in conjunction with stakeholders from the Department of Justice and U.S. Department of Health and Human Services at a meeting of the Federal Interagency Working Group on Elder Abuse (see *Key indicator statistics needed by elder abuse stakeholders* text box). This section describes APS agencies' ability to generate key indicator statistics based on the units of count, cohorts of data, and case characteristics maintained in APS data systems. ***The analysis finds that agency data systems are limited in their ability to produce statistical information on elder abuse, mainly due to a lack of structured information on victim vulnerability. However, information is often available within agency case notes, and there is potential to infer vulnerability status from data on agency policies.***

Key indicator statistics needed by elder abuse stakeholders include –

- number of suspected victimizations reported to APS, which represents all potential victimizations known to Adult Protective Services (APS)
- percentage of suspected victimizations reported by the criminal justice system (e.g., police and prosecutors); victims; their family and friends; health care workers; social service providers; bank and financial professionals; and other justice system actors (e.g., civil courts, attorneys)
- percentage of victims who have previous reports of abuse to APS
- number of reported victimizations investigated by APS
- percentage of victims with cases investigated by APS
- number of victimizations substantiated by APS
- percentage of victims (reported and investigated) whose cases were substantiated by APS
- number and percentage of victimizations (reported, investigated, and substantiated) that were criminal in nature
- number of victimizations referred by APS to the criminal justice system (e.g., police or prosecutors)
- percentage of victims (reported, investigated, substantiated, and criminally victimized) whose cases resulted in—
 - arrest
 - prosecution
 - conviction
 - an alternative sanction or outcome, such as a protective order, loss of licensure, loss of guardianship, or inclusions on an abuser registry

- percentage of victims (reported, investigated, substantiated, and criminally victimized) by the following eight personal and abuse characteristics—
 - age
 - sex
 - race
 - abuse type (e.g., physical, sexual, psychological, neglect, financial exploitation, or abandonment)
 - abuse location: community (e.g., victim’s home, family member’s home, unlicensed group home) or institution (e.g., nursing home, assisted living facility, licensed group home)
 - disability type (e.g., hearing, vision, cognitive, or ambulatory limitation, or the inability to perform self-care tasks or activities needed for independent living)
 - capacity (e.g., ability to make decisions for oneself)
 - relationship to the perpetrator (e.g., intimate partner, family member, caregiver, nonfamily acquaintance, or stranger)

Reporting cases using a standard definition of elder abuse

To produce key indicator statistics about elder abuse, APS agencies must first be able to categorize cases as elder abuse using a standard definition (**chapter 4; table 2**). This definition of elder abuse is multidimensional, including the age and vulnerability of the victim, relationship to the perpetrator, and specific acts committed.

The survey asked whether case characteristics are gathered and stored in any form, including paper records, electronic free text (e.g., case notes), or structured database fields. However, data availability for statistical reporting is based on the extent to which information is stored in structured data fields because this facilitates efficient data retrieval and tabulation.

The 2015 survey of APS agencies found that *most APS data systems gathered the information needed to define a case as elder abuse, but availability as structured data fields was limited*. Thus, counting cases would be labor intensive. Table 4 shows the availability of information on each element of the definition of elder abuse. Data availability is characterized as—

- **high or widespread** if 75% or more agencies maintained information as structured data fields
- **moderate** if 50-74% of agencies maintained information as a structured data field
- **low or rare** if fewer than 50% of agencies maintained information as a structured data field.

While data on age, perpetrator relationship, and abuse characteristics were widely collected and generally available as structured data fields, data on vulnerability were rarely available. Agencies collected information on vulnerability, but it was often stored as text within case notes, making retrieval for statistical reporting difficult. In the absence of data on specific vulnerabilities, it may

be possible to infer vulnerability in half (50%) of states because APS only investigates cases in which the victim has demonstrated a specific vulnerability other than age. This increases the extent to which APS data could be used to count instances of elder abuse, but through a combination of case-level and policy information.

Table 2. Key elements of the definition of elder abuse gathered by state Adult Protective Services agencies

Characteristic	Item number	Percent of state APS agencies—	
		Gathered in any form	Available as structured data field
Abuse type			
Physical abuse	B11ai	<i>100.0%</i>	<i>88.1%</i>
Sexual abuse or abusive sexual contact	B11aii	<i>95.0</i>	<i>80.0</i>
Psychological or emotional abuse	B11aiii	<i>92.1</i>	<i>76.3</i>
Neglect (by others)	B11aiv	<i>100.0</i>	<i>87.8</i>
Financial abuse or exploitation	B11avi	<i>100.0</i>	<i>87.8</i>
Abandonment	B11avii	<i>72.7</i>	42.4
Victim age			
Date of birth	B1c	<i>92.9%</i>	<i>85.7%</i>
Age	B1e	<i>92.9</i>	<i>78.6</i>
Victim vulnerability			
Deaf or has difficulty hearing	B2a	<i>88.1%</i>	35.7%
Blind or has difficulty seeing	B	<i>90.5</i>	33.3
Difficulty concentrating	B2c	<i>97.6</i>	38.1
Difficulty walking or climbing stairs	B2d	<i>92.9</i>	35.7
Difficulty dressing or bathing	B2e	<i>97.6</i>	43.9
Difficulty doing errands alone	B2f	<i>92.9</i>	38.1
Dependent on the care of others	B2g	<i>95.2</i>	38.1
Lacks capacity to make decisions for oneself	B2h	<i>97.6</i>	41.5
Perpetrator-victim relationship			
Intimate partner	B6ai	<i>97.6%</i>	<i>76.2%</i>
Adult child	B6aii	<i>92.9</i>	<i>64.3</i>
Adult grandchild	B6aiii	<i>90.5</i>	<i>57.1</i>
Other family member	B6aiv	<i>95.2</i>	<i>71.4</i>
Nonfamily friend or acquaintance	B6av	<i>92.9</i>	<i>64.3</i>
Paid caregiver	B6avi	<i>97.6</i>	<i>61.9</i>
Healthcare provider	B6avii	<i>92.5</i>	<i>57.5</i>
Other employee of caregiving institution	B6aviii	<i>84.6</i>	48.7
Financial professional	B6aix	<i>87.8</i>	41.5
Stranger	B6ax	<i>83.8</i>	37.8

Characteristic	Item number	Percent of state APS agencies—	
		Gathered in any form	Available as structured data field
Other	B6axi	<i>94.4</i>	55.6

Note: Data elements with high availability (75% or more) are in ***bold italics***. Data elements with moderate availability (50-74%) are in boldface.

Case characteristics and outcomes of interest

Stakeholders expressed an interest in specific victim and incident characteristics. Although APS agencies currently lack the electronic data capacity to subset elder abuse cases from their caseloads, the following outlines the general availability of these case characteristics as structured data fields that would allow key indicator statistics to be generated:

- **Victim demographics.** Most agencies gathered information on victim characteristics as structured data elements, including age (79%), sex (91%), race (83%), and Hispanic origin (70%) (appendix table 11a).
- **Victim vulnerability and capacity.** Relatively few APS agencies gathered this information as structured data fields, ranging from 33% that collected information on blindness to 44% that collected information on difficulty bathing and dressing. Additionally, 42% collected structured data on whether individuals lacked the capacity to make decisions for themselves. Agencies typically collected information about vulnerability in case notes rather than electronic data fields (appendix table 11a). Vulnerability status could potentially be inferred in half of states because the agency’s policy restricts investigations to persons with a specific, demonstrated vulnerability (**figure 10**).
- **Repeat victimization.** The majority (58%) gathered information on the date of a victim’s first report to APS, which would allow them to determine whether the current episode is a repeat victimization (appendix table 11a).
- **Reporting from the criminal justice system.** The majority gathered information on reports from police as structured data (76%), but fewer maintained information on reports from prosecutors (48%) (appendix table 13a).
- **Abuse type.** Most agencies gathered structured data fields on specific abuse types, including physical (88%), sexual (80%), and psychological or emotional (76%) abuse; neglect (88%); and financial or material exploitation (88%). The exception was abandonment, which agencies gathered as a structured data field by 42% (appendix tables 14a and 15a).
- **Abuse location.** More often than not, APS agencies gathered the location of the victimization as a structured data field. Specific locations recorded included the victim’s home (55%), a family member’s home (48%); unlicensed group homes (39%); licensed group homes (51%); assisted living facilities (53%); skilled nursing facilities (55%); hospitals (51%); and other institutions (55%) (appendix table 14a).
- **Case outcomes.** Most agencies (93%) recorded whether the abuse was substantiated as a structured electronic data field. The majority of agencies also recorded substantiations

specifically for physical (93%), sexual (85%), and psychological or emotional (78%) abuse; neglect (93%); and financial abuse or exploitation (93%). The exception was abandonment (48%) (appendix table 15a).

- **Criminal justice and other legal outcomes.** Few, if any, agencies gathered structured data on arrests (0%), prosecutions (5%), convictions (5%), or incarcerations (3%) associated with the case. Noncriminal justice outcomes were recorded as structured fields more often, including when protective or restraining orders were issued (22%) and whether perpetrators were added to an abuser registry (17%). No APS agencies recorded any loss of licensure. Despite the lack of availability as structured fields, the majority of agencies recorded such information in their case notes (appendix table 15a).

Characterizing elder abuse cases as criminal in nature

Although stakeholders expressed an interest in knowing the subset of elder abuse that is criminal in nature, these indicators are not readily available, given the difficulty in characterizing cases as elder abuse. Further, it would be labor intensive to identify potentially criminal cases based on the severity of harm to the victim or referral to the criminal justice system. *The best opportunity is to query APS referrals to police or prosecution, which are available in structured fields in 46% and 22%, respectively, of state APS data systems. However, one must distinguish between states in which all substantiated cases are reported to the justice system as a matter of policy (33%) and the remainder in which a report to police signifies a suspicion of criminal activity.*

Unit of reporting for key indicator statistics

The majority of states (91%) could report data on cases or reports, but a minority (45%) could report data on individuals. This means most APS agencies could generate key indicators about victimizations and the attributes of victims once they are able to categorize cases using a standard definition of elder abuse. However, the majority of states do not yet have the ability to report unduplicated counts of victims. There is potential to develop that capacity, as the majority of APS agencies maintain personal identifiers like names, Social Security numbers, dates of birth, and client IDs as structured data fields.

Cohorts of victimization information available for key indicator statistics

APS agencies could report victimization counts at three different times in the lifecycle of an APS case. Seventy-seven percent maintained data on the initial reports of suspected abuse, all (100%) gathered data on investigations conducted, and nearly all (98%) recorded whether the abuse report was substantiated. Reporting a number of victimizations per year would also require the agency to maintain information on the dates of report, investigation, and substantiation as structured data fields, which were available, respectively, in 85%, 95%, and 95% of state APS agencies.

Increasing APS data capacity to report elder abuse statistics

Most APS agencies gathered the information needed to identify instances of elder abuse within their caseloads, but the lack of availability as structured data creates an impediment to statistical reporting. Even vulnerability status information, which was the least available as structured data,

was widely available in other forms. When data were not available as structured data fields, they were often recorded electronically as free text. This suggests that *APS agencies do not need to increase the scope of what they collect. Rather, targeted upgrades to record more information as structured data fields would enhance APS agencies' ability to extract and report statistical information on elder abuse cases.*

Once APS agencies develop the capacity to subset elder abuse cases from their caseloads, most would then have the necessary electronic information to produce case-level statistics on victimizations reported, investigated, and substantiated by APS.

Chapter 6: Recommendations regarding the feasibility of a national data collection

Administrative records from Adult Protective Services (APS) agencies provide a unique data source with the potential to augment current statistical reporting about crimes against elderly persons. APS agencies often respond to suspected abuse first, and individuals may be more likely to report allegations of abuse to APS than to law enforcement agencies because of APS' social service orientation. Further, APS data likely represent individuals and victimization types beyond those captured in victimization surveys, such as the National Crime Victimization Survey (NCVS), because vulnerable individuals and residents of institutions may not be part of the NCVS sampling frame. Also, APS responds to victimization types outside the scope of the NCVS (e.g., psychological abuse, neglect, financial exploitation, and abandonment). All state APS systems maintain data in electronic databases, and these are typically maintained centrally at the state level. These data systems gather detailed information about victim characteristics, case attributes, and the victim-perpetrator relationship. However, their potential for statistical reporting is limited by the extent to which agencies categorize information into structured database fields. Although agencies often gather information electronically, they also maintain some data as case notes or free text, which is difficult to query and compile.

Limitations of using currently available APS data for statistical reporting

Elder abuse occurs when there is a confluence of victim, abuse type, and perpetrator characteristics (**chapter 4**). Further, this information needs to be available in structured data fields to facilitate reporting. States typically gathered information on the different dimensions of elder abuse, but structured data availability varied. *Uniform reporting of elder abuse is not immediately feasible, mainly due to limitations in the availability of structured electronic data on victim vulnerability.* States were generally able to categorize the type of abuse and age of the victim. Also, a majority of state APS agencies maintained structured electronic data about victim-perpetrator relationship categories, though they often lacked the ability to explicitly exclude strangers (i.e., those not in a trust relationship with the victim). However, states could not readily identify vulnerable older adults because of a lack of structured data on disability and other measures of vulnerability. Reliably aggregating or comparing information across states in a uniform fashion requires states to report on similar sets of cases. States' operational scopes differed on these dimensions, elevating the importance of making these distinctions using administrative data.

Additionally, the Bureau of Justice Statistics (BJS) expressed interest in identifying the subset of APS incidents that were criminal in nature. While APS data systems often gathered information about the severity of abuse, it was often recorded in case notes or free text rather than in structured data fields (appendix table 17a). Referrals to the criminal justice system are an alternate means of identifying criminal elder abuse incidents. However, APS agency thresholds for when to report abuse to police or prosecutors differed. In more than a third of states (38%),

all substantiated reports are referred to the criminal justice system, regardless of severity or injury to the victim.

BJS and other stakeholders were also interested in the extent to which reported elder abuse incidents occurred in facilities or the community. While all APS agencies responded to abuse in community settings, the majority also responded to abuse in facility settings. It would be difficult to distinguish these cases using agency data because the location of abuse was inconsistently recorded as a structured data field. Even if it were possible to identify cases that occurred in facilities, comparing or combining counts of facility abuse cases across states is complicated. APS jurisdiction over facility investigations varies widely, ranging from agencies that investigate all facility incidents to those that respond to a smaller portion of cases.

To summarize, there are limitations to using currently available APS data for statistical reporting about key features of elder abuse cases:

- Although APS data may describe victimizations in terms of **victim age** and **abuse type** (agencies may exclude self-neglect), these would not definitively identify cases as elder abuse and would mask important variations in agency coverage of long-term care and other facilities.
- Structured data fields are moderately available on perpetrators of elder abuse in terms of the **relationship to victim** and **location of abuse** (community vs. facility). It may be possible to distinguish some cases through a combination of data fields and policy information. However, differences in agency definitions and operational scopes present challenges in comparing or combining these data across states.
- Structured data fields are rarely available for characterizing **victim vulnerability** or **criminal incidents of abuse**. In some states, it may be possible to infer vulnerability because the state requires everyone, regardless of age, to demonstrate vulnerability for APS to become involved. However, the variation in client vulnerability makes it difficult to compare or combine data across states. Without data on the criminal nature of abuse, states may use referral to the criminal justice system as a proxy, but in some states all APS substantiations are referred to police or prosecution.

Opportunities and recommendations

The APS data assessment showed that agencies generally possess the information needed to describe key indicators, but the information is sometimes “buried” within case notes. *States generally do not need to collect anything new, but improved recording into structured data fields would facilitate reporting. This means there are opportunities to research elder abuse using APS administrative records and potential for statistical reporting.*

Opportunities for research data collection

The richness of APS data offers opportunities for research data collection, which may build knowledge and the capacity for categorizing more information into structured data fields. Using

APS administrative data for research would generate interest in how to better classify existing information.

APS agencies typically gather detailed case information as free text in electronic case notes, which makes it possible to use text searching methods or chart abstractions as a means of summarizing the information within case files. Researchers would be able to develop key indicators for items with low availability as structured data. Abstracted individual- or case-level data would also allow researchers to identify relationships between individual data elements as a means of better understanding the content of existing structured data fields. Research questions for examining the current limitations of structured APS data include—

- analyzing victim vulnerability in states where advanced age is sufficient to open an investigation. Although evidence of vulnerability status is not required in practice, do victims of advanced age generally demonstrate some other vulnerability?
- similarly, analyzing victim-perpetrator relationships where the perpetrator does not appear to have a position of trust. What proportion of cases is perpetrated by individuals outside of a trust relationship?
- examining financial exploitation cases in greater depth. BJS may want to consider conceptualizing financial exploitation more broadly to include financial scams by strangers who target older adults. What is the relationship between victims and perpetrators in cases of financial exploitation, and to what extent do APS agencies gather information on scams perpetrated by strangers?
- How often are APS cases criminal in nature based on abstracted case characteristics? To what extent are substantiated cases criminal rather than noncriminal incidents? Could case substantiation serve as a proxy for criminal elder abuse?

Based on such research, BJS may find it less necessary to impose strict criteria of victim and perpetrator attributes for statistical reporting. Additionally, states could provide an estimate of the proportion of cases that fall outside of the criteria as contextual information.

BJS may also use individual-level APS administrative data to address other important research questions. For example, APS and law enforcement are alternate pathways for reporting incidents of elder abuse to authorities. Individual-level data may be combined and compared to examine any gaps and overlaps between the two sources. A small number of state APS agencies gather police report numbers to facilitate cross-system linkages.

[Opportunities for statistical data collection](#)

BJS may consider partnering with ongoing efforts to collect nationwide administrative data from APS agencies. The National Adult Maltreatment Reporting System (NAMRS) is being developed by the Department of Health and Human Services, Administration on Aging, Agency for Community Living. This data collection will gather aggregate and individual-level information from state APS agencies. NAMRS' focus is broader than BJS's in that it collects information about vulnerable adults of any age and instances of self-neglect in addition to interpersonal

abuse. However, NAMRS respondents may be able report on the subset of elder abuse victimizations within their caseloads.

The NAMRS codebook includes data elements for measuring the types of abuse alleged, victim age and vulnerability, victim-perpetrator relationship, and abuse location (AoA, 2016a). NAMRS collects case characteristics at the investigation level. Additionally, the system collects general information about agency policies, practices, and other key investigation indicators.

The NAMRS data system was piloted from January to May 2015 in nine states. Pilot participants submitted data on agency policy and practices and either case or investigation characteristics. The pilot informed another round of revisions to NAMRS data elements, values, and definitions (AoA, 2016b). The system is waiting for approval from the Office of Management and Budget for full release to any APS agencies that volunteer to participate in the system.

Recommendations for future statistical reporting

The following recommendations apply regardless of whether BJS capitalizes on the NAMRS data collection or pursues an independent data collection:

- Demonstrate the value of APS administrative data by using individual-level data to address questions of importance to the field, including criminal justice and client-centered outcomes.
- Subset elder abuse from other case types where possible (e.g., by excluding self-neglect or victimizations of younger adults). However, in some states, it may be possible and necessary to infer case characteristics based on agency policies governing its scope of investigations.
- Request stratified caseload statistics where possible to adjust for differences in investigative scope across states. Collecting APS statistics specifically about vulnerable older adults by abuse location and type would allow BJS to aggregate data from applicable states to construct internally consistent measures of abuse.
- Document investigation screening criteria to determine the extent to which information may be compared or combined across states. These include policies about the age and vulnerability of the victim, specific abuse types investigated, victim-perpetrator relationship, and APS role in investigating facilities.
- Similarly, document APS policies on case referral to the criminal justice system to assess comparability across states.
- Collect case-level data initially because they are more widely available. However, report person-level data where available. Over time, the usefulness of person-level statistics to the field may encourage agencies to build the capacity to develop person-level data and reporting systems.

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Assessment of Administrative Data on Elder Abuse, Mistreatment, and Neglect: Final Technical Report Appendices

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Appendix A: Definitions of elder abuse from federal agencies, national stakeholder groups, and international organizations

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Physical abuse	The use of force or violence resulting in bodily injury, physical pain, or impairment. Excludes sexual abuse.	Occurs when an elder person is injured (e.g., scratched, bitten, slapped, pushed, hit, burned); assaulted or threatened with a weapon (e.g., knife, gun, or other object); or inappropriately restrained.	Knowing infliction of physical or psychological harm or the knowing deprivation of goods or services necessary to meet essential needs or avoid physical or psychological harm.	May include slapping; hitting; beating; bruising; causing someone physical pain, injury, or suffering; and confining an adult against his/her will, such as locking someone in a room or tying him/her to furniture.	The use of physical force that may result in bodily injury, physical pain, or impairment. May include, but not limited to, acts of violence such as striking (with or without an object), hitting, beating, pushing, shoving, shaking, slapping, kicking, pinching, and burning. In addition, examples include inappropriate use of drugs and physical restraints, force-feeding, and physical punishment of any kind.	No specific definition is listed on the website. Instead, they write, "Elder abuse can be defined as 'a single, or repeated act, or lack of appropriate action, occurring within any relationship where there is an expectation of trust which causes harm or distress to an older person.' Elder abuse can take various forms such as financial, physical, psychological and sexual. It can also be the result of intentional or unintentional neglect."

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Sexual abuse	Nonconsensual sexual contact of any kind, including sexual contact with any person incapable of giving consent.	Sexual abuse or abusive sexual contact is any sexual contact against an elder person's will. Includes acts in which the elder is unable to understand the act or communicate. Abusive sexual contact is defined as intentional touching (either directly or through clothing) of the genitalia, anus, groin, breast, mouth, inner thigh, or buttocks.	For criminal sexual abuse, serious bodily injury is considered to have occurred if the conduct causing the injury is described in section 2241 (relating to aggravated sexual abuse), 2242 (relating to sexual abuse) of Title 18, U.S.C., or any similar offense under state law.	Includes physical force, threats, or coercion to facilitate nonconsensual touching, fondling, intercourse, or other sexual activities. This is particularly true with vulnerable adults who are unable to give consent to or comprehend the nature of these actions.	Nonconsensual sexual contact of any kind with an elderly person. Also includes sexual contact with any person incapable of giving consent. Includes, but is not limited to, unwanted touching, all types of sexual assault or battery, such as rape, sodomy, coerced nudity, and sexually explicit photographing.	No specific definition is listed on the website. Instead, they write, "Elder abuse can be defined as 'a single, or repeated act, or lack of appropriate action, occurring within any relationship where there is an expectation of trust which causes harm or distress to an older person.' Elder abuse can take various forms such as financial, physical, psychological and sexual. It can also be the result of intentional or unintentional neglect."

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Emotional or psychological abuse	<p>Infliction of anguish, pain, or distress through verbal or nonverbal acts. Includes, but is not limited to, verbal assaults, insults, threats, intimidation, humiliation, and harassment.</p>	<p>Occurs when an elder person experiences trauma after exposure to threatening acts or coercive tactics. Examples include humiliation or embarrassment, controlling behavior (e.g., prohibiting or limiting access to transportation, telephone, money, or other resources), social isolation, disregarding or trivializing needs, or damaging or destroying property.</p>	<p>“Abuse” means the knowing infliction of physical or psychological harm or the knowing deprivation of goods or services necessary to meet essential needs or avoid physical or psychological harm.</p>	<p>Emotional abuse involves creating emotional pain, distress, or anguish through the use of threats, intimidation, or humiliation. This includes insults, yelling, threats of harm and isolation, or nonverbal actions (such as throwing objects or glaring to project fear and intimidation).</p>	<p>Infliction of anguish, pain, or distress through verbal or nonverbal acts. Includes, but is not limited to, verbal assaults, insults, threats, intimidation, humiliation, and harassment. In addition, examples include treating an older person like an infant; isolating an elderly person from his/her family, friends, or regular activities; giving an older person the “silent treatment”; and enforced social isolation.</p>	<p>No specific definition is listed on the website. Instead, they write, “Elder abuse can be defined as ‘a single, or repeated act, or lack of appropriate action, occurring within any relationship where there is an expectation of trust which causes harm or distress to an older person.’ Elder abuse can take various forms such as financial, physical, psychological and sexual. It can also be the result of intentional or unintentional neglect.”</p>

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Neglect (by others)	Failure of a caregiver or fiduciary to provide goods or services necessary to maintain the health or safety of a person. Includes acts of omission and commission and willful deprivation.	Failure or refusal of a caregiver or other responsible person to protect an elder person from harm or provide for basic physical, emotional, or social needs. Examples include not providing adequate nutrition, hygiene, clothing, shelter, or access to health care; or failure to prevent exposure to unsafe activities and environments.	Includes self-neglect or the failure of a caregiver or fiduciary to provide goods or services necessary to maintain the health or safety of an elder.	Includes failures by individuals to support physical, emotional, and social needs of adults who must depend on others for their primary care. May include withholding food, medications, or access to health care professionals.	<p>The refusal or failure to fulfill any part of a person’s obligations or duties to an elder. May also include failure of a person who has fiduciary responsibilities to provide care for an elder (e.g., pay for home care services) or the failure on the part of an in-home service provider to give necessary care.</p> <p>Typically means the refusal or failure to provide an elderly person with life’s necessities, such as food, water, clothing, shelter, personal hygiene, medicine, comfort, personal safety, and other essentials included in an implied or agreed-on responsibility to an elder.</p>	No specific definition is listed on the website. Instead, they write, “Elder abuse can be defined as ‘a single, or repeated act, or lack of appropriate action, occurring within any relationship where there is an expectation of trust which causes harm or distress to an older person.’ Elder abuse can take various forms such as financial, physical, psychological and sexual. It can also be the result of intentional or unintentional neglect.”

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Self-neglect	A person's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks, including obtaining food, clothing, shelter, medical care; obtaining goods and services necessary to maintain physical and mental health, or general safety; or managing financial affairs. Includes hoarding.	Occurs when vulnerable elders fail or refuse to address their own basic physical, emotional, or social needs. Examples include self-care tasks such as nourishment, clothing, hygiene, and shelter; appropriate use of medications; and managing or administering finances.	An adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks, including obtaining essential food, clothing, shelter, and medical care; obtaining goods and services necessary to maintain physical health, mental health, or general safety; or managing financial affairs.	Involves seniors or adults with disabilities who fail to meet their own essential physical, psychological, or social needs, which threatens their health, safety, and well-being. Includes failure to provide adequate food, clothing, shelter, and health care.	The behavior of an elderly person that threatens his/her own health or safety. Generally includes refusal or failure to provide himself/herself with adequate food, water, clothing, shelter, personal hygiene, medication, and safety precautions. Excludes a situation in which a mentally competent older person who understands the consequences of his/her decisions makes a conscious and voluntary decision to engage in acts that threaten his/her health or safety as a matter of personal choice.	No specific definition is listed on the website. Instead, they write, "Elder abuse can be defined as 'a single, or repeated act, or lack of appropriate action, occurring within any relationship where there is an expectation of trust which causes harm or distress to an older person.' Elder abuse can take various forms such as financial, physical, psychological and sexual. It can also be the result of intentional or unintentional neglect."

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Financial or material exploitation	The illegal or improper use of an individual's funds, property, or assets.	Financial abuse or exploitation is the unauthorized or improper use of the resources of an elder for monetary or personal benefit, profit, or gain. Examples include forgery, misuse or theft of money or possessions, use of coercion or deception to surrender finances or property, or improper use of guardianship or power of attorney.	"Exploitation" means the fraudulent or otherwise illegal, unauthorized, or improper act or process of an individual, including a caregiver or fiduciary, who uses the resources of an elder for monetary or personal benefit, profit, or gain, or that results in depriving an elder of rightful access to, or use of, benefits, resources, belongings, or assets.	Includes the misuse, mishandling, or exploitation of property, possessions, or assets of adults. Also includes using another's assets without consent, under false pretenses, or through coercion or manipulation.	Financial or material exploitation is the illegal or improper use of an elder's funds, property, or assets. Examples include, but are not limited to, cashing an elderly person's checks without authorization or permission; forging an older person's signature; misusing or stealing an older person's money or possessions; coercing or deceiving an older person into signing any document (e.g., contracts or will); and the improper use of conservatorship, guardianship, or power of attorney.	No specific definition is listed on the website. Instead, they write, "Elder abuse can be defined as 'a single, or repeated act, or lack of appropriate action, occurring within any relationship where there is an expectation of trust which causes harm or distress to an older person.' Elder abuse can take various forms such as financial, physical, psychological and sexual. It can also be the result of intentional or unintentional neglect."
Other abuse types	Desertion by an individual who has assumed responsibility for providing care for a person, or by an individual with physical custody of another person.	Abandonment is the willful desertion of an elderly person by a caregiver or other responsible person.	No information available.	Isolation involves restricting visits from family and friends or preventing contact via telephone or mail correspondence. Abandonment involves desertion by anyone who assumed caregiving responsibilities for an adult.	Abandonment is the desertion of an elderly person by an individual who has assumed responsibility for providing care for an elder, or by a person with physical custody of an elder.	No information available.

Abuse element	Administration on Aging	Centers for Disease Control and Prevention	Elder Justice Act	National Adult Protective Services Association	National Center on Elder Abuse	United Nations and the World Health Organization
Age of victim	N/A - collects data from each state Adult Protective Services (APS) that serves different populations	"Age 60 or older"	"The term 'elder' means an individual age 60 or older."	Not specified	"Elderly person"	Not specified
Victim's level of vulnerability	N/A - collects data from each state APS that serves different populations	Not specified	Not specified	Not specified	Not specified	Not specified
Victim's relationship to perpetrator	N/A - collects data from each state APS that serves different populations	Elder abuse is any abuse and neglect of persons age 60 and older by a caregiver or another person in a relationship involving an expectation of trust	See Elder Justice Act's "Neglect" definition	Not specified	Not specified	Not specified
Source	https://acl.gov/programs/elder-justice/national-adult-maltreatment-reporting-system-namrs See "Definitions of Code Values"	http://www.cdc.gov/violenceprevention/elderabuse/definitions.html	https://www.ssa.gov/OP_Home/ssact/title20/2000.htm	http://www.napsanow.org/get-informed/	https://ncea.acl.gov/factsheets/abusetypes.html	http://www.un.org/en/events/elderabuse/background.shtml http://www.who.int/ageing/projects/elder_abuse/en/

Appendix B: Online survey of state and local Adult Protective Services agencies data
collection practices in 2015

Online survey of state and local Adult Protective Services data collection practices in 2015¹

Welcome and informed consent²

The Urban Institute, a nonprofit research organization in Washington DC, has been funded by the U.S. Department of Justice, Bureau of Justice Statistics (BJS), to examine how Adult Protective Services (APS) agencies respond to and collect data about elder abuse, neglect, and exploitation (elder abuse). The purpose is to assess the feasibility of using existing APS data to help estimate nationwide statistics about the number of characteristics of reported incidents of elder abuse, neglect, and exploitation.

The survey should take you approximately 30 minutes to complete. We will ask about how your agency responded to suspected elder abuse cases in 2015 and what kinds of data you recorded about those cases. You can complete the survey in more than one session if you cannot complete the whole survey at one time. You may also choose to provide your username to colleagues within your agency, if you feel they can help you to complete the survey.

Your participation in this survey is completely voluntary. You can choose to skip any questions that you are not comfortable answering or stop taking the survey at any time. Reports from this project will help the field's understanding of elder abuse, neglect, and exploitation.

Thank you very much for participating in this survey. For technical assistance with the survey, please contact Carla Vasquez-Noriega at cvasquez@urban.org (phone: 202-261-5299). For any other questions or concerns, please contact either of the Principal Investigators— Janine Zweig at jzweig@urban.org (phone: 518-791-1058) or Kamala Mallik-Kane at kkane@urban.org (phone: 202-261-5857).

¹The Urban Institute uses Qualtrics software to administer this survey online. In rare cases, project staff will administer the survey by telephone and record responses in the online instrument.

²Signed hard-copy consent will not be obtained. Rather, the informed consent will be the first page of the online survey. Participants will indicate consent by continuing with the content of the survey. The Urban Institute Institutional Review Board (IRB) has approved this method for obtaining informed consent.

Survey completed by:

Name: _____

The agency you work for: _____

Job title: _____

Telephone number: _____

Phone Extension: _____

Email address: _____

A. About your agency's recordkeeping and data reporting practices

A1. Did your agency focus exclusively on elder abuse between January 1 and December 31, 2015? Note: for simplicity, we use the term "elder abuse" to encompass all forms of physical, sexual or psychological abuse against an older adult; neglect or abandonment by others; and exploitation of the elder's resources. If your agency went through substantial changes in 2015, please report on your practices during the majority of the year.

- Yes, we focused on elder abuse only
- No, we worked on elder abuse AND the abuse of younger vulnerable adults
- No, we worked on elder abuse AND other types of cases (*please specify the other case types: _____*)
- No, we rarely received elder abuse cases (*please specify the case types you focus on: _____*)
- No, we never received elder abuse cases [END SURVEY IF RESPONDENT INDICATES NEVER RECEIVING ELDER ABUSE CASES: Thank you for your time. This survey is about elder abuse so there is no need for you to continue participating. If you have any questions, concerns, or comments about this project, please contact either of the Principal Investigators: Janine Zweig, at jzweig@urban.org (phone: 518-791-1058) or Kamala Mallik-Kane at kkane@urban.org (phone: 202-261-5857).]

A2. In 2015, did your agency typically work with elders when there is no suspected abuse?

- Yes
- No, we only worked with elders when there WAS suspected abuse

A2a. What was your agency's role in investigating reports of suspected elder abuse in 2015?

- We conducted investigations
- We had oversight of other agencies that conducted investigations
- We did both

This survey focuses exclusively on how your agency handled elder abuse cases in 2015.

If your agency did not investigate cases directly, please answer questions about the investigation process from the perspective of the local office of your agency that directly investigated cases.

Units of count

The next questions ask about how your agency maintained records about elder abuse investigations in 2015 and how your agency reports data or statistics about elder abuse.

A3. Which of the following ID numbers did your agency assign when you received a report of elder abuse in 2015?

	[1] Ask for each item. Check one. Did your agency or data system assign this number?		[2] If yes to [1], check one. Following up, when did your agency assign each of these ID numbers?			[3] If yes to [1], check one. Following up once more, did your agency store these ID numbers electronically or on paper?			[D] If [3]=electronically, check one. Finally, were these ID numbers stored as a structured data field or as “free text”?	
	Yes	No	When report was made	When investigation was opened	At both time-points	Electro-nically ONLY	Both electronically and on paper	On paper ONLY	Data field	Text
a. Did your agency or data system assign a unique number to each investigation opened ? For example, if abuse against Jane Doe was investigated on 2 separate occasions (say, in February and in November), 2 different numbers were assigned.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Did your agency or data system assign a unique number to each report made to your agency ? For example, if a neighbor and a family member separately report that Jane Doe was being abused, 2 different numbers were assigned.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Did your agency or data system assign a unique number to each victim ? For example, if abuse was reported against Jane Doe, was she assigned a client number? (If response to column [1] is NO, ask this follow up question: “What information did your agency use to identify victims in your recordkeeping system? Please select all that apply. <u> </u> Name, <u> </u> Social security number, <u> </u> Date of birth, <u> </u> Other (please specify <u> </u>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

<p>d. Did your agency or data system assign a unique number to each type of abuse alleged? For example, if it was alleged that Jane Doe was physically abused and financially exploited, 2 different numbers were assigned.</p>	○	○	○	○	○	○	○	○	○	○
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A4. How was information organized in your agency’s recordkeeping system in 2015? At what “level” were data entered and stored in your system? *Please check all that apply.*

- At a person level (only) – there was one record per client (victim)
- At case or investigation level (only) – there was one record per investigation
- At a report level (only) – there was one record per report
- Multiple levels (i.e., hierarchical or relational tables).

A5. [IF MULTIPLE LEVELS] What levels of data were maintained in your agency’s system in 2015? *Please check all that apply.*

- Client (victim) level
- Case or investigation level
- Report level
- Allegation level
- Other level (s) (*please specify:* _____)

A6. When your agency reports elder abuse statistics for 2015, would it report on the number of cases or reports **or** on the number of individuals (regardless of how many reports they were associated with)?

- Cases or reports (for example: if Jane Doe was in 3 cases, we would count this as 3)
- Individuals (for example: we would count Jane Doe only once, even if she was in 3 cases)
- We can report both ways

Data entry and quality assurance

A7. Did your agency record elder abuse cases in an electronic database in 2015?

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don’t know.

- Yes
- No [SKIP rest of this section]

A8. In 2015, was your agency's electronic database specifically for elder abuse cases, or was it integrated with other case types?

- Elder abuse only
- Elder abuse AND abuse of vulnerable younger adults
- Abuse of younger vulnerable adults only
- Elder and/or vulnerable adult abuse AND other case types

A9. Who conducted the data entry into your electronic system in 2015? *Please select all that apply.*

- The staff person who investigated the case
- Clerical, administrative, or data entry staff
- Other types of staff (*please specify: _____*)

A10. In 2015, was there a time lag between when information was collected on paper, and when it was entered electronically?

- Yes (IF YES: how long was the time lag between when information was collected on paper, and when it was entered electronically? _____ days / weeks / months)
- No, we entered the data immediately
- No, we entered the data directly into the electronic system (paperless system)

A11. Were paper or electronic records your agency's official "system of record" in 2015? For example: if you needed to provide records for a civil proceeding or criminal prosecution, would you draw from your paper or electronic records?

- Paper files were the "system of record"
- Electronic database was the "system of record"

A12. What quality control procedures were used for the electronic database in 2015? *Please check all that apply.* [>>>SKIP IF ANSWERED NO DATA ENTRY]

- Double data-entry of information from paper forms
- Audits comparing paper and electronic versions of the record
- Assessments of the level of missing data on key elements
- None of the above

A13. Since when have reliable records generally been available from your electronic data system? What is the earliest date (i.e., how long ago)? _____ (year) _____ (month, if known)

A14. In general, was there a time lag between when data were entered in 2015 and when you could reliably query the database for statistics?

- Yes (if YES: In general, how long was the time lag between when data were entered in 2015 and when your agency could reliably query the database for statistics _____ days / weeks / months)
- No

A15. When would reliable records for all completed 2015 investigations be available from your agency’s electronic data system? _____ (year) _____ (month, if known)

B. Information gathered about elder abuse reports and investigations

*In 2015, did your agency maintain any data from the initial report of abuse **before** an investigation was opened?*

- Yes
- No [Skip all subsequent column 2 questions in section B]

*The following questions ask about the types of information your agency collected and recorded in the course of responding to suspected elder abuse, neglect, or exploitation in 2015. **Questions are grouped into broad categories of information such as client demographics or case outcomes. The first question in each category asks which specific pieces of information your agency gathered, electronically or on paper. Then, for each piece of information you report having gathered, we ask a follow up question about when it was collected.***

If you personally do not know the answer to some of these questions, please enlist the help of others in your agency. You may share your survey username and password with others in your agency.

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don’t know.

Victim (client) information

B1. What pieces of information **about victims** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Case ID and victim demographics <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and is it stored electronically?,					[2] If yes to [1], check one. Following up, were any items about victims collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Name	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Social Security number	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Date of birth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Victim/Client ID number assigned by agency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Age	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Sex	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Race	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

<p>Case ID and victim demographics</p> <p><i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i></p>	<p>[1] Ask for each item. Check one. Did your agency record information on this characteristic, and is it stored electronically?,</p>					<p>[2] If yes to [1], check one. Following up, were any items about victims collected as part of the initial report, before beginning an investigation?</p>	
	<p>Yes, electronically in a structured data field</p>	<p>Yes, electronically as free text</p>	<p>Yes, electronically, but don't know the field type</p>	<p>Yes, but on paper only</p>	<p>No, this was not recorded</p>	<p>Yes</p>	<p>No</p>
<p>h. Hispanic ethnicity (separate from race, so one could be any race but also report Hispanic ethnicity)</p>	<p><input type="radio"/></p>	<p><input type="radio"/></p>	<p><input type="radio"/></p>	<p><input type="radio"/></p>	<p><input type="radio"/></p>	<p><input type="radio"/></p>	<p><input type="radio"/></p>

B2. What pieces of information **about a victim's vulnerability** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By "gathering," we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond "yes" to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Victim's vulnerability <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically??					[2] If yes to [1], check one. Following up, were any items about a victim's vulnerability collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
Disability status							
a. Deaf or has difficulty hearing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Blind or has difficulty seeing, even when wearing glasses	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Difficulty concentrating, remembering or making decisions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Difficulty walking or climbing stairs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Difficulty dressing or bathing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Difficulty doing errands alone, such as visiting a doctor's office or shopping	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Dependent on the care of others	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Lacks capacity to make decisions for oneself	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Meets your agency's definition of vulnerable adult	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Substance use							
j. Has problems with alcohol use	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Has problems with illegal drug use	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. Has problems with inappropriate use of prescription drugs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. Has problems with substance use in general (unknown substance type)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guardianship status							

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Victim's vulnerability <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	<p style="text-align: center;">[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically??</p>					<p>[2] If yes to [1], check one. Following up, were any items about a victim's vulnerability collected as part of the initial report, before beginning an investigation?</p>	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
n. Had a legal guardian at the time of the incident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B3. What pieces of information **about a victim's housing and living arrangements** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By "gathering," we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond "yes" to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Victim's Housing and Living Arrangements <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were there any items about a victim's housing and living arrangements collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
Victim's housing type							
a. Housing type at the time of the incident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Housing type at the time of case closing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Which of these specific housing type categories were recorded?							
i. Victim's home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ii. Family member's home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iii. Group home (unlicensed)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iv. Group home (licensed)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
v. Assisted living facility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vi. Skilled nursing facility (e.g., nursing home)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vii. Other institution for persons with mental illness or developmental disabilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
viii. Hospital	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ix. Other housing type (please specify: _____)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Victim's Housing and Living Arrangements <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were there any items about a victim's housing and living arrangements collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
Victim's living arrangements							
d. Whether victim lived with alleged perpetrator at the time of the incident	○	○	○	○	○	○	○
e. Whether victim lived with alleged perpetrator at the time of case closing	○	○	○	○	○	○	○

B4. What pieces of information **about a victim's history of abuse** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By "gathering," we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond "yes" to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Victim's Abuse History <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about a victim's history of abuse collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Whether this was the first time this individual was reported to your agency as a victim	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Date of first report to agency as a victim	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Alleged perpetrator information

B5. What pieces of information **about alleged perpetrators** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Case ID and alleged perpetrator demographics <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about alleged perpetrators collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Name	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Social Security number	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Date of birth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Alleged perpetrator ID number assigned by agency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Age	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Sex	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Race	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Hispanic ethnicity (separate from race, so one could be any race but also report Hispanic ethnicity)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B6. What pieces of information **about the alleged perpetrator's relationship to the victim** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By "gathering," we mean collecting and recording information in any

form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

<p>Victim-Perpetrator Relationship</p> <p><i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i></p>	<p>[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?</p>					<p>[2] If yes to [1], check one. Following up, were any items about the alleged perpetrator’s relationship to the victim collected as part of the initial report, before beginning an investigation?</p>	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don’t know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
<p>a. Regarding how the alleged perpetrator is related to the victim, which of these specific relationship categories were recorded about the alleged perpetrator?</p>							
<p>i. Intimate partner (husband, wife, boyfriend, girlfriend), current or ex-(former)</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>ii. Adult child</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>iii. Adult grandchild</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>iv. Other family member</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>v. Non-family friend or acquaintance</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>vi. Paid caregiver</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>vii. Healthcare provider</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>viii. Other employee of caregiving institution</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<p>ix. Financial professional</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Victim-Perpetrator Relationship <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the alleged perpetrator's relationship to the victim collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
x. Stranger	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
xi. Other	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Whether the alleged perpetrator met your agency's definition of "abuser" (for example: has position of trust)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Whether the alleged perpetrator was a caregiver (family or nonfamily, paid or unpaid)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Whether the alleged perpetrator was a paid caregiver?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Whether the alleged perpetrator had guardianship over or power of attorney for the victim?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B7. What pieces of information **about the alleged perpetrator's vulnerability** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By "gathering," we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond "yes" to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

<p>Alleged Perpetrator’s Vulnerability or Disability Status</p> <p><i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i></p>	<p>[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?</p>					<p>[2] If yes to [1], check one. Following up, were any items about the alleged perpetrator’s vulnerability collected as part of the initial report, before beginning an investigation?</p>	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don’t know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
<p>a. Whether the alleged perpetrator met your agency’s definition of a vulnerable adult (e.g., has a disability, depends on others for care, lacks capacity to make decisions)</p>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B8. What pieces of information **about the alleged perpetrator’s history of committing abuse** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Alleged Perpetrator's History of Committing Abuse <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the alleged perpetrator's history of committing abuse collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Whether this was the first time this alleged perpetrator was reported to your agency as an alleged perpetrator	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Date of first report to agency as an alleged perpetrator	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Whether the alleged perpetrator had any criminal history at the time of the incident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Whether there was a protective order against the alleged perpetrator at the time of the incident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Whether the alleged perpetrator was on an abuser registry at the time of the incident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Whether alleged perpetrator was under criminal justice supervision (e.g., parole, probation, pre-trial) at the time of the incident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Reporter Characteristics

B9. What pieces of information **about the reporter of suspected elder abuse** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Abuse Reporting <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the reporter of suspected elder abuse collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
Abuse report							
a. Date of report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Which of these specific reporter types were recorded?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Police	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ii. Prosecutor's office	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iii. Other lawyers or court system representatives	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iv. Guardian	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
v. Victim	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vi. Family member of victim	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vii. Friend or acquaintance of victim	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Abuse Reporting <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the reporter of suspected elder abuse collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
viii. Healthcare worker	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ix. Other employees of healthcare or long-term care facility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
x. Social service provider	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
xi. Bank employee or other financial professional	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Whether your agency decided to open an abuse investigation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Reason your agency did not open an abuse investigation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Incident Characteristics

B10. What pieces of information **about the abusive incident** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Time and place of the suspected abuse <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the abusive incident collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Date of incident that led to investigation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Time of incident that led to investigation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Whether the abuse was a single incident or ongoing pattern	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Regarding the location where the abuse occurred, which of these specific location types were recorded?							
i. Victim's home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ii. Family member's home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iii. Group home (unlicensed)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iv. Group home (licensed)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
v. Assisted living facility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vi. Skilled nursing facility (e.g., nursing home)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vii. Other institution for persons with mental illness or developmental disabilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
viii. Hospital	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ix. Other location (<i>please specify: _____</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B11. What pieces of information **about the abusive incident** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Types of abuse reported or alleged <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the abusive incident collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Whether specific abuse types were alleged to have occurred. Which of these specific <i>alleged</i> abuse categories were recorded? ³ --							
i. Physical Abuse, meaning “when an elder is injured (e.g., scratched, bitten, slapped, pushed, hit, burned, etc.), assaulted or threatened with a weapon (e.g., knife, gun, or other object), or inappropriately restrained.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ii. Sexual Abuse or Abusive Sexual Contact, meaning “any sexual contact against an elder’s will. This includes acts in which the elder is unable to understand the act or is unable to communicate. Abusive sexual contact is defined as intentional touching (either directly or through the clothing), of the genitalia, anus, groin, breast, mouth, inner thigh, or buttocks.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

³Definitions of abuse are from the Centers for Disease Control and Prevention, 2014.

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Types of abuse reported or alleged <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the abusive incident collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
iii. Psychological or Emotional Abuse, meaning “when an elder experiences trauma after exposure to threatening acts or coercive tactics. Examples include humiliation or embarrassment; controlling behavior (e.g., prohibiting or limiting access to transportation, telephone, money or other resources); social isolation; disregarding or trivializing needs; or damaging or destroying property.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iv. Neglect (by others), meaning “the failure or refusal of a caregiver or other responsible person to provide for an elder’s basic physical, emotional, or social needs, or failure to protect them from harm. Examples include not providing adequate nutrition, hygiene, clothing, shelter, or access to necessary health care; or failure to prevent exposure to unsafe activities and environments.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
v. Self-neglect, meaning “when vulnerable elders fail or refuse to address their own basic physical, emotional, or social needs. Examples include self-care tasks such as nourishment, clothing, hygiene, and shelter; proper/appropriate use of medications; and managing or administering one’s finances.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Types of abuse reported or alleged <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the abusive incident collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
vi. Financial Abuse or Exploitation, meaning “the unauthorized or improper use of the resources of an elder for monetary or personal benefit, profit, or gain. Examples include forgery, misuse or theft of money or possessions; use of coercion or deception to surrender finances or property; or improper use of guardianship or power of attorney.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vii. Abandonment, meaning “the willful desertion of an elderly person by caregiver or other responsible person.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B12. What pieces of information **about specific acts during the abusive incident and resulting injuries** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

<p>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</p>	<p>[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?</p>					<p>[2] If yes to [1], check one. Following up, were any items about specific acts during the abusive incident and resulting injuries collected as part of the initial report, before beginning an investigation?</p>	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
Weapon use							
a. Whether a gun was used	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Whether another weapon (e.g., knife) was used	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Whether another type of object was used as a weapon	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inappropriate use of restraints							
d. Whether victim was inappropriately restrained (with ties, ropes, cords, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Whether victim was "chemically restrained," meaning they were inappropriately sedated with medication or drugs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Level of completion							
f. Whether the act was threatened, attempted, or completed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Injury sustained							
g. Whether an injury resulted in bodily injury or impairment (e.g., cuts or lacerations, bruising, dislocated joints, broken bones)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Whether there was sexual contact against the victim's will	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Elements of neglect							

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

<p>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</p>	<p>[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?</p>					<p>[2] If yes to [1], check one. Following up, were any items about specific acts during the abusive incident and resulting injuries collected as part of the initial report, before beginning an investigation?</p>	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
i. Whether the victim was "actively" neglected, meaning that things were purposefully withheld	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Whether the victim was "passively" neglected, meaning that there was a failure to provide for him or her without intent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Regarding the types of things victims lacked access to, which of these specific items are recorded?:							
i. Adequate food	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ii. Adequate clothing (e.g., clothing appropriate to the season)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iii. Adequate shelter (e.g., a hygienic and safe environment)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iv. Access to medicine or healthcare	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Financial loss or impact							
l. Whether there was a loss of personal property	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. Whether there was a loss of financial assets	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n. Whether victim was forced to alter legal documents or beneficiary designations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
o. Dollar amount of losses sustained (if financial exploitation)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B13. What pieces of information **about the severity of injuries sustained** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Injury severity and need for health care <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about the severity of injuries sustained collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Whether the victim was seen by a health care provider for the injuries sustained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Whether the victim was seen by a mental health provider for the injuries sustained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Whether the victim was hospitalized as a result of injuries sustained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Duration of hospitalization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Whether the injury was life-threatening	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Whether the client died from the injuries sustained from this incident of abuse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Investigation Characteristics and Outcomes

B14. What pieces of information did your agency gather **about interagency collaborations** in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Agencies involved in the investigation <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about interagency collaborations collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
a. Whether the police accompanied the APS worker for safety reasons	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Whether case was co-investigated with other agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Name of co-investigative agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Whether case was transferred to other agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Name of agencies case was transferred to	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Police report number, if referred to <i>or</i> from the police (meaning, a number you could use to cross-reference to law enforcement records)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Court case number, case file number or docket number, if referred to <i>or</i> from prosecutor's office meaning, a number you could use to cross-reference to the prosecutor's or court records)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Agencies involved in the investigation <i>Column 1 will be asked for each item. Columns 2 will be asked as a follow-up, for only those characteristics respondents said they record in [1].</i>	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?					[2] If yes to [1], check one. Following up, were any items about interagency collaborations collected as part of the initial report, before beginning an investigation?	
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded	Yes	No
h. Case file number, if referred to <i>or</i> from guardianship, conservatorship, or other civil court proceedings (meaning, a number you could use to cross-reference to attorneys' or court records)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Case file number, if referred to <i>or</i> from another investigative agency (e.g., regulatory or licensing agency) that you could use to cross-reference that agency's records.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Case file number at any other agency, if applicable (<i>If yes in Column 1, ask "Please specify the agency: _____"</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

B15. What pieces of information **about the conclusion of the elder abuse investigation** did your agency gather in the course of an investigation responding to suspected elder abuse in 2015? By “gathering,” we mean collecting and recording information in any form, including on paper, in narrative form, or in a database field. Please respond “yes” to all the items that were available on your data collection forms, even if they were not always consistently filled in.

Case outcomes	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?				
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded
a. Date investigation was opened	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Date investigation closed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Reason for case closure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Whether the overall report of abuse was confirmed or substantiated	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Whether specific abuse types ⁴ were substantiated . – Which of these specific abuse categories were recorded?					
i. Physical Abuse, meaning “when an elder is injured (e.g., scratched, bitten, slapped, pushed, hit, burned, etc.), assaulted or threatened with a weapon (e.g., knife, gun, or other object), or inappropriately restrained.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ii. Sexual Abuse or Abusive Sexual Contact, meaning “any sexual contact against an elder’s will. This includes acts in which the elder is unable to understand the act or is unable to communicate. Abusive sexual contact is defined as intentional touching (either directly or through the clothing), of the genitalia, anus, groin, breast, mouth, inner thigh, or buttocks.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iii. Psychological or Emotional Abuse, meaning “when an elder experiences trauma after exposure to threatening acts or coercive tactics. Examples include humiliation or embarrassment; controlling behavior (e.g., prohibiting or limiting access to transportation, telephone, money or other resources); social isolation; disregarding or trivializing needs; or damaging or destroying property.”	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
iv. Neglect (by others), meaning “the failure or refusal of a caregiver or other responsible person to provide for an elder’s basic physical, emotional, or social needs, or failure to protect them from harm. Examples include not	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Definitions of abuse are from the Centers for Disease Control and Prevention, 2014.

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Case outcomes	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?				
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded
providing adequate nutrition, hygiene, clothing, shelter, or access to necessary health care; or failure to prevent exposure to unsafe activities and environments."					
v. Self-neglect, meaning "when vulnerable elders fail or refuse to address their own basic physical, emotional, or social needs. Examples include self-care tasks such as nourishment, clothing, hygiene, and shelter; proper/appropriate use of medications; and managing or administering one's finances."	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vi. Financial Abuse or Exploitation, meaning "the unauthorized or improper use of the resources of an elder for monetary or personal benefit, profit, or gain. Examples include forgery, misuse or theft of money or possessions; use of coercion or deception to surrender finances or property; or improper use of guardianship or power of attorney."	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
vii. Abandonment, meaning "the willful desertion of an elderly person by caregiver or other responsible person."	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Whether the victim changed residence since the incident (e.g., as a result of the investigation, at the conclusion of the case)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Was there a change in guardianship (e.g., initiated guardianship proceedings, place into guardianship, changed guardian) since the incident (e.g., as a result of the investigation, at the conclusion of the case)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Whether there was a protective order or restraining order issued after the incident (e.g., as a result of the investigation, at the conclusion of the case)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Regarding non-criminal disciplinary action against the alleged perpetrator, which of these are recorded?					
i. Lost license,	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Case outcomes	[1] Ask for each item. Check one. Did your agency record information on this characteristic, and was it stored electronically?				
	Yes, electronically in a structured data field	Yes, electronically as free text	Yes, electronically, but don't know the field type	Yes, but on paper only	No, this was not recorded
ii. Added to abuser registry	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Whether there was a referral to the police	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Whether an arrest was made	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. Whether there was a referral to criminal prosecution	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. Whether criminal charges were filed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n. Outcome of the criminal case (e.g., convicted or not)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
o. Whether jail or prison time was imposed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

C. Elder Abuse Definitions and APS Agency Responsibilities

Screening practices

C1. Did your agency's investigations in 2015 reflect reports that had been screened-in somehow?

- Yes, another agency or unit conducted initial screening to determine that abuse investigation was needed (*please specify the other agency: _____*)
- Yes, our agency conducted initial screening to determine that abuse investigation was needed.
- No, our agency opens an abuse investigation on all reports received.

C2. [IF SCREENED IN] Can you report on the number of reports that were screened out in 2015?

- Yes
- No

C3. [IF SCREENED IN] Why were reports screened out? *Please check all that apply*

- Not in need of protective services (for example: referred to social services)
- Not our agency's jurisdiction (for example: referred elsewhere for investigation)
- Other reasons (*please specify: _____*)

C3a. [IF SCREENED IN] What was the primary reason why reports were screened out in 2015?

- Not in need of protective services (for example: referred to social services)
- Not our agency's jurisdiction (for example: referred elsewhere for investigation)
- Other reasons (*please specify: _____*)

Types of abuse

C4. What types of elder abuse was your agency responsible for investigating in 2015? *Please check all that apply.*

- Physical abuse
- Sexual abuse
- Emotional or psychological abuse
- Neglect (by others)
- Self-Neglect
- Financial or material exploitation
- Abandonment
- Other (*please specify: _____*)

C5. How did your agency define neglect by others in 2015? *Please check all that apply.*

- Active neglect (i.e., willful refusal to provide for elder's needs, such as denying food or medications)
- Passive neglect (i.e., failure to provide for elder's needs, but no evidence of malicious or punitive intent)
- Other (*please specify: _____*)

C6. a. Did your agency respond to reports of self-neglect in 2015?

- Yes

- o No, we didn't respond ourselves (for example: immediate referral to another agency)
- b. [IF YES to A] How did your agency respond to reports of self-neglect in 2015? *Please check all that apply.*
 - o We conducted an initial screening to determine jurisdiction before investigating
 - o We conducted a formal abuse investigation
 - o We provided services to the elder
 - o We sometimes provided services to the elder even though another agency investigated the case
 - o Some other response (*please specify: _____*)

C7. a. In 2015, did your agency respond to reports of financial or material exploitation perpetrated by either an acquaintance or stranger (for example: scams)?

- o Yes
- o No, we didn't respond ourselves (for example: immediate referral to another agency)

b. [IF YES to A] In 2015, how did your agency respond to reports of financial or material exploitation perpetrated by either an acquaintance or stranger (for example: scams)? *Please check all that apply.*

- o We conducted an initial screening to determine jurisdiction before investigating
- o We conducted a formal abuse investigation
- o We provided services to the elder
- o We sometimes provided services to the elder even though another agency investigated the case
- o Some other response (*please specify: _____*)

Vulnerability

C8. How did your agency define "vulnerable" in 2015? *Please check all that apply.*

- o Deaf or has difficulty hearing
- o Blind or has difficulty seeing, even when wearing glasses
- o Difficulty concentrating, remembering or making decisions
- o Difficulty walking or climbing stairs

- Difficulty dressing or bathing
- Difficulty doing errands alone, such as visiting a doctor’s office or shopping
- Dependent on the care of others
- Lacks capacity to make decisions for oneself
- Has problems with substance use (alcohol, drugs, or inappropriate use of prescription drugs)
- Has a legal guardian
- Advanced age
- Lives in a long-term care facility
- Receives services from a care agency
- Other (*please specify:* _____)

C9. Did your agency distinguish between “elders” and younger vulnerable adults in 2015?

- Yes
- No

C10. At what age was someone considered an “elder” by your agency in 2015?

- Age (*please specify:* _____)
- There was no such definition

C11. In 2015, did elderly persons have to demonstrate a specific vulnerability in order for your agency to open an investigation, or was advanced age sufficient?

- Everyone had to demonstrate a specific vulnerability, regardless of age
- Advanced age was enough to open an investigation

C12. [IF SELECTED ADVANCED AGE ABOVE] At what age was advanced age, without other demonstrated vulnerabilities, sufficient to open an investigation in 2015? _____

Jurisdiction: Institutions vs. community

C13. Which of the following did your agency consider a “facility” or “institution” in 2015? *Please check all that apply.*

- Licensed group home
- Unlicensed group home
- Assisted living facility
- Nursing home
- State mental illness facility
- State developmental disability facility
- Hospital
- Other (*please specify: _____*)

C14. In 2015, under what circumstances was your agency responsible for investigating elder abuse in a facility or institution?

- We investigated all reports of facility abuse
- We investigated some reports of facility abuse
- We didn’t investigate reports of abuse in a facility or institution
- Some other response (*please specify: _____*)

C15. [IF SOME CHECKED ABOVE] In 2015, what were your agency’s guidelines on when to investigate elder abuse in a facility or institution? *Please check all that apply.*

- We had jurisdiction to investigate some facility types but not others
- We investigated when the alleged perpetrator was not part of the facility staff (for example: relative of the victim)
- Other (*please specify: _____*)

C16. a. Did your agency respond to reports of elder abuse in facilities or institutions in 2015?

- Yes
- No, we didn’t respond ourselves (for example: immediate referral to another agency)

b. [IF YES TO A] How did your agency respond to reports of elder abuse in facilities or institutions in 2015? *Please check all that apply.*

- We conducted an initial screening to determine jurisdiction before investigating
- We conducted a formal abuse investigation
- We provided or arranged services for the elder in addition to conducting the abuse investigation
- We sometimes provided or arranged services for the elder even if another agency investigated the case
- Some other response (*please specify: _____*)

C17. a. In 2015, did your agency respond to reports of elder abuse in the community (for example: elder’s home)?

- Yes
- No, we didn’t respond ourselves (for example: immediate referral to another agency)

b. [IF YES TO A] In 2015, how did your agency respond to reports of elder abuse in the community (for example: elder’s home)? *Please check all that apply.*

- We conducted an initial screening to determine jurisdiction before investigating
- We conducted a formal abuse investigation
- We provided or arranged services for the elder in addition to conducting the abuse investigation
- We sometimes provided or arranged services for the elder even if another agency investigated the case
- Some other response (*please specify: _____*)

Alleged perpetrator relationship

C18. Did the relationship between a victim and alleged perpetrator determine whether your agency could open an abuse investigation in 2015?

- Yes
- No

C19. [IF YES TO ABOVE] How did your agency define an alleged perpetrator of elder abuse in 2015? *Please check all that apply.*

- Abuse if committed by a paid caregiver
- Abuse if committed by a family member
- Abuse if committed by facility staff
- Abuse if committed by a medical professional

- Abuse if committed by a financial professional
- Abuse if committed by an acquaintance
- Abuse if committed by a stranger
- Abuse if committed by someone without knowledge of the victim’s vulnerabilities
- Other (*please specify:* _____)

Suspicious deaths

C20. Did your agency investigate cases posthumously in 2015? For example, were you called to investigate or co-investigate suspicious deaths?

- Yes
- No

C21. [IF YES] – In 2015, did your agency record these cases in the same database as other reports or investigations?

- Yes
- No

Referral to law enforcement

C22. In 2015, was there a statewide policy to guide when APS should refer or report substantiated cases to law enforcement or to prosecution?

- Yes
- No

C23. [IF YES] In 2015, did local areas in your state have different policies about when APS should refer or report substantiated cases to law enforcement or to prosecution?

- Yes
- No

C24. In 2015, what was your agency’s policy on referring or reporting substantiated cases (other than self-neglect) to law enforcement or to prosecution?

- All substantiated cases must be reported to the police or the prosecutor’s office
- Substantiated cases that meet certain criteria were referred to police or the prosecutor’s office
- Substantiated cases were referred on an “as needed” basis

C25. [IF NOT ALL CASES REFERRED TO POLICE OR PROSECUTOR] In 2015, under what circumstances did your agency refer or report substantiated cases (other than self-neglect) to law enforcement or to prosecution? *Please check all that apply.*

- Cases were referred if criminal activity was suspected
- All cases with substantiated physical abuse were referred
- All cases with substantiated sexual abuse were referred
- All cases with substantiated psychological or emotional abuse were referred
- All cases with substantiated neglect (by others, not self-neglect) were referred
- All cases with substantiated financial exploitation were referred
- All cases with substantiated abandonment were referred
- Other (*please specify:* _____)

C26. When your agency referred to cases to the criminal justice system in 2015, who did you contact?

- Police
- Prosecutor’s office
- Either, depending on the circumstances
- Both, the police and the prosecutor’s office
- Other (*please specify:* _____)

Conclusion

Thank you very much for participating in this survey. We truly appreciate the time you spent. The results from this survey will be used assess how APS data can be used to augment current knowledge and statistics about elder victimization. If you have any questions, concerns, or comments about this project, please contact either of the Principal Investigators: Janine Zweig, at jzweig@urban.org (phone: 518-791-1058) or Kamala Mallik-Kane at kkane@urban.org (phone: 202-261-5857).

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don’t know.

Note: All items will include the following response options in addition to those shown: Not applicable, Decline to answer, and Don't know.

Appendix C: Survey recruitment and follow-up materials

Invitation letter

<Date>

Dear Adult Protective Services Representative,

You are invited to participate in an important survey. The Bureau of Justice Statistics (BJS) has sponsored The Urban Institute, a nonprofit research organization in Washington, DC, to examine how Adult Protective Services (APS) agencies manage data about elder abuse, neglect, and exploitation cases.

As part of this research, we are fielding a survey to assess whether existing APS data can help to fill gaps in national statistics about the number and characteristics of known incidents of elder abuse, neglect, and exploitation. Your participation is completely voluntary, but we appreciate your cooperation to make the results comprehensive, accurate, and timely.

This survey will be online. It focuses on data elements that measure APS cases and the extent to which these are available in electronic formats in APS information systems. It will also ask you about your agency's policies on responding to cases, such as when it is appropriate to refer cases to the police or for prosecution.

Please complete your survey online within three weeks using this username <InsertUsername> at this link: <InsertLink>.

You can complete the survey in more than one session—the information you provide will be saved each time. You also can provide your username to colleagues within your agency, if you feel they can help complete the survey. Reports from this project will increase the field's understanding of elder abuse, neglect, and exploitation.

Thank you very much for your participation. If you need help with the survey, please contact our study's research assistant, Carla Vasquez-Noriega, at cvasquez@urban.org or 202-261-5299.

For any other questions or concerns, please contact either of the Principal Investigators— Janine Zweig at jzweig@urban.org or 518-791-1058; or Kamala Mallik-Kane at kkane@urban.org or 202-261-5857.

Sincerely,

Janine Zweig, Ph.D. & Kamala Mallik-Kane, M.P.H.

Principal Investigators

The Urban Institute

Invitation email

Subject: DOJ-Sponsored Online Survey of Adult Protective Services Data Collection Practices

Dear <Title> <Last Name>,

You are invited to participate in a survey, and you should have also received a formal invitation in the mail a few days ago. The Bureau of Justice Statistics (BJS) has sponsored The Urban Institute, a nonprofit research organization in Washington, D.C., to examine how Adult Protective Services (APS) agencies manage data about elder abuse, neglect, and exploitation cases. As part of this research, we are fielding a survey to assess whether existing APS data can help to fill gaps in national statistics about the number and characteristics of known incidents of elder abuse, neglect, and exploitation.

Your participation in this survey is completely voluntary, but we appreciate your cooperation to make the results comprehensive, accurate, and timely. The survey focuses on data elements that measure APS cases and the extent to which these are available in electronic formats in APS information systems. It will also ask about your agency's policies on responding to cases, such as when it is appropriate to refer cases to the police or for prosecution.

This survey is online. You can complete the survey in more than one session—the information you provide will be saved each time. You also can provide your username to colleagues within your agency, if you feel they can help complete the survey.

Please complete your survey online (<url>) within three weeks using the username provided below.

Username: <User ID>

Thank you very much for your participation. If you need help with the survey, please contact our study's research assistant, Carla Vasquez-Noriega at cvasquez@urban.org or 202-261-5299.

For any other questions or concerns, please contact either of the Principal Investigators— Janine Zweig at jzweig@urban.org or 518-791-1058; or Kamala Mallik-Kane at kkane@urban.org or 202-261-5857.

Sincerely,

Janine Zweig, Ph.D. & Kamala Mallik-Kane, M.P.H.

Principal Investigators

The Urban Institute

Follow-up email

Subject: REMINDER: DOJ-Sponsored Online Survey of Adult Protective Services Data Collection Practices

Dear <Title> <Last Name>,

You are invited to participate in a survey. You should have also received a formal invitation in the mail a few days ago, as well as an invitation email. The Bureau of Justice Statistics (BJS) has sponsored The Urban Institute, a nonprofit research organization in Washington, DC, to examine how Adult Protective Services (APS) agencies manage data about elder abuse, neglect, and exploitation cases. As part of this research, we are fielding a survey to assess whether existing APS data can help to fill gaps in national statistics about the number and characteristics of known incidents of elder abuse, neglect, and exploitation.

Your participation in this survey is completely voluntary, but we appreciate your cooperation to make the results comprehensive, accurate, and timely.

This survey is online. You can complete the survey in more than one session—the information you provide will be saved each time. You also can provide your username to colleagues within your agency, if you feel they can help complete the survey.

Please complete your survey online (<url>) within three weeks using the username provided below.

Username: <User ID>

Thank you very much for your participation. If you need help with the survey, please contact our study's research assistant, Carla Vasquez-Noriega, at cvasquez@urban.org or 202-261-5299.

For any other questions or concerns, please contact either of the Principal Investigators— Janine Zweig at jzweig@urban.org or 518-791-1058; or Kamala Mallik-Kane at kkane@urban.org or 202-261-5857.

Sincerely,

Janine Zweig, Ph.D. & Kamala Mallik-Kane, M.P.H.

Principal Investigators

The Urban Institute

Follow-up postcard

Online survey of state and local APS data collection practices

The Urban Institute is conducting a survey and we need your help! The survey assesses whether existing APS data can help fill gaps in national statistics about the number and characteristics of known incidents of elder abuse, neglect, and exploitation.

If you have already completed the online survey, please accept our sincere thanks. If not, please do so as soon as possible.

If you did not receive our invitation to complete the survey, please contact our study's research assistant for your login information –Carla Vasquez-Noriega at cvasquez@urban.org or 202-261-5299.

Janine Zweig, Ph.D. & Kamala Mallik-Kane, M.P.H.

Principal Investigators

Follow-up phone script

Hello, my name is <name>, and I'm calling from The Urban Institute on behalf of the Department of Justice. We sent you a letter and an e-mail back in <month> inviting you to participate in an online survey to assess whether existing Adult Protective Services data can help fill gaps in national statistics about the number and characteristics of known incidents of elder abuse, neglect, and exploitation.

Was the letter or e-mail with the survey invitation received?

YES	NO
<p>Is there any help I can provide you in completing the survey? (Do you need me to provide your login link and username? Would it be easier to complete the survey over the phone?)</p> <p>IF WANT TO DO SURVEY OVER THE PHONE</p> <p>Is now a convenient time to talk through the survey, or would you like to schedule a time in the future? Is this the best number to reach you?</p> <p>Thank you very much. If you have any questions, feel free to call me at <phone number> or send me an email at <email>.</p> <p>IF DECLINES TO PARTICIPATE</p> <p>A lot of agencies delegate this work so that the burden isn't on one person (<i>suggest other analysts, APS workers, or data managers</i>). We can also complete the survey with you over the phone. It's very important to the field to get as many of the selected agencies as possible to complete the survey to have a comprehensive understanding of APS systems across the country. We are developing recommendations on how APS data can be used to improve elder victimization statistics and would like to make sure all APS agencies' experiences are included.</p> <p><i>If still refuse:</i> Thank you for your time. If you'd like to follow up, you can call me at <phone number> or send me an email at <email>.</p>	<p>I'm sorry about that. Can I confirm your e-mail address and send you a link to the survey?</p> <p>You should receive the link and a username in an e-mail from me shortly. There is a letter attached to the email which describes the purpose of the survey. In short, the Bureau of Justice Statistics has sponsored The Urban Institute, a nonprofit research organization in Washington, DC, to examine how Adult Protective Services agencies manage data about elder abuse, neglect, and exploitation cases. The survey focuses on data elements that measure APS cases and the extent to which these are available in electronic formats in APS information systems. It also asks about your agency's policies on responding to cases, such as when it is appropriate to refer cases to the police or for prosecution.</p> <p>Thank you very much. If you have any questions, feel free to call me at <phone number> or send me an email at <email>.</p>

Appendix D: Selected survey results, by state and local agency type

Policies, practices, and definitions governing the scope of Adult Protective Services operations and data systems, by state and local agency type

Appendix table 1. Data on initial reports of suspected abuse maintained by APS agencies in 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Agency maintained data on initial report before investigation was opened (BO)</i>				
Yes	33	76.7%	58	82.9%
No	5	11.6	7	10.0

Note: Includes 43 state APS respondents and 70 local APS respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

Appendix table 2. Initial reports of suspected abuse, by screening criteria, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Did agency investigations reflect reports that had been screened in? (C1)</i>				
Yes, another agency or unit conducted initial screening	3	7.3%	1	1.5%
Yes, our agency conducted initial screening	35	85.4	58	85.3
No, our agency opens an abuse investigation on all reports received	3	7.3	9	13.2
<i>If yes, can agency report on the number of reports screened out in 2015? (C2)</i>				
Yes	29	82.9%	43	82.7%
No	6	17.1	9	17.3
<i>If yes, why were reports screened out? (C3)*</i>				
Not in need of protective services	27	71.1%	53	89.8%
Not our agency's jurisdiction	28	73.7	51	86.4
Other reason	19	50.0	26	44.1
<i>If yes, what is the primary reason reports were screened out (C3a)?</i>				
Not in need of protective services	15	48.4%	30	60.0%
Not our jurisdiction	7	22.6	18	36.0
Other reason	9	29.0	2	4.0

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

*Percentages may sum to more than 100% because respondents could select multiple answers.

Appendix table 3. Data maintained by Adult Protective Services agencies, by units of count, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>How was information organized in the recordkeeping system? (A4)</i>				
At a person level (only)	7	17.9%	29	43.3%
At case or investigation level (only)	10	25.6	8	11.9
At a report level (only)	5	12.8	6	9.0
Multiple levels	17	43.6	24	35.8
<i>If collected multiple levels, what levels of data were maintained? (A5)*</i>				
Client (victim) level	15	88.2%	23	95.6%
Case or investigation level	15	88.2	21	87.5
Report level	15	88.2	21	87.5
Allegation level	4	23.5	4	16.6
Other level	0	0.0	0	0.0
<i>When reporting elder abuse statistics, report on number of cases/reports or on the number of individuals? (A6)</i>				
Cases or reports	21	50.0%	34	49.3%
Individuals	3	7.1	2	2.9
We can report both ways	18	42.9	33	47.8

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

*Percentages may sum to more than 100% because respondents could select multiple answers.

Appendix table 4. Adult Protective Services agency investigative scope and electronic recordkeeping practices, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Agency focused on elder abuse (A1)</i>				
Yes, we focused on elder abuse only	6	14.0%	3	4.3%
No, we worked on elder abuse and the abuse of younger vulnerable adults	26	60.5	40	58.0
No, we worked on elder abuse and other types of cases	11	25.6	26	37.7
<i>Did agency typically work with elders when there was no suspected abuse? (A2)</i>				
Yes	15	34.9%	42	60.0%
No, only worked with elders when there was suspected abuse	28	65.1	28	40.0
<i>Did your agency record elder abuse cases in an electronic database in 2015? (A7)</i>				
Yes	42	97.7%	60	85.7%
No	1	2.3	10	14.3
<i>Agency had electronic database specifically for elder abuse cases? (A8)</i>				
Elder abuse only	5	11.9%	8	13.3%
Elder abuse and abuse of vulnerable young adults	23	54.8	43	71.7
Abuse of younger vulnerable adults only	0	0.0	1	1.7
Elder and vulnerable adult abuse and other case types	14	33.3	8	13.3
<i>Was there a time lag between when information was collected on paper and when it was entered electronically? (A10a)</i>				
Yes, there was a time lag	20	52.6%	28	46.7%
No, we entered data immediately	9	23.7	20	33.3
No, we entered data directly into the electronic system (paperless)	9	23.7	12	20.0
<i>If yes, how long was the time lag? (A10b)^a</i>				
	7.5 days		8.6 days	
<i>Were paper or electronic records your agency's official system of record in 2015? (A11)</i>				
Paper files were the system of record	10	24.4%	27	45.0%
Electronic database was the system of record	31	75.6	33	55.0
<i>Was there a time lag between when data were entered and when your agency could reliably query the database for statistics? (A14a)</i>				
Yes	19	51.4	20	41.7

	State		Local	
	Number	Percent	Number	Percent
No	18	48.6	28	58.3
<i>If yes, how long was the time lag?</i> <i>(A14b)^b</i>	52.8 days		14.4 days	

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

^aAverage based on 16 state and 26 local APS agencies that reported a time lag.

^bAverage based on 18 state and 16 local APS agencies that reported a time lag.

Appendix table 5. Investigations by Adult Protective Services agencies, by types of abuse, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Types of abuse agencies were responsible for investigating in 2014 (C4)</i>				
Physical abuse	43	100.0%	69	98.6%
Sexual abuse	43	100.0	64	91.4
Emotional or psychological abuse	38	88.4	68	97.1
Neglect (by others)	43	100.0	69	98.6
Self-neglect	40	93.0	70	100.0
Financial or material exploitation	43	100.0	70	100.0
Abandonment	24	55.8	57	81.4
Other	10	23.2	12	17.1
<i>How did agency define neglect? (C5)^{a,b}</i>				
Active neglect	35	81.4%	67	95.7%
Passive neglect	29	67.4	61	87.1
Other	5	11.6	6	8.6
<i>Agency responded to reports of self-neglect (C6a)</i>				
Yes	40	93.0%	69	100.0%
No (e.g., immediate referral to another agency)	3	7.0	0	0.0
<i>If yes, how did agency respond to self-neglect? (C6b)^a</i>				
Conducted initial screening to determine jurisdiction before investigating	26	65.0%	58	84.1%
Conducted formal abuse investigation	32	80.0	57	82.6
Provided services to the elder	29	72.5	49	71.0
Provided services to elder, though other agency investigated	5	12.5	19	27.5
Other	9	22.5	3	4.3
<i>Agency responded to reports of financial or material exploitation by a stranger or acquaintance (e.g., scams) (C7a)</i>				
Yes	36	87.8%	65	98.5%
No (e.g., immediate referral to another agency)	5	12.2	1	1.5
<i>If yes, how did agency respond to financial or material exploitation by a stranger or acquaintance? (C7b)^{a,c}</i>				
Conducted initial screening to determine jurisdiction before investigating	25	69.4%	54	83.1%
Conducted formal abuse investigation	31	86.1	58	89.2
Provided services to the elder	24	66.7	48	73.8
Provided services to elder, though other agency investigated	10	27.8	24	36.9

	State		Local	
	Number	Percent	Number	Percent
Other	6	16.7	7	10.8
<i>Did agency investigate cases posthumously? (C20)</i>				
Yes	13	32.5%	6	9.0%
No	27	67.5	61	91.0
<i>If yes, did your agency record these cases in the same database as other reports or investigations? (C21)</i>				
Yes	13	100.0%	4	66.7%
No	0	0.0	2	33.3

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

^aPercentages may sum to more than 100% because respondents could select multiple answers.

^bActive neglect refers to the willful withholding of necessities such as food, clothing, shelter, and medicine, whereas passive neglect refers to a failure to provide such necessities.

^cStrangers and acquaintances are typically excluded from this study's definition of elder abuse because there is no expectation of trust between the victim and perpetrator. The only exception would be when that person's professional role carries an expectation of trust (e.g., health care workers or attorneys not known to the victim).

Appendix table 6. Victim age definitions used by Adult Protective Services agencies, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Agency distinguished between “elders” and younger vulnerable adults (C9)</i>				
Yes	22	55.0%	54	80.6%
No	18	45.0	13	19.4
<i>Age someone was considered an elder in 2015 (C10)</i>				
Agency defined a specific age	25	64.1%	64	92.8%
No definition	14	35.9	5	7.2
Average age someone was considered an elder ^{a,b}	61.5 years		64 years	
<i>Agency required persons to demonstrate a specific vulnerability (C11)</i>				
Everyone had to demonstrate a specific vulnerability, regardless of age	26	65.0%	26	39.4%
Advanced age was enough to open an investigation	14	35.0	40	60.6
<i>Average age considered “advanced age” (C12)^c</i>	63.8 years		65.4 years	

Note: Includes 43 state Adult Protective Services (APS) respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

^aOne agency response was inconsistent and appeared to be an error. This observation was excluded from the average.

^bAverage based on 24 state and 64 local APS agencies that defined elder as a specific age. Valid values: 60–65.

^cAverage based on 26 state and 26 local APS agencies that had a definition of advanced age. Valid values: 60–85.

Appendix table 7. Investigations of abuse by Adult Protective Services agencies, by definitions of vulnerable victims, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>How did agency define "vulnerable"?</i> <i>(C8)*</i>				
Deaf or has difficulty hearing	17	39.5%	42	60.0%
Blind or has difficulty seeing, even when wearing glasses	17	39.5	44	62.9
Difficulty concentrating, remembering, or making decisions	19	44.2	48	68.6
Difficulty walking or climbing stairs	18	41.9	38	54.3
Difficulty dressing or bathing	21	48.8	36	51.4
Difficulty doing errands alone, such as visiting a doctor's office or shopping	18	41.9	36	51.4
Dependent on the care of others	23	53.5	59	84.3
Lacks capacity to make decisions for oneself	27	62.8	59	84.3
Has problems with substance use	15	34.9	30	42.9
Has a legal guardian	17	39.5	37	52.9
Advanced age	14	32.6	39	55.7
Lives in a long-term care facility	15	34.9	16	22.9
Receives services from a care agency	13	30.2	24	34.3
Other	19	44.2	8	11.4

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

*Percentages may sum to more than 100% because respondents could select multiple answers.

Appendix table 8. Investigations of elder abuse by Adult Protective Services agencies, by victim-perpetrator definitions and policies, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Relationship between victim and alleged perpetrator determined opening an abuse investigation (C18)</i>				
Yes	10	23.8%	8	11.6%
No	32	76.2	61	88.4
<i>If yes, how did agency define an alleged perpetrator? (C19)^a</i>				
Abuse if committed by—				
Paid caregiver	9	90.0% !	8	100.0% !
Family member	10	100.0 !	8	100.0 !
Facility staff	5	50.0 !	3	37.5 !
Medical professional	6	60.0 !	6	75.0 !
Financial professional	7	70.0 !	7	87.5 !
Acquaintance ^b	4	40.0 !	6	75.0 !
Stranger ^b	4	40.0 !	6	75.0 !
Someone without knowledge of the victim's vulnerabilities	5	50.0 !	8	100.0 !
Other	3	30.0 !	1	12.5 !

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

! Interpret data with caution; estimate based on 10 or fewer cases.

^aPercentages may sum to more than 100% because respondents could select multiple answers.

^bStrangers and acquaintances are typically excluded from this study's definition of elder abuse because there is no expectation of trust between the victim and perpetrator. The only exception would be when that person's professional role carries an expectation of trust (e.g., health care workers or attorneys not known to the victim).

Appendix table 9. Adult Protective Services agencies criminal justice referral policies, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Agency had a statewide policy to guide when APS should refer or report substantiated cases to the criminal justice system (C22)</i>				
Yes	34	82.9%	39	81.3%
No	7	17.1	9	18.8
<i>If yes, did local areas in the state have different or additional policies related to referring/reporting? (C23)</i>				
Yes	5	16.1%	13	59.1%
No	26	83.9	9	40.9
<i>Agency policy on referring or reporting substantiated cases to law enforcement or prosecution (C24)^a</i>				
All substantiated cases must be reported	14	37.8%	21	32.3%
Substantiated cases that meet certain criteria were referred	17	45.9	27	41.5
Substantiated cases were referred on an "as needed" basis	6	16.2	17	26.2
<i>If not all cases referred, under what circumstances did agency refer or report substantiated cases (other than self-neglect) to law enforcement or for prosecution? (C25)^a</i>		23		44
Criminal activity was suspected	21	91.3%	40	90.1
All substantiated physical abuse cases were referred	9	39.1	25	56.8
All substantiated sexual abuse cases were referred	11	47.8	24	54.6
All substantiated psychological or emotional abuse cases were referred	3	13.0	8	18.2
All substantiated neglect cases (by others, not self-neglect) were referred	5	21.7	12	27.3
All substantiated financial exploitation cases were referred	9	39.1	23	52.3
All substantiated abandonment cases were referred	1	4.4	10	22.7
Other	4	17.4	4	9.1
<i>When your agency referred cases to the criminal justice system, whom did you contact? (C26)</i>				
Police	13	31.0%	27	39.1%
Prosecutor's office	3	7.1	4	5.8
Either	13	31.0	26	37.7
Both police and prosecutor's office	13	31.0	12	17.4

Note: Includes 43 state Adult Protective Services (APS) respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

^aPercentages may sum to more than 100% because respondents could select multiple answers.

Appendix table 10. Investigations conducted by Adult Protective Services agencies, by location investigated, 2015

	State		Local	
	Number	Percent	Number	Percent
<i>Facilities or institutions as defined by agency (C13)^a</i>				
Licensed group home	36	83.7%	66	94.3%
Unlicensed group home	15	34.9	23	32.9
Assisted living facility	35	81.4	66	94.3
Nursing home	38	88.4	68	97.1
State mental illness facility	35	81.4	64	91.4
State developmental disability facility	34	79.1	65	92.9
Hospital	33	76.7	55	78.6
Other	8	18.6	6	8.6
<i>Circumstances under which agency was responsible for investigating abuse in a facility or institution (C14)</i>				
We were responsible for investigating all reports of facility abuse	13	31.0%	0	0.0%
We were responsible for investigating some reports of facility abuse	11	26.2	16	25.0
We were not responsible for investigating reports of abuse in a facility or institution	11	26.2	39	60.9
Other	7	16.7	9	14.1
<i>If some, when did the agency investigate elder abuse in a facility or institution? (C15)</i>				
We had jurisdiction to investigate some facility types but not others	7	63.6%	8	50.0%
We investigated when the alleged perpetrator was not part of the facility staff	3	27.3	10	62.5
Other	3	27.3	2	12.5
<i>Agency responded to reports of elder abuse in facilities or institutions (C16a)</i>				
Yes	26	63.4%	21	32.8%
No (e.g., immediate referral to another agency)	15	36.6	43	67.2
<i>If yes, how did agency respond to reports of elder abuse in facilities or institutions? (C16b)^a</i>				
Conducted an initial screening to determine jurisdiction before investigating	19	73.1%	16	76.2%
Conducted a formal abuse investigation	22	84.6	6	28.6

	State		Local	
	Number	Percent	Number	Percent
Provided or arranged services for the elder in addition to conducting the abuse investigation	16	61.5	6	28.6
Sometimes provided or arranged services for the elder even if another agency investigated the case	4	15.4	6	28.6
Some other response	3	11.5	2	9.5
<i>Agency responded to reports of elder abuse in the community? (C17a)</i>				
Yes	42	100.0%	69	98.6%
No (e.g. immediate referral to another agency)	0	0.0	1	1.4
<i>If yes, how did agency respond to reports of elder abuse in the community? (C17b)^a</i>				
Initial screening to determine jurisdiction before investigating	33	78.6%	60	86.9%
Conducted a formal abuse investigation	37	88.1	59	85.5
Provided or arranged services for the elder in addition to conducting the abuse investigation	34	80.9	56	81.2
Sometimes provided services to the elder even if another agency investigated the case	13	30.9	29	42.0

Note: Includes 43 state Adult Protective Services respondents and 70 local respondents (from the 3 states with decentralized data: California, New Jersey, and New York). Percentages are based on nonmissing data.

^aPercentages may sum to more than 100% because respondents could select multiple answers.

Data elements gathered by Adult Protective Services data systems, by state and local agency type
(given as parts A and B of each table)

Appendix table 11a. Victim (client) characteristics collected by state Adult Protective Services agencies, 2015

Victim characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Case identification (ID) and demographics											
Name	B1a	13	40	95.2%	90.5%	76.2%	38	1	1	0	2
Social Security number	B1b	6	32	76.2	69.0	47.6	29	2	1	0	10
Date of birth	B1c	9	39	92.9	85.7	71.4	36	2	1	0	3
Victim/client ID number	B1d	9	34	85.0	77.5	55.0	31	2	0	1	6
Age	B1e	4	39	92.9	78.6	73.8	33	3	3	0	3
Sex	B1f	7	39	92.9	90.5	73.8	38	0	1	0	3
Race	B1g	12	37	88.1	83.3	59.5	35	0	2	0	5
Hispanic origin	B1h	0	30	75.0	70.0	50.0	28	1	1	0	10
Vulnerability											
Disability status											
Deaf or has difficulty hearing	B2a	26	37	88.1%	35.7%	50.0%	15	17	0	5	5
Blind or has difficulty seeing	B2b	27	38	90.5	33.3	50.0	14	19	0	5	4
Difficulty concentrating	B2c	23	41	97.6	38.1	59.5	16	20	0	5	1
Difficulty walking or climbing stairs	B2d	26	39	92.9	35.7	52.4	15	18	0	6	3
Difficulty dressing or bathing	B2e	26	40	97.6	43.9	56.1	18	16	0	6	1
Difficulty doing errands alone	B2f	24	39	92.9	38.1	54.8	16	17	0	6	3
Dependent on care of others	B2g	17	40	95.2	38.1	64.3	16	18	0	6	2

Victim characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Lacks capacity to make decisions for oneself	B2h	0	40	97.6	41.5	58.5	17	18	0	5	1
Meets your agency's definition of vulnerable adult	B2i	26	39	100.0	56.4	71.8	22	13	0	4	0
Substance use status											
Alcohol use	B2j	30	36	85.7	38.1	50.0	16	16	0	4	6
Illegal drug use	B2k	0	35	83.3	33.3	47.6	14	17	0	4	7
Inappropriate use of prescription drugs	B2l	22	33	78.6	19.0	40.5	8	20	0	5	9
Substance use in general	B2m	0	36	85.7	28.6	52.4	12	19	0	5	6
Guardianship status											
Had a legal guardian at the time of incident	B2n	0	41	97.6	47.6	66.7	20	16	0	5	1
Housing and living arrangements											
Housing type at time of incident	B3a	20	38	90.5%	47.6%	66.7%	20	15	1	2	4
Housing type at case closing	B3b	13	30	71.4	23.8	31.0	10	17	1	2	12
Housing type											
Victim's home	B3ci	12	38	90.5	52.4	59.5	22	13	1	2	4
Family member's home	B3cii	17	34	82.9	43.9	58.5	18	13	1	2	7
Group home (unlicensed)	B3ciii	16	32	82.1	48.7	56.4	19	10	1	2	7
Group home (licensed)	B3civ	17	36	94.7	65.8	60.5	25	9	0	2	2
Assisted living facility	B3cv	24	35	94.6	67.6	64.9	25	8	0	2	2

Victim characteristic	Survey item	Item number	Percent of respondents that collected this item—				Detailed method of collection (N)				
			Collected in any form	In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Skilled nursing facility	B3cvi	34	33	91.7	66.7	63.9	24	7	0	2	3
Other institution	B3cvii	0	30	83.3	52.8	55.6	19	9	0	2	6
Hospital	B3cviii	20	34	87.2	59.0	59.0	23	8	0	3	5
Other housing type	B3cix	17	21	75.0	39.3	35.7	11	8	0	2	7
Victim lived with alleged perpetrator at the time of incident	B3d	0	38	90.5	42.9	69.0	18	17	0	3	4
Victim lived with alleged perpetrator at the time of case closing	B3e	0	30	73.2	17.1	24.4	7	20	0	3	11
Abuse history											
First time individual was reported to agency as victim	B4a	0	33	80.5%	51.2%	56.1%	21	8	3	1	8
Date of first report to agency as a victim	B4b	0	32	80.0	57.5	50.0	23	6	1	2	8

Appendix table 11b. Victim (client) characteristics collected by local Adult Protective Services agencies in the three states with decentralized data, 2015

Victim characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)					
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency	
Case identification (ID) and demographics												
Name	B1a	31	70	100.0%	57.1%	82.9%	40	11	12	7	0	
Social Security number	B1b	28	60	89.6	53.7	62.7	36	9	9	6	7	
Date of birth	B1c	22	70	100.0	60.0	75.7	42	7	11	10	0	
Victim/client ID number	B1d	31	63	98.4	65.6	67.2	42	2	10	9	1	
Age	B1e	29	69	100.0	55.1	81.2	38	10	11	10	0	
Sex	B1f	28	70	100.0	58.6	81.4	41	7	11	11	0	
Race	B1g	35	65	98.5	57.6	68.2	38	6	10	11	1	
Hispanic origin	B1h	0	53	81.5	46.2	58.5	30	7	6	10	12	
Vulnerability												
Disability status												
Deaf or has difficulty hearing	B2a	49	67	98.5%	22.1%	57.4%	15	23	8	21	1	
Blind or has difficulty seeing	B2b	50	67	98.5	22.1	57.4	15	23	8	21	1	
Difficulty concentrating	B2c	48	68	98.6	29.0	59.4	20	19	8	21	1	
Difficulty walking or climbing stairs	B2d	54	69	100.0	27.5	53.6	19	19	9	22	0	
Difficulty dressing or bathing	B2e	53	68	100.0	29.4	54.4	20	18	8	22	0	
Difficulty doing errands alone	B2f	49	65	94.2	21.7	50.7	15	20	10	20	4	
Dependent on the care of others	B2g	43	69	98.6	24.3	65.7	17	20	10	22	1	
Lacks capacity to make decisions for oneself	B2h	0	67	98.5	27.9	60.3	19	20	10	18	1	
Meets your agency's definition of vulnerable adult	B2i	51	66	94.3	38.6	64.3	27	15	9	15	4	
Substance use status												
Alcohol use	B2j	0	64	94.1	25.0	45.6	17	19	9	19	4	
Illegal drug use	B2k	52	64	92.8	20.3	40.6	14	20	9	21	5	

Victim characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Inappropriate use of prescription drugs	B2l	69	62	78.6	19.0	40.5	13	21	9	19	7
Substance use in general	B2m	44	63	91.3	23.2	44.9	16	20	9	18	6
Guardianship status											
Had a legal guardian at the time of incident	B2n	45	67	97.1	24.6	59.4	17	20	8	22	2
Housing and living arrangements											
Housing type at time of incident	B3a	40	63	92.6%	35.3%	63.2%	24	12	6	21	5
Housing type at case closing	B3b	42	58	84.1	24.6	37.7	17	14	10	17	11
Housing type											
Victim's home	B3ci	47	68	97.1	35.7	71.4	25	15	10	18	2
Family member's home	B3cii	47	60	92.3	26.2	61.5	17	18	7	18	5
Group home (unlicensed)	B3ciii	35	54	94.7	26.3	64.9	15	19	8	12	3
Group home (licensed)	B3civ	45	50	90.9	27.3	58.2	15	17	7	11	5
Assisted living facility	B3cv	48	54	93.1	27.6	63.8	16	17	8	13	4
Skilled nursing facility	B3cvi	0	56	93.3	30.0	63.3	18	16	8	14	4
Other institution	B3cvii	0	53	89.8	20.3	57.6	12	19	7	15	6
Hospital	B3cviii	38	61	96.8	25.4	65.1	16	18	10	17	2
Other housing type	B3cix	36	34	81.0	16.7	35.7	7	14	5	8	8
Victim lived with alleged perpetrator at the time of the incident	B3d	0	69	98.6	35.7	75.7	25	15	10	19	1
Victim lived with alleged perpetrator at the time of case closing	B3e	0	64	92.8	30.4	53.6	21	18	7	18	5

Abuse history

Victim characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
First time individual was reported to your agency as victim	B4a	0	61	88.4%	44.9%	65.2%	31	8	11	11	8
Date of first report to agency as a victim	B4b	0	60	87.0	47.8	62.3	33	5	12	10	9

Appendix table 12a. Alleged perpetrator information collected by state Adult Protective Services agencies, 2015

Alleged perpetrator information	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown, field type	Paper only	Not collected by agency
Case identification (ID) and demographics											
Name	B5a	12	39	92.9%	71.4%	71.4%	30	4	1	4	3
Social Security number	B5b	26	20	50.0	35.0	30.0	14	3	1	2	20
Date of birth	B5c	21	26	63.4	48.8	39.0	20	2	1	3	15
Alleged perpetrator ID number	B5d	22	19	54.3	37.1	37.1	13	4	1	1	16
Age	B5e	20	31	73.8	52.4	47.6	22	5	2	2	11
Sex	B5f	15	33	78.6	64.3	54.8	27	2	1	3	9
Race	B5g	20	28	68.3	51.2	43.9	21	3	1	3	13
Hispanic origin	B5h	22	21	53.8	43.6	35.9	17	1	0	3	18
Relationship to victim											
Victim-perpetrator relationship											
Intimate partner	B6ai	18	41	97.6%	76.2%	73.8%	32	6	0	3	1
Adult child	B6aii	12	39	92.9	64.3	73.8	27	9	0	3	3
Adult grandchild	B6aiii	15	38	90.5	57.1	69.0	24	10	0	4	4
Other family member	B6aiv	16	40	95.2	71.4	73.8	30	7	0	3	2
Nonfamily friend or acquaintance	B6av	17	39	92.9	64.3	69.0	27	8	0	4	3
Paid caregiver	B6avi	20	41	97.6	61.9	71.4	26	12	0	3	1
Health care provider	B6avii	24	37	92.5	57.5	60.0	23	10	0	4	3
Other employee of caregiving institution	B6aviii	23	33	84.6	48.7	59.0	19	11	0	3	6
Financial professional	B6aix	16	36	87.8	41.5	63.4	17	15	0	4	5
Stranger	B6ax	26	31	83.8	37.8	56.8	14	14	0	3	6
Other	B6axi	22	34	94.4	55.6	58.3	20	11	0	3	2
Alleged perpetrator met your agency's definition of "abuser"	B6b	27	21	61.8	23.5	32.4	8	11	0	2	13
Alleged perpetrator was a caregiver	B6c	19	38	90.5	47.6	64.3	20	14	0	4	4
Alleged perpetrator was a paid caregiver	B6d	0	34	81.0	35.7	61.9	15	15	0	4	8
Alleged perpetrator had guardianship over or power of attorney for victim	B6e	36	39	92.9	54.8	69.0	23	12	0	4	3

Alleged perpetrator information	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)					
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency	
Vulnerability												
	Alleged perpetrator met your agency's definition of a vulnerable adult	B7a	29	21	55.3%	5.3%	36.8%	2	16	1	2	17
History of committing abuse												
	First time alleged perpetrator was reported to your agency as an alleged perpetrator	B8a	27	21	52.5%	30.0%	35.0%	12	8	0	1	19
	Date of first report to agency as alleged perpetrator	B8b	38	18	45.0	27.5	32.5	11	6	0	1	22
	Alleged perpetrator had any criminal history at time of incident	B8c	0	28	68.3	14.6	43.9	6	18	0	4	13
	Protective order against alleged perpetrator at time of incident	B8d	0	24	61.5	5.1	33.3	2	19	0	3	15
	Alleged perpetrator was on abuser registry at time of incident	B8e	0	14	45.2	12.9	32.3	4	9	0	1	17
	Alleged perpetrator was under CJ supervision at time of incident	B8f	0	22	56.4	2.6	28.2	1	17	0	4	17

Appendix table 12b. Alleged perpetrator information collected by local Adult Protective Services agencies in the three states with decentralized data, 2015

Alleged perpetrator information	Survey Item	Item number	Collected in any form	Percent of respondents that collected this item			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Case identification (ID) and demographics											
Name	B5a	40	68	97.1%	42.9%	78.6%	30	10	8	20	2
Social Security number	B5b	48	40	58.8	29.4	32.4	20	5	5	10	28
Date of birth	B5c	40	52	75.4	42.0	50.7	29	5	5	13	17
Alleged perpetrator ID number	B5d	39	19	37.3	23.5	25.5	12	1	3	3	32
Age	B5e	40	60	85.7	42.9	61.4	30	7	6	17	10
Sex	B5f	39	60	85.7	44.3	65.7	31	5	8	16	10
Race	B5g	44	46	69.7	33.3	45.5	22	4	6	14	20
Hispanic origin	B5h	49	31	48.4	23.4	34.4	15	4	2	10	33
Relationship to victim											
Victim-perpetrator relationship											
Intimate partner	B6ai	43	70	100.0%	44.3%	77.1%	31	11	8	20	0
Adult child	B6aii	40	69	98.6	40.0	74.3	28	12	8	21	1
Adult grandchild	B6aiii	41	67	98.5	36.8	70.6	25	12	7	23	1
Other family member	B6aiv	46	70	100.0	42.9	75.7	30	11	8	21	0
Nonfamily friend or acquaintance	B6av	43	70	100.0	41.4	74.3	29	12	8	21	0
Paid caregiver	B6avi	47	70	100.0	34.3	70.0	24	16	9	21	0
Health care provider	B6avii	50	69	100.0	37.7	69.6	26	14	8	21	0
Other employee of caregiving institution	B6aviii	53	60	95.2	25.4	68.3	16	19	6	19	3
Financial professional	B6aix	38	64	94.1	26.5	66.2	18	18	7	21	4
Stranger	B6ax	51	64	94.1	22.1	67.6	15	20	9	20	4
Other	B6axi	46	54	94.7	33.3	68.4	19	13	5	17	3
Alleged perpetrator met your agency's definition of "abuser"	B6b	56	39	66.1	13.6	40.7	8	8	6	17	20
Alleged perpetrator was a caregiver	B6c	49	69	98.6	34.3	74.3	24	13	10	22	1

Alleged perpetrator was a paid caregiver	B6d	0	64	92.8	18.8	65.2	13	20	9	22	5
Alleged perpetrator had guardianship over or power of attorney for victim	B6e	53	67	97.1	29.0	72.5	20	16	9	22	2
Vulnerability											
Alleged perpetrator met your agency's definition of a vulnerable adult	B7a	55	45	70.3%	17.2%	39.1%	11	13	4	17	19
History of committing abuse											
First time alleged perpetrator was reported to your agency as an alleged perpetrator	B8a	61	28	42.4%	16.7%	27.3%	11	4	2	11	38
Date of first report to agency as alleged perpetrator	B8b	56	28	41.8	20.9	28.4	14	2	4	8	39
Alleged perpetrator had any criminal history at time of incident	B8c	61	37	55.2	10.4	32.8	7	14	4	12	30
Protective order against alleged perpetrator at time of incident	B8d	0	42	64.6	6.2	33.8	4	19	3	16	23
Alleged perpetrator was on abuser registry at time of incident	B8e	0	17	28.8	5.1	15.3	3	8	1	5	42
Alleged perpetrator was under CJ supervision at time of incident	B8f	0	33	50.8	6.2	23.1	4	17	2	10	32

Appendix table 13a. Reporter of suspected elder abuse information collected by state Adult Protective Services agencies, 2015

Reporter of suspected elder abuse information	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Date of report	B9a	21	39	95.1%	85.4%	75.6%	35	1	1	2	2
Specific reporter types recorded											
Police	B9bi	15	37	90.2%	75.6%	70.7%	31	4	0	2	4
Prosecutor's office	B9bii	8	30	75.0	47.5	55.0	19	8	0	3	10
Other lawyers or court system representatives	B9biii	10	34	82.9	56.1	61.0	23	8	0	3	7
Guardian	B9biv	12	37	90.2	63.4	68.3	26	8	0	3	4
Victim	B9bv	11	38	90.5	81.0	71.4	34	2	0	2	4
Family member of victim	B9bvi	13	39	92.9	76.2	73.8	32	5	0	2	3
Friend or acquaintance of victim	B9bvii	11	38	90.5	71.4	69.0	30	6	0	2	4
Health care worker	B9bviii	12	39	92.9	73.8	71.4	31	6	0	2	3
Other employees of health care or long-term care facility	B9bix	15	34	87.2	66.7	66.7	26	6	0	2	5
Social service provider	B9bx	20	39	92.9	73.8	73.8	31	6	0	2	3
Bank employee or other financial professional	B9bxi	0	36	92.3	69.2	71.8	27	7	0	2	3
Agency decided to open an abuse investigation	B9c	0	37	88.1%	64.3%	64.3%	27	5	3	2	5
Reason your agency did not open an abuse investigation	B9d	0	36	85.7%	52.4%	52.4%	22	10	0	4	6

Appendix table 13b. Reporter of suspected elder abuse information collected by local Adult Protective Services agencies in the three states with decentralized data, 2015

Reporter of suspected elder abuse information	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Date of report	B9a	35	68	100.0%	61.8%	79.4%	42	4	11	11	0
Specific reporter types recorded											
Police	B9bi	39	66	97.1%	48.5%	73.5%	33	7	10	16	2
Prosecutor's office	B9bii	38	63	92.6	44.1	67.6	30	10	7	16	5
Other lawyers or court system representatives	B9biii	29	61	89.7	42.6	64.7	29	11	6	15	7
Guardian	B9biv	32	62	92.5	43.3	68.7	29	10	6	17	5
Victim	B9bv	34	65	98.5	56.1	75.8	37	5	9	14	1
Family member of victim	B9bvi	33	68	98.6	53.6	78.3	37	6	10	15	1
Friend or acquaintance of victim	B9bvii	31	68	98.6	50.7	76.8	35	7	11	15	1
Health care worker	B9bviii	34	66	98.5	50.7	76.1	34	5	11	16	1
Other employees of health care or long-term care facility	B9bix	33	63	98.4	51.6	78.1	33	7	8	15	1
Social service provider	B9bx	29	66	98.5	49.3	74.6	33	7	10	16	1
Bank employee or other financial professional	B9bxi	33	69	100.0	52.2	76.8	36	6	10	17	0
Agency decided to open an abuse investigation	B9c	0	64	94.1%	57.4%	70.6%	39	3	10	12	4
Reason agency did not open an abuse investigation	B9d	0	63	92.6%	51.5%	64.7%	35	4	9	15	5

Appendix table 14a. Incident characteristics collected by state Adult Protective Services agencies, 2015

Incident characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Time and place of suspected abuse											
Date of incident that led to investigation	B10a	22	38	90.5%	52.4%	71.4%	22	11	2	3	4
Time of incident that led to investigation	B10b	33	29	72.5	45.0	57.5	18	10	0	1	11
Abuse was a single incident or ongoing pattern	B10c	0	31	75.6	19.5	41.5	8	17	0	6	10
Location type											
Victim's home	B10di	22	36	85.7	54.8	66.7	23	8	1	4	6
Family member's home	B10dii	22	36	85.7	47.6	66.7	20	11	1	4	6
Group home (unlicensed)	B10diii	17	29	80.6	38.9	61.1	14	11	1	3	7
Group home (licensed)	B10div	17	31	88.6	51.4	68.6	18	10	1	2	4
Assisted living facility	B10dv	15	32	88.9	52.8	69.4	19	9	1	3	4
Skilled nursing facility (e.g., nursing home)	B10dvi	15	29	87.9	54.5	69.7	18	8	1	2	4
Other institution for persons with mental illness or developmental disabilities	B10dvii	17	28	84.8	54.5	66.7	18	7	1	2	5
Hospital	B10dviii	13	30	85.7	51.4	68.6	18	8	1	3	5
Other location	B10dix	0	21	77.8	51.9	59.3	14	5	1	1	6
Types of abuse reported or alleged											
Physical abuse	B11ai	5	42	100.0%	88.1%	76.2%	37	3	1	1	0
Sexual abuse or abusive sexual contact	B11aii	5	38	95.0	80.0	75.0	32	4	1	1	2
Psychological or emotional abuse	B11aiii	5	35	92.1	76.3	71.1	29	4	1	1	3
Neglect (by others)	B11aiv	19	41	100.0	87.8	75.6	36	3	1	1	0
Self-neglect	B11av	0	40	100.0	87.5	75.0	35	3	1	1	0
Financial abuse or exploitation	B11avi	38	41	100.0	87.8	75.6	36	3	1	1	0
Abandonment	B11avii	35	24	72.7	42.4	51.5	14	9	0	1	9
Weapon use											
Gun	B12a	42	36	85.7%	9.5%	66.7%	4	27	1	4	6

Incident characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Other (e.g., knife)	B12b	42	37	88.1	16.7	66.7	7	25	1	4	5
Object was used as a weapon	B12c	42	37	88.1	9.5	64.3	4	27	1	5	5
Inappropriate use of restraints											
Victim was inappropriately restrained	B12d	42	37	88.1%	21.4%	69.0%	9	23	1	4	5
Victim was “chemically restrained”	B12e	42	37	88.1	19.0	64.3	8	23	1	5	5
Level of completion											
Act was threatened, attempted, or completed	B12f	42	36	85.7%	14.3%	66.7%	6	25	1	4	6
Injury sustained											
Injury resulted in bodily injury or impairment	B12g	42	39	92.9%	21.4%	71.4%	9	25	1	4	3
Sexual contact against the victim’s will	B12h	42	37	88.1	21.4	66.7	9	23	1	4	5
Elements of neglect											
Victim was “actively” neglected	B12i	42	38	90.5%	9.5%	66.7%	4	28	2	4	4
Victim was “passively” neglected	B12j	42	37	88.1	7.1	59.5	3	28	2	4	5
Victims lacked access to—											
Adequate food	B12ki	42	38	90.5	23.8	69.0	10	23	0	5	4
Adequate clothing	B12kii	42	38	90.5	19.0	69.0	8	25	0	5	4
Adequate shelter	B12kiii	42	38	90.5	21.4	71.4	9	23	0	6	4
Medicine or health care	B12kiv	42	38	90.5	23.8	69.0	10	22	0	6	4
Financial loss or impact											
Loss of personal property	B12l	42	38	90.5%	14.3%	69.0%	6	26	0	6	4
Loss of financial assets	B12m	42	38	90.5	14.3	69.0	6	26	0	6	4
Victim was forced to alter legal documents or beneficiary designations	B12n	42	38	90.5	11.9	66.7	5	27	0	6	4
Dollar amount of losses sustained (if financial exploitation)	B12o	42	37	88.1	11.9	57.1	5	26	0	6	5

Incident characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Injury severity and need for health care											
Victim was seen by a health care provider for injuries sustained	B13a	41	37	90.2%	4.9%	61.0%	2	30	0	5	4
Victim was seen by a mental health provider for injuries sustained	B13b	40	36	90.0	5.0	55.0	2	30	0	4	4
Victim was hospitalized as a result of injuries sustained	B13c	41	37	90.2	4.9	65.9	2	30	0	5	4
Duration of hospitalization	B13d	41	33	80.5	2.4	58.5	1	27	0	5	8
Injury was life threatening	B13e	41	35	85.4	7.3	63.4	3	27	0	5	6
Client died from injuries sustained from incident of abuse	B13f	41	37	90.2	17.1	61.0	7	26	0	4	4

Appendix table 14b. Incident characteristics collected by local Adult Protective Services agencies in the three states with decentralized data, 2015

Incident characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Time and place of suspected abuse											
Date of incident that led to investigation	B10a	70	68	97.1%	48.6%	77.1%	34	10	7	17	2
Time of incident that led to investigation	B10b	66	52	78.8	42.4	60.6	28	7	2	15	14
Abuse was a single incident or ongoing pattern	B10c	69	63	91.3	24.6	65.2	17	21	5	20	6
Location type											
Victim's home	B10di	70	69	98.6	37.1	78.6	26	13	7	23	1
Family member's home	B10dii	70	67	95.7	30.0	74.3	21	17	6	23	3
Group home (unlicensed)	B10diii	62	57	91.9	27.4	71.0	17	17	6	17	5
Group home (licensed)	B10div	56	52	92.9	30.4	71.4	17	16	6	13	4
Assisted living facility	B10dv	56	53	94.6	32.1	75.0	18	15	6	14	3
Skilled nursing facility (e.g., nursing home)	B10dvi	56	53	94.6	35.7	75.0	20	14	5	14	3
Other institution for persons with mental illness or developmental disabilities	B10dvii	57	53	93.0	35.1	70.2	20	15	5	13	4
Hospital	B10dviii	60	57	95.0	36.7	71.7	22	14	6	15	3
Other location	B10dix	44	38	86.4	29.5	63.6	13	12	3	10	6
Types of abuse reported or alleged											
Physical abuse	B11ai	70	70	100.0%	67.1%	82.9%	47	3	8	12	0
Sexual abuse or abusive sexual contact	B11aaii	70	68	97.1	65.7	80.0	46	3	8	11	2
Psychological or emotional abuse	B11aaiii	70	70	100.0	67.1	82.9	47	3	8	12	0
Neglect (by others)	B11aaiiv	70	70	100.0	67.1	82.9	47	3	8	12	0
Self-neglect	B11aav	70	70	100.0	67.1	82.9	47	3	8	12	0
Financial abuse or exploitation	B11aavi	70	70	100.0	67.1	82.9	47	4	7	12	0
Abandonment	B11avii	68	65	95.6	60.3	79.4	41	4	5	15	3
Weapon use											
Gun	B12a	68	61	89.7%	5.9%	55.9%	4	32	5	20	7
Other weapon (e.g., knife)	B12b	68	62	91.2	7.4	58.8	5	32	5	20	6

Incident characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Object was used as a weapon	B12c	68	61	89.7	5.9	57.4	4	32	5	20	7
Inappropriate use of restraints											
Victim was inappropriately restrained	B12d	67	62	92.5%	13.4%	59.7%	9	28	6	19	5
Victim was “chemically restrained”	B12e	67	63	94.0	19.4	59.7	13	24	6	20	4
Level of completion											
Act was threatened, attempted, or completed	B12f	67	62	92.5%	4.5%	64.2%	3	32	7	20	5
Injury sustained											
Injury resulted in bodily injury or impairment	B12g	68	64	94.1%	17.6%	70.6%	12	26	7	19	4
Sexual contact against the victim’s will	B12h	68	62	91.2	13.2	67.6	9	29	6	18	6
Elements of neglect											
Victim was “actively” neglected	B12i	70	63	90.0%	10.0%	70.0%	7	30	6	20	7
Victim was “passively” neglected	B12j	70	62	88.6	5.7	68.6	4	32	6	20	8
Victim lacked access to—											
Adequate food	B12ki	70	67	95.7	11.4	72.9	8	30	6	23	3
Adequate clothing	B12kii	70	68	97.1	11.4	68.6	8	30	7	23	2
Adequate shelter	B12kiii	70	68	97.1	12.9	71.4	9	30	6	23	2
Medicine or health care	B12kiv	70	67	95.7	14.3	67.1	10	28	7	22	3
Financial loss or impact											
Loss of personal property	B12l	70	67	95.7%	10.0%	70.0%	7	32	5	23	3
Loss of financial assets	B12m	70	67	95.7	12.9	70.0	9	29	8	21	3
Victim was forced to alter legal documents or beneficiary designations	B12n	69	65	94.2	8.7	66.7	6	31	6	22	4
Dollar amount of losses sustained (if financial exploitation)	B12o	70	64	91.4	8.6	62.9	6	30	6	22	6
Injury severity and need for health care											
Victim was seen by a health care provider for injuries sustained	B13a	70	66	94.3%	8.6%	55.7%	6	30	5	25	4

Incident characteristic	Survey item	Item number	Collected in any form	Percent of respondents that collected this item			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Victim was seen by a mental health provider for injuries sustained	B13b	68	61	89.7	7.4	48.5	5	30	3	23	7
Victim was hospitalized as a result of injuries sustained	B13c	70	67	95.7	17.1	65.7	12	26	5	24	3
Duration of hospitalization	B13d	67	59	88.1	4.5	56.7	3	31	2	23	8
Injury was life threatening	B13e	69	63	91.3	7.2	56.5	5	30	5	23	6
Client died from injuries sustained from this incident of abuse	B13f	67	62	92.5	14.9	58.2	10	27	5	20	5

Appendix table 15a. Investigation characteristics and outcomes collected by state Adult Protective Services agencies, 2015

Investigation characteristic and outcome	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Interagency collaborations											
Police accompanied the APS worker for safety reasons	B14a	42	35	83.3%	2.4%	26.2%	1	28	0	6	7
Case was co-investigated with other agencies	B14b	42	36	85.7	11.9	35.7	5	25	0	6	6
Name of co-investigative agencies	B14c	42	35	83.3	9.5	35.7	4	25	0	6	7
Case was transferred to other agencies	B14d	38	31	81.6	26.3	44.7	10	15	2	4	7
Name of agencies to which case was transferred	B14e	39	30	76.9	12.8	41.0	5	20	2	3	9
Police report number, if referred to or from police	B14f	41	32	78.0	7.3	41.5	3	24	0	5	9
Court case, case file, or docket number, if referred to or from prosecutor's office	B14g	39	26	66.7	2.6	28.2	1	21	0	4	13
Case file number, if referred to or from guardianship, conservatorship, or other civil court proceedings	B14h	39	26	66.7	2.6	23.1	1	22	0	3	13
Case file number, if referred to or from another investigative agency (e.g., regulatory or licensing agency)	B14i	40	26	65.0	5.0	27.5	2	21	0	3	14
Case file number at any other agency, if applicable	B14j	36	23	63.9	8.3	22.2	3	18	0	2	13
Case outcomes											
Date investigation was opened	B15a	42	41	97.6%	95.2%	0.0%	40	1	0	0	1
Date investigation closed	B15b	42	41	97.6	95.2	0.0	40	1	0	0	1
Reason for case closure	B15c	42	40	95.2	83.3	0.0	35	4	0	1	2

Investigation characteristic and outcome	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Overall report of abuse was confirmed or substantiated	B15d	41	40	97.6	92.7	0.0	38	0	0	2	1
Substantiated abuse category types											
Physical abuse	B15ei	41	41	100.0	92.7	0.0	38	1	0	2	0
Sexual abuse or abusive sexual contact	B15eii	40	40	100.0	85.0	0.0	34	3	0	3	0
Psychological or emotional abuse	B15eiii	37	36	97.3	78.4	0.0	29	4	0	3	1
Neglect (by others)	B15eiv	41	41	100.0	92.7	0.0	38	1	0	2	0
Self-neglect	B15ev	39	39	100.0	92.3	0.0	36	1	0	2	0
Financial abuse or exploitation	B15evi	41	41	100.0	92.7	0.0	38	1	0	2	0
Abandonment	B15evii	33	24	72.7	48.5	0.0	16	6	0	2	9
Victim changed residence since the incident	B15f	41	35	85.4	12.2	0.0	5	23	1	6	6
Change in guardianship	B15g	42	37	88.1	23.8	0.0	10	20	1	6	5
Protective order or restraining order issued after the incident	B15h	41	37	90.2	22.0	0.0	9	23	1	4	4
Noncriminal disciplinary charges recorded											
Lost license	B15i.i	36	21	58.3	0.0	0.0	0	20	0	1	15
Added to abuser registry	B15i.ii	30	20	66.7	16.7	0.0	5	13	0	2	10
Referral to police	B15j	41	39	95.1	46.3	0.0	19	14	0	6	2
Arrest was made	B15k	42	31	73.8	0.0	0.0	0	24	0	7	11
Referral to criminal prosecution	B15l	41	35	85.4	22.0	0.0	9	20	0	6	6
Criminal charges were filed	B15m	40	29	72.5	5.0	0.0	2	20	0	7	11
Outcome of the criminal case (e.g., convicted or not)	B15n	37	25	67.6	5.4	0.0	2	18	0	5	12
Jail or prison time was imposed	B15o	37	23	62.2	2.7	0.0	1	17	0	5	14

Appendix table 15b. Investigation characteristics and outcomes collected by local Adult Protective Services agencies in the three states with decentralized data, 2015

Investigation characteristic and outcome	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Interagency collaborations											
Police accompanied the Adult Protective Services worker for safety reasons	B14a	69	64	92.8%	8.7%	44.9%	6	32	4	22	5
Case was co-investigated with other agencies	B14b	68	63	92.6	11.8	51.5	8	30	3	22	5
Name of co-investigative agencies	B14c	67	62	92.5	11.9	56.7	8	30	3	21	5
Case was transferred to other agencies	B14d	67	64	95.5	26.9	58.2	18	22	5	19	3
Name of agencies case was transferred to	B14e	66	63	95.5	22.7	59.1	15	25	4	19	3
Police report number, if referred to or from police	B14f	69	61	88.4	14.5	59.4	10	25	4	22	8
Court case, case file, or docket number, if referred to or from prosecutor's office	B14g	67	54	80.6	4.5	46.3	3	30	3	18	13
Case file number, if referred to or from guardianship, conservatorship, or other civil court proceedings	B14h	64	52	81.3	10.9	46.9	7	24	3	18	12
Case file number, if referred to or from another investigative agency (e.g., regulatory or licensing agency)	B14i	63	47	74.6	7.9	42.9	5	24	3	15	16
Case file number at any other agency, if applicable	B14j	62	43	69.4	9.7	38.7	6	22	2	13	19
Case outcomes											
Date investigation was opened	B15a	69	68	98.6%	65.2%	0.0%	45	6	9	8	1
Date investigation closed	B15b	70	69	98.6	64.3	0.0	45	6	9	9	1
Reason for case closure	B15c	70	69	98.6	58.6	0.0	41	10	8	10	1

Investigation characteristic and outcome	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Overall report of abuse was confirmed or substantiated	B15d	70	70	100.0	67.1	0.0	47	4	10	9	0
Substantiated abuse category types											
Physical abuse	B15ei	69	69	100.0	66.7	0.0	46	5	8	10	0
Sexual abuse or abusive sexual contact	B15eii	68	67	98.5	66.2	0.0	45	5	8	9	1
Psychological or emotional abuse	B15eiii	69	69	100.0	66.7	0.0	46	5	8	10	0
Neglect (by others)	B15eiv	69	69	100.0	66.7	0.0	46	5	8	10	0
Self-neglect	B15ev	69	69	100.0	66.7	0.0	46	5	8	10	0
Financial abuse or exploitation	B15evi	69	69	100.0	66.7	0.0	46	5	8	10	0
Abandonment	B15evii	65	62	95.4	63.1	0.0	41	5	5	11	3
Victim changed residence since the incident	B15f	68	61	89.7	33.8	0.0	23	17	6	15	7
Change in guardianship	B15g	67	64	95.5	17.9	0.0	12	28	8	16	3
Protective order or restraining order issued after the incident	B15h	67	64	95.5	16.4	0.0	11	30	7	16	3
Noncriminal disciplinary charges recorded											
Lost license	B15i.i	59	41	69.5	3.4	0.0	2	24	3	12	18
Added to abuser registry	B15i.ii	48	27	56.3	2.1	0.0	1	13	3	10	21
Referral to police	B15j	67	65	97.0	29.9	0.0	20	17	8	20	2
Arrest was made	B15k	63	56	88.9	4.8	0.0	3	30	6	17	7
Referral to criminal prosecution	B15l	68	64	94.1	19.1	0.0	13	25	9	17	4
Criminal charges were filed	B15m	63	49	77.8	4.8	0.0	3	24	7	15	14
Outcome of the criminal case (e.g., convicted or not)	B15n	59	38	64.4	3.4	0.0	2	20	3	13	21
Jail or prison time was imposed	B15o	58	37	63.8	3.4	0.0	2	20	2	13	21

Appendix table 16a. Identification numbers collected by state Adult Protective Services agencies, 2015

Identification numbers agency assigned when a report of elder abuse was received	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N) ^b			
				In any form during investigation	As structured data field	At initial report stage ^a	When investigation opened ^a	Electronic only	Electronic and on paper	On paper only
Unique number to each—										
Investigation	A3a	41	35	85.4%	78.0%	53.7%	43.9%	27	8	0
Report made	A3b	41	27	65.9	56.1	56.1	19.5	21	5	0
Victim	A3c	40	31	77.5	67.5	70.0	15.0	23	7	0
Type of abuse alleged	A3d	41	8	19.5	17.1	14.6	7.3	6	1	0

Note: Response categories for appendix tables 16a–16b differed from those for appendix tables 11a–15b and 17a–17b.

^aRespondents who reported “both” time points are included in each category.

^bCategories may not sum to the subtotal for “collected in any form” due to missing data.

Appendix table 16b. Identification numbers collected by local Adult Protective Services agencies in the three states with decentralized data, 2015

Identification numbers agency assigned when a report of elder abuse was received	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N) ^b			
				In any form during investigation	As structured data field	At initial report stage ^a	When investigation opened ^a	Electronic only	Electronic and on paper	On paper only
Unique number to each—										
Investigation	A3a	67	52	77.6%	55.2%	47.8%	31.3%	24	24	3
Report made	A3b	66	42	63.6	47.0	53.0	9.1	23	13	3
Victim	A3c	66	50	75.8	54.5	53.0	21.2	26	28	2
Type of abuse alleged	A3d	63	5	7.9	6.3	4.8	3.2	2	2	1

Note: Response categories for appendix tables 16a–16b differed from those for appendix tables 11a–15b and 17a–17b.

^aRespondents who reported “both” time points are included in each category.

^bCategories may not sum to the subtotal for “collected in any form” due to missing data.

Appendix table 17a. Elements of criminal elder abuse gathered by state Adult Protective Services agencies, 2015

Element of criminal elder abuse	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Physical abuse											
Physical abuse was recorded	B11ai	42	42	100.0%	88.1%	76.2%	37	3	1	1	0
Victim was inappropriately restrained	B12d	42	37	88.1	21.4	69.0	9	23	1	4	5
Victim was “chemically restrained”	B12e	42	37	88.1	19.0	64.3	8	23	1	5	5
Act was threatened, attempted, or completed	B12f	42	36	85.7	14.3	66.7	6	25	1	4	6
Injury resulted in bodily injury or impairment	B12g	42	39	92.9	21.4	71.4	9	25	1	4	3
Victim was seen by a health care provider for injuries sustained	B13a	41	37	90.2	4.9	61.0	2	30	0	5	4
Victim was seen by a mental health care provider for injuries sustained	B13b	40	36	90.0	5.0	55.0	2	30	0	4	4
Victim was hospitalized as a result of injuries sustained	B13c	41	37	90.2	4.9	65.9	2	30	0	5	4
Duration of hospitalization	B13d	41	33	80.5	2.4	58.5	1	27	0	5	8
Injury was life threatening	B13e	41	35	85.4	7.3	63.4	3	27	0	5	6
Client died from injuries sustained from incident of abuse	B13f	41	37	90.2	17.1	61.0	7	26	0	4	4
Sexual abuse											
Sexual abuse was recorded	B11aii	40	38	95.0%	80.0%	75.0%	32	4	1	1	2
Psychological and emotional abuse											
Psychological or emotional abuse was recorded	B11aiii	38	35	92.1%	76.3%	71.1%	29	4	1	1	3
Victim was seen by a mental health care provider for injuries sustained	B13b	40	36	90.0	5.0	55.0	2	30	0	4	4

Element of criminal elder abuse	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Neglect (by others) was recorded	B11aiv	41	41	100.0	87.8	75.6	36	3	1	1	0
Alleged perpetrator was a caregiver	B6c	42	38	90.5	47.6	64.3	20	14	0	4	4
Victim was “actively” neglected	B12i	42	38	90.5	9.5	66.7	4	28	2	4	4
Victim was “passively” neglected	B12j	42	37	88.1	7.1	59.5	3	28	2	4	5
Victims lacked access to—											
Adequate food	B12ki	42	38	90.5%	23.8%	69.0%	10	23	0	5	4
Adequate clothing	B12kii	42	38	90.5	19.0	69.0	8	25	0	5	4
Adequate shelter	B12kiii	42	38	90.5	21.4	71.4	9	23	0	6	4
Medicine or health care	B12kiv	42	38	90.5	23.8	69.0	10	22	0	6	4
Financial abuse or exploitation											
Financial abuse or exploitation was recorded	B11avi	41	41	100.0%	87.8%	75.6%	36	3	1	1	0
Lacks capacity to make decisions for oneself	B2h	41	40	97.6	41.5	58.5	17	18	0	5	1
Financial loss or impact											
Loss of personal property	B12l	42	38	90.5%	14.3%	69.0%	6	26	0	6	4
Loss of financial assets	B12m	42	38	90.5	14.3	69.0	6	26	0	6	4
Victim was forced to alter legal documents or beneficiary designations	B12n	42	38	90.5	11.9	66.7	5	27	0	6	4
Dollar amount of losses sustained (if financial exploitation)	B12o	42	37	88.1	11.9	57.1	5	26	0	6	5
Abandonment											
Abandonment was recorded	B11avii	33	24	72.7%	42.4%	51.5%	14	9	0	1	9
Alleged perpetrator was a caregiver	B6c	42	38	90.5	47.6	64.3	20	14	0	4	4
Weapon use											

Element of criminal elder abuse	Survey item	Item number	Percent of respondents that collected this item—				Detailed method of collection (N)				
			Collected in any form	In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Gun	B12a	42	36	85.7%	9.5%	66.7%	4	27	1	4	6
Other (e.g., knife)	B12b	42	37	88.1	16.7	66.7	7	25	1	4	5
Object was used as a weapon	B12c	42	37	88.1	9.5	64.3	4	27	1	5	5

Appendix table 17b. Elements of criminal elder abuse gathered by local Adult Protective Services agencies, 2015

Element of criminal elder abuse	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Physical abuse											
Physical abuse was recorded	B11ai	70	70	100.0%	67.1%	82.9%	47	3	8	12	0
Victim was inappropriately restrained	B12d	67	62	92.5	13.4	59.7	9	28	6	19	5
Victim was “chemically restrained”	B12e	67	63	94.0	19.4	59.7	13	24	6	20	4
Act was threatened, attempted, or completed	B12f	67	62	92.5	4.5	64.2	3	32	7	20	5
Injury resulted in bodily injury or impairment	B12g	68	64	94.1	17.6	70.6	12	26	7	19	4
Victim was seen by a health care provider for injuries sustained	B13a	70	66	94.3	8.6	55.7	6	30	5	25	4
Victim was seen by a mental health care provider for injuries sustained	B13b	68	61	89.7	7.4	48.5	5	30	3	23	7
Whether the victim was hospitalized as a result of injuries sustained	B13c	70	67	95.7	17.1	65.7	12	26	5	24	3
Duration of hospitalization	B13d	67	59	88.1	4.5	56.7	3	31	2	23	8
Injury was life threatening	B13e	69	63	91.3	7.2	56.5	5	30	5	23	6
Client died from injuries sustained from incident of abuse	B13f	67	62	92.5	14.9	58.2	10	27	5	20	5
Sexual abuse											
Sexual abuse was recorded	B11aai	70	68	97.1%	65.7%	80.0%	46	3	8	11	2
Psychological and emotional abuse											

Element of criminal elder abuse	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Psychological or emotional abuse was recorded	B11aiii	70	70	100.0%	67.1%	82.9%	47	3	8	12	0
Victim was seen by a mental health provider for injuries sustained	B13b	68	61	89.7	7.4	48.5	5	30	3	23	7
Neglect (by others) was recorded	B11aiv	70	70	100.0	67.1	82.9	47	3	8	12	0
Alleged perpetrator was a caregiver	B6c	70	69	98.6	34.3	74.3	24	13	10	22	1
Victim was “actively” neglected	B12i	70	63	90.0	10.0	70.0	7	30	6	20	7
Victim was “passively” neglected	B12j	70	62	88.6	5.7	68.6	4	32	6	20	8
Victims lacked access to—											
Adequate food	B12ki	70	67	95.7%	11.4%	72.9%	8	30	6	23	3
Adequate clothing	B12kii	70	68	97.1	11.4	68.6	8	30	7	23	2
Adequate shelter	B12kiii	70	68	97.1	12.9	71.4	9	30	6	23	2
Medicine or health care	B12kiv	70	67	95.7	14.3	67.1	10	28	7	22	3
Financial abuse or exploitation											
Financial abuse or exploitation was recorded	B11avi	70	70	100.0%	67.1%	82.9%	47	4	7	12	0
Lacks capacity to make decisions for oneself	B2h	68	67	98.5	27.9	60.3	19	20	10	18	1
Financial loss or impact											
Loss of personal property	B12l	70	67	95.7%	10.0%	70.0%	7	32	5	23	3
Loss of financial assets	B12m	70	67	95.7	12.9	70.0	9	29	8	21	3
Victim was forced to alter legal documents or beneficiary designations	B12n	69	65	94.2	8.7	66.7	6	31	6	22	4

Element of criminal elder abuse	Survey item	Item number	Collected in any form	Percent of respondents that collected this item—			Detailed method of collection (N)				
				In any form during investigation	As structured data field	At initial report stage	Electronic, structured data field	Electronic, free text	Electronic, unknown field type	Paper only	Not collected by agency
Dollar amount of losses sustained (if financial exploitation)	B12o	70	64	91.4	8.6	62.9	6	30	6	22	6
Abandonment											
Abandonment was recorded	B11avii	68	65	95.6%	60.3%	79.4%	41	4	5	15	3
Alleged perpetrator was a caregiver	B6c	70	69	98.6	34.3	74.3	24	13	10	22	1
Weapon use											
Gun	B12a	68	61	89.7%	5.9%	55.9%	4	32	5	20	7
Other (e.g., knife)	B12b	68	62	91.2	7.4	58.8	5	32	5	20	6
Object was used as a weapon	B12c	68	61	89.7	5.9	57.4	4	32	5	20	7