

APS QUARTERLY REPORT TO THE LEGISLATURE

3RD Quarter, SFY2014

To: House Committee on Human Services
Senate Committee on Health and Welfare
House Committee on Judiciary
Senate Committee on Judiciary

From: Susan Wehry
Commissioner, Department of Disabilities, Aging and Independent Living

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The Adult Protective Services (APS) program provides quarterly reports to the Legislature in accordance with Act 46 (2013). This is the quarterly report for the third quarter of State Fiscal Year 2014. The attached data table and charts derived from it provide information on the APS program for SFY2014. The appendix provides definitions for the common data elements used in this report.

Notes on Report Data

A review of the data shows that APS workload and outcomes for this fiscal year has been steady across most measurements. There are no significant positive or negative trends in the data that require action at this time.

For the fiscal year, there has been a slight trend with the average open caseload and monthly intakes decreasing by 9% from their high level marks in earlier quarters.

APS staff continue to refine the Harmony for APS product and to train staff on appropriate data intake procedures. This report will continue to be enhanced as the quality of the data improves and more information is collected.

Quarterly reporting on the benchmarks established by the APS Settlement is presently not available without a hand count. APS staff is working to customize Harmony for APS so that automated reporting on these benchmarks can be accomplished. These data elements will then be included in this report.

Data Table for APS Quarterly Report

Quarter	1st Qtr, 14	2nd Qtr, 14	3rd Qtr, 14
Intakes	1,030	978	934
Closed as Contacts	677	599	560
Referred to APS for Investigation	352	379	369
Investigations Closed	337	338	336
Investigations Closed Substantiated	37	42	40
Investigations Closed Unsubstantiated	300	296	296
Adult Abuse Registry Additions	21	17	23
Total Open Cases Daily Average	344	356	324
Investigator Caseload Daily Average	31	32	29
Closed Contacts - Referred to S&C	375	322	283
Closed Contacts - Not Referred to S&C	302	277	277
Total Closures	1,014	937	896
% Intakes Referred to Investigation	34%	39%	40%
% Investigations Substantiated	11%	12%	12%
Cases Not Investigated:			
Allegations Not A/N/E			335
Resident on Resident Abuse			95
Other			55
Report Self Neglect over 60			34
AV Not Vulnerable Adult			19
AV Deceased with No Apparent A/N/E			18
Referral Types for Intakes Not Investigated:			
Survey & Certification (DLP/DAIL)			283
Area Agency on Aging			55
Law Enforcement			30
Medicaid Fraud Unit			4
Legal Aid			3
DS or ASD (DAIL)			2
Disability Rights Vermont			1
Reason for Unsubstantiated Investigations:			
Insufficient Evidence to Prove A/N/E Occurred			136
Available Evidence Indicated A/N/E Did Not Occur			82
AV Refused Investigation			51

Data Table for APS Quarterly Report

Quarter	1st Qtr, 14	2nd Qtr, 14	3rd Qtr, 14
Allegations Not A/N/E			27
Investigation Not Conducted Because Not a Vulnerable Adult, Relationship of Reporter			
Other			10
Relative			3
Social Worker			3
Health/Medical Professional			2
AAA			1
Investigation Not Conducted Because Not a Vulnerable Adult, Relationship of AP			
Other			8
Non-Relative			3
Friend			2
Neighbor			2
Spouse			2
Non-Family Caregiver			1
Relative			1
Closure Percentages			
% Investigated Substantiated	4%	4%	4%
% Investigated Nonsubstantiated	30%	32%	33%
% Closed Contact - Referred to S&C	37%	34%	32%
% Closed Contact - Not Referred to S&C	30%	30%	31%

Chart 1: Average Investigator Caseload

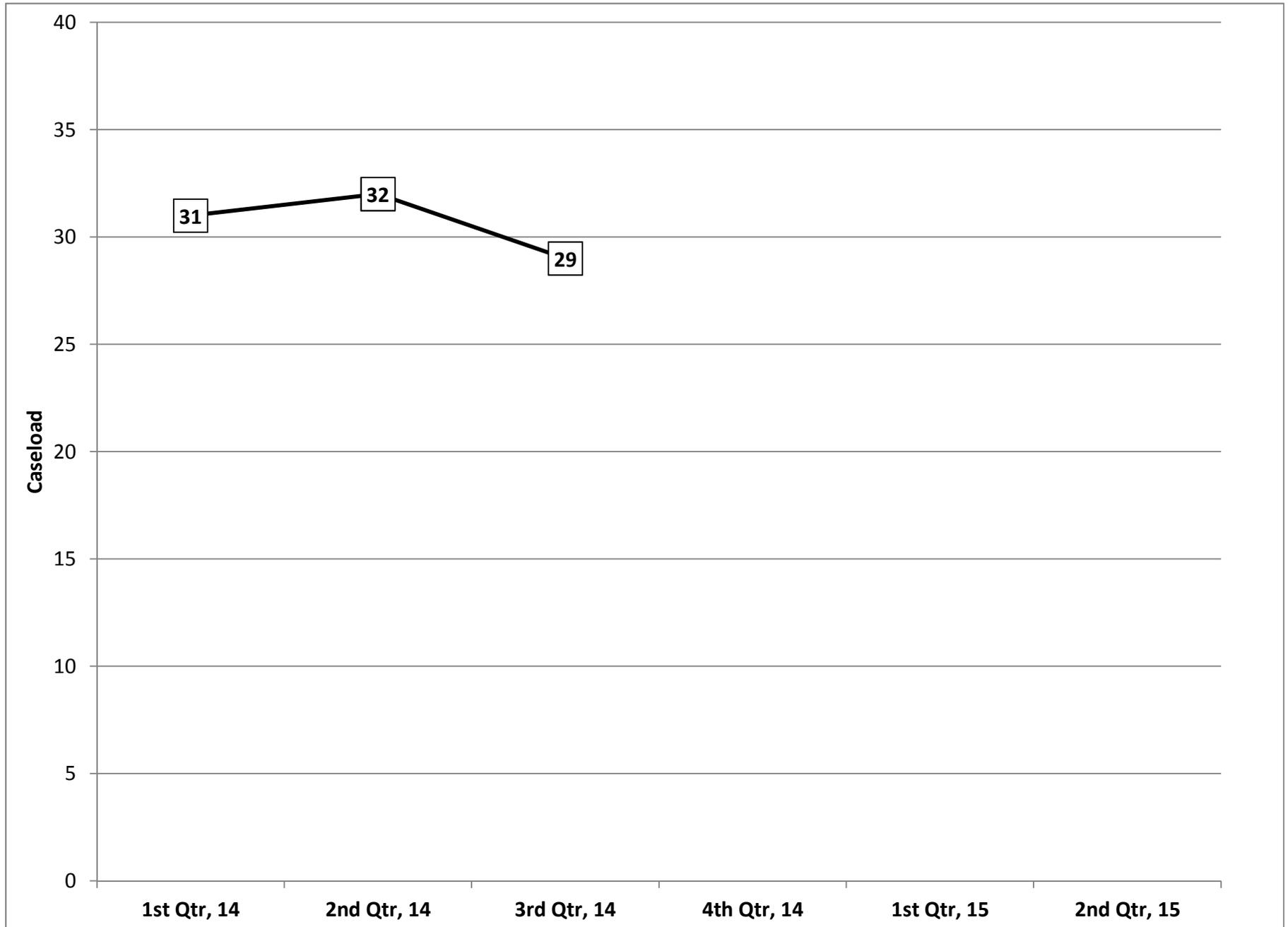


Chart 2: Intakes, Closures and Average Open Cases

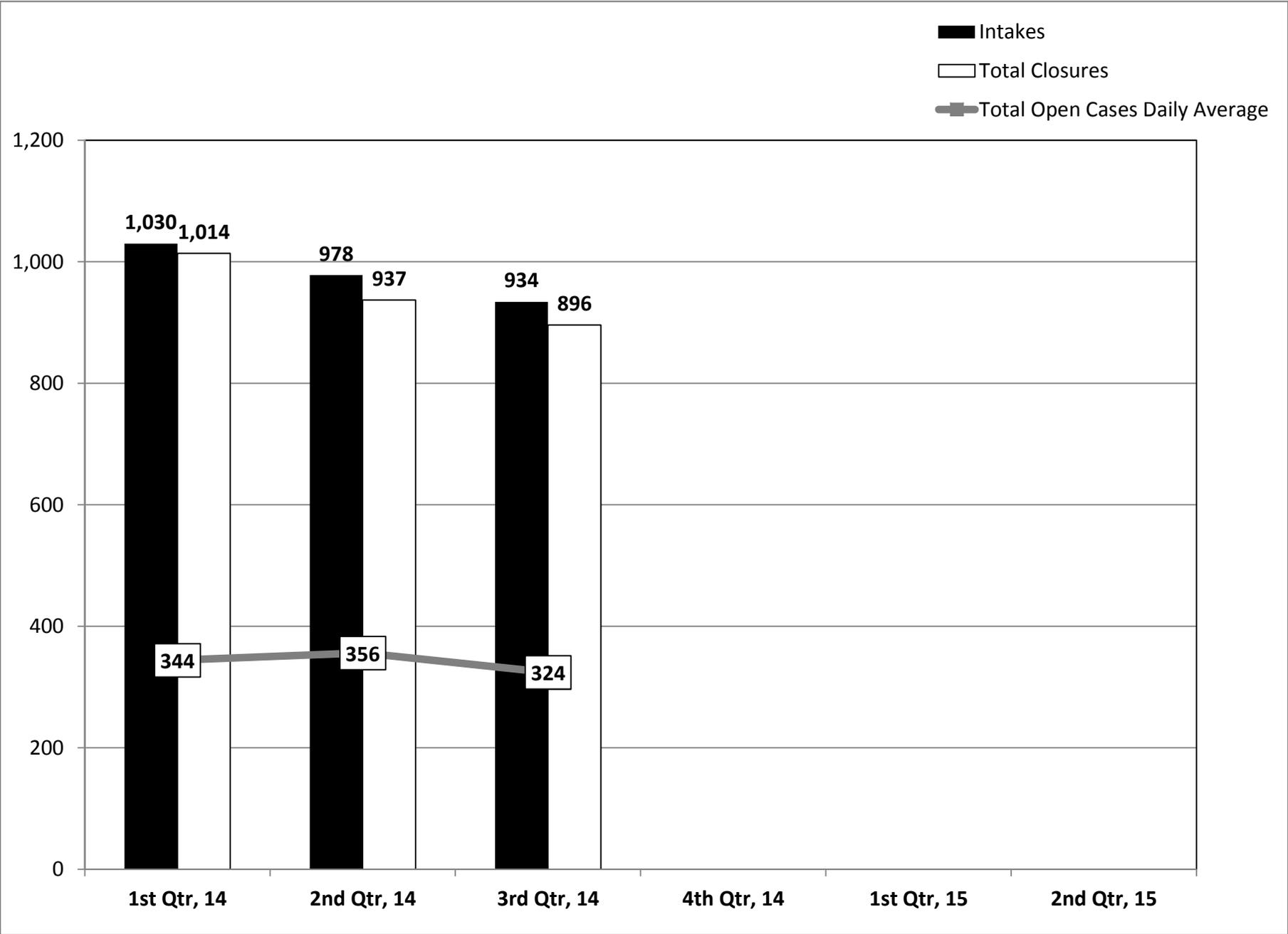


Chart 3: Intakes Referred to Investigation

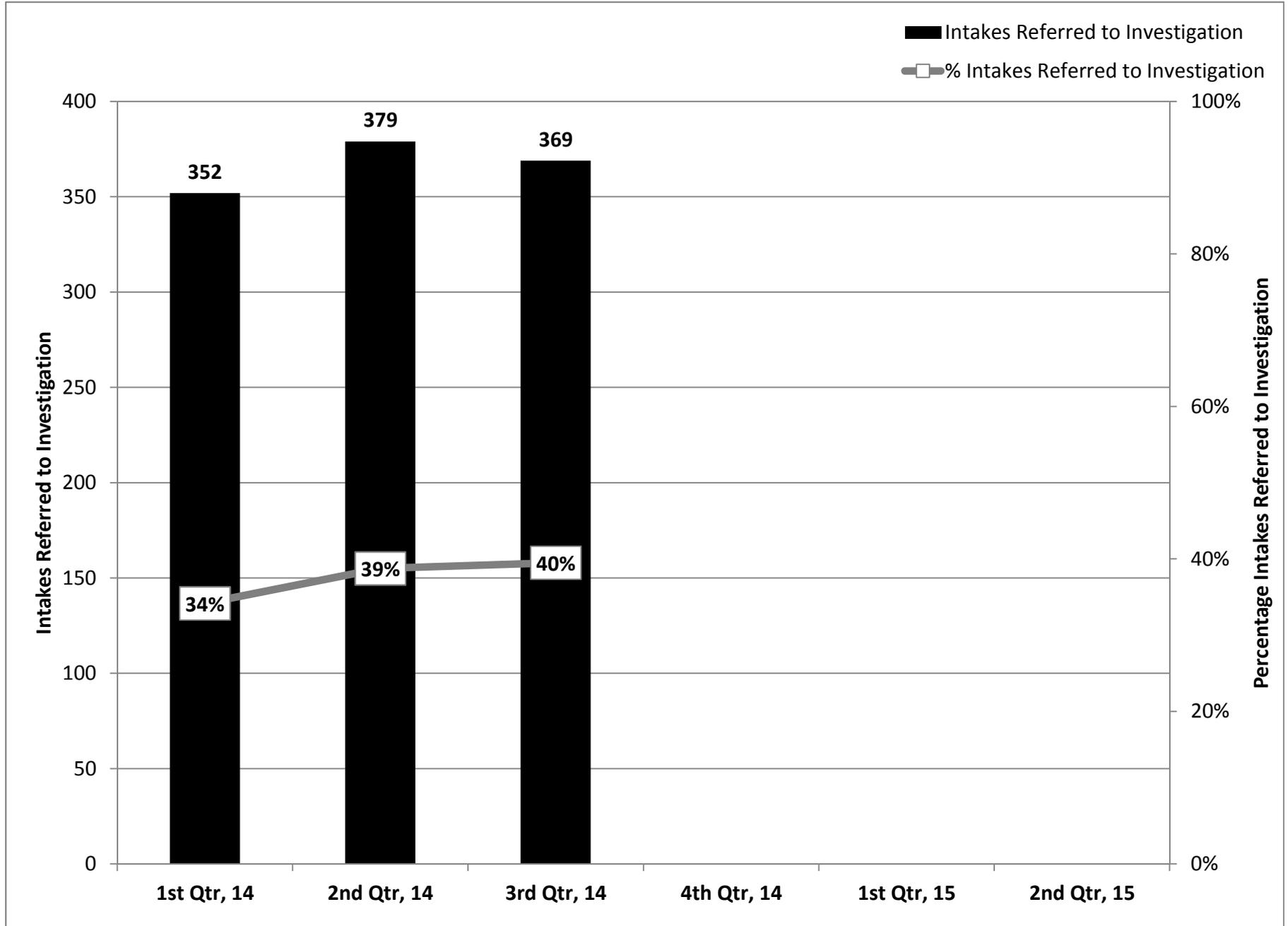


Chart 4: Substantiations, Percent Investigations Substantiated and Adult Abuse Registry

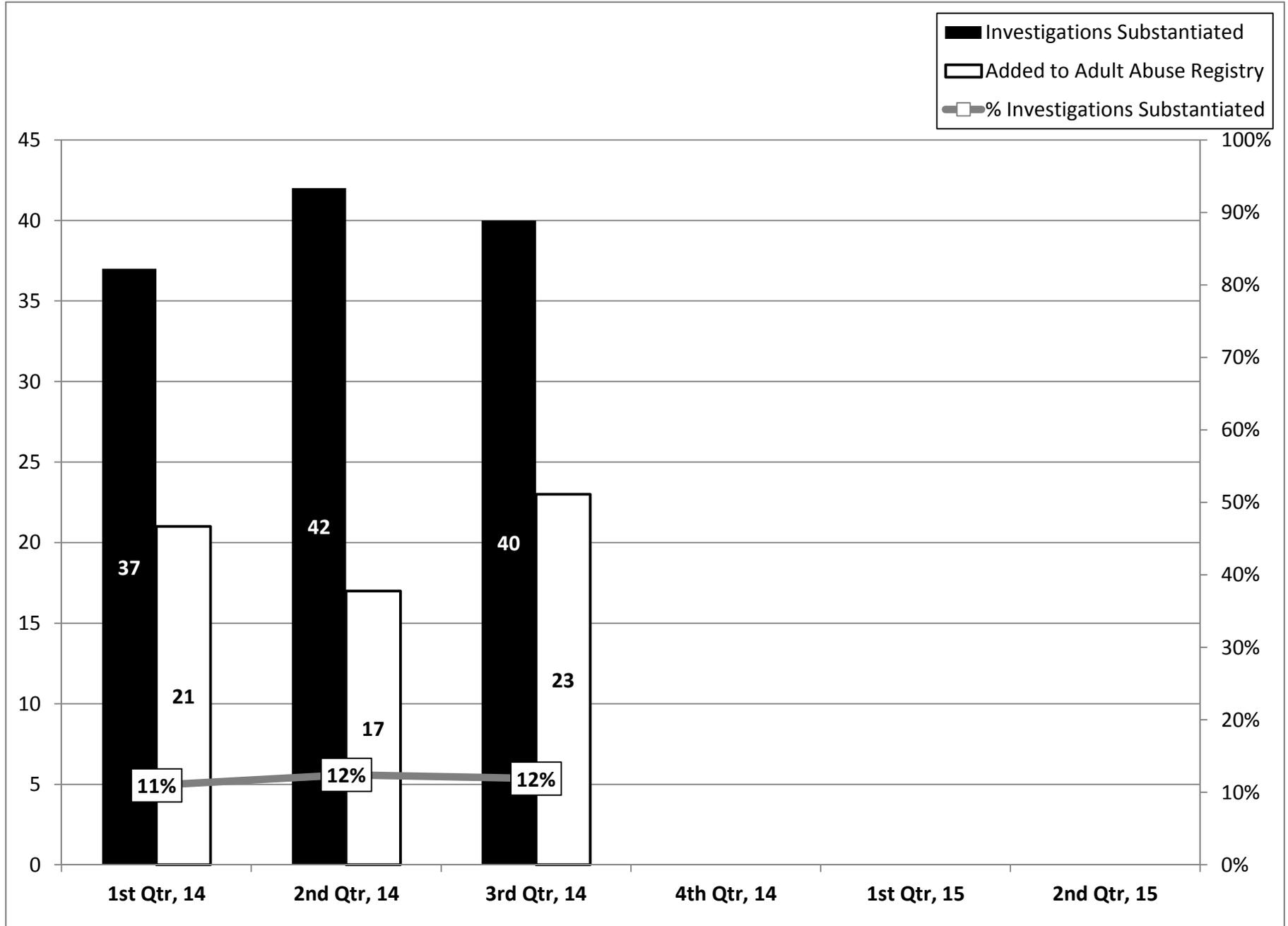


Chart 5: Count of Closure Types

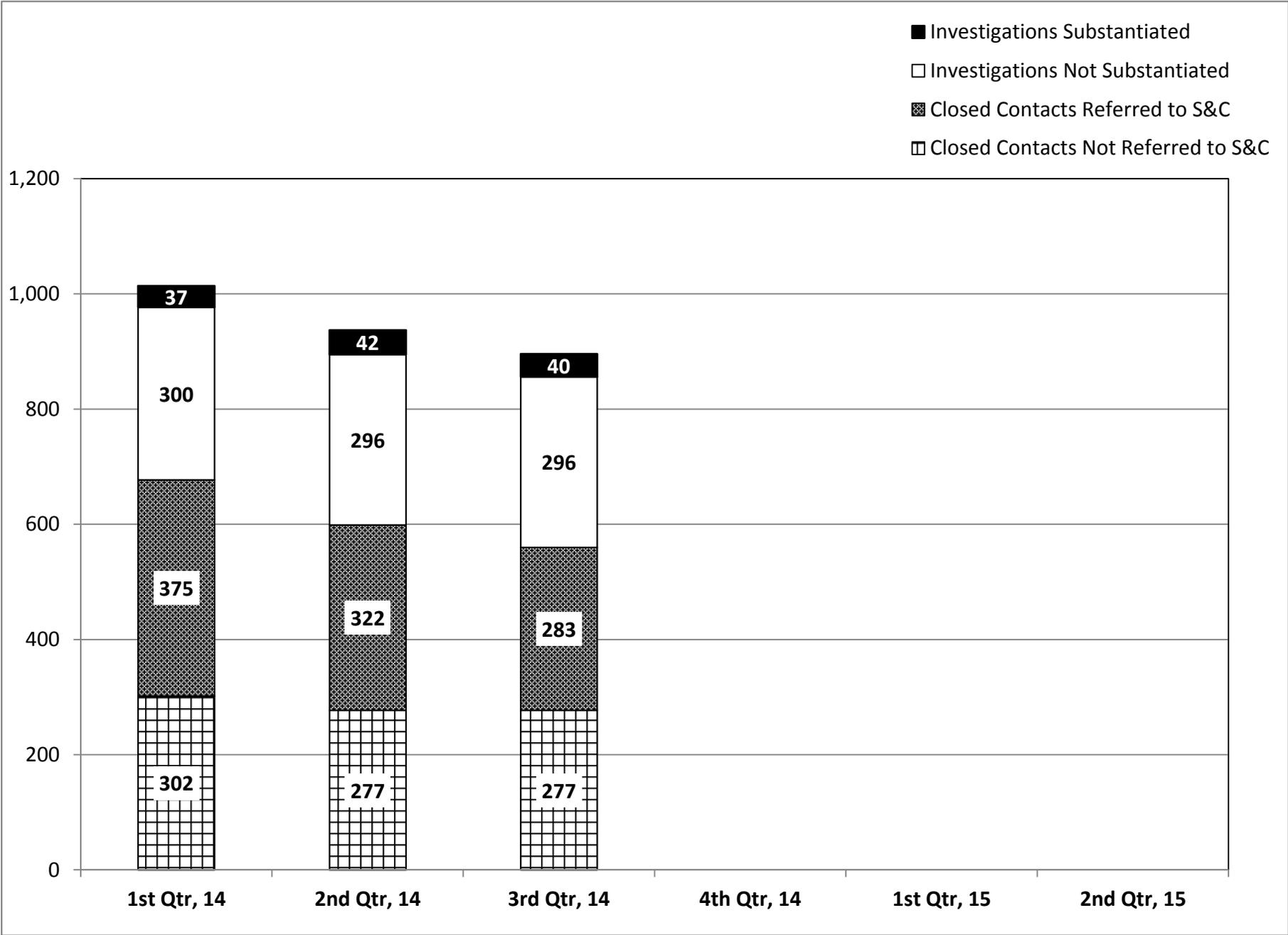


Chart 6: Percent of Closure Types

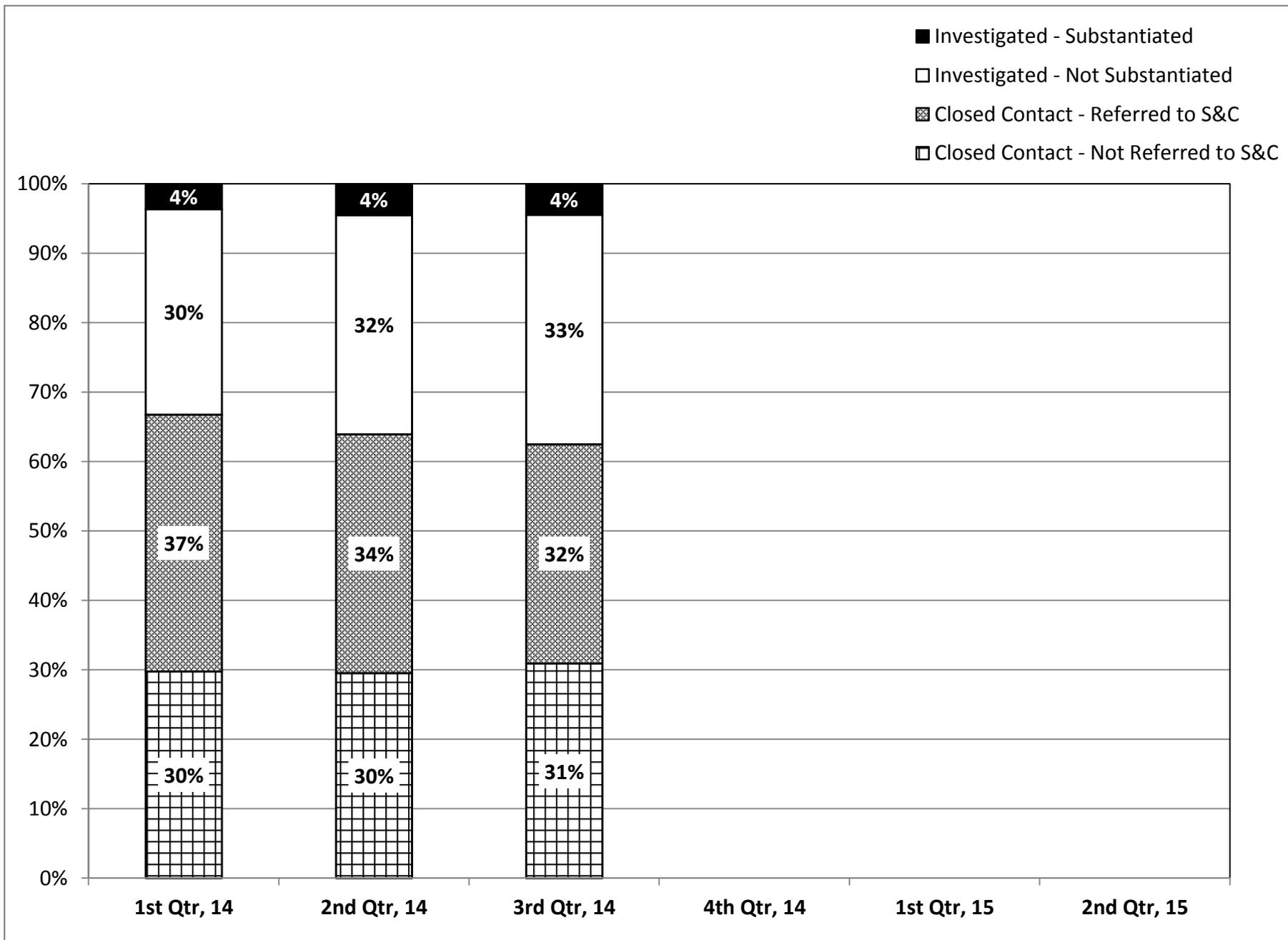


Chart 7: Reasons Intakes Not Referred to Investigation

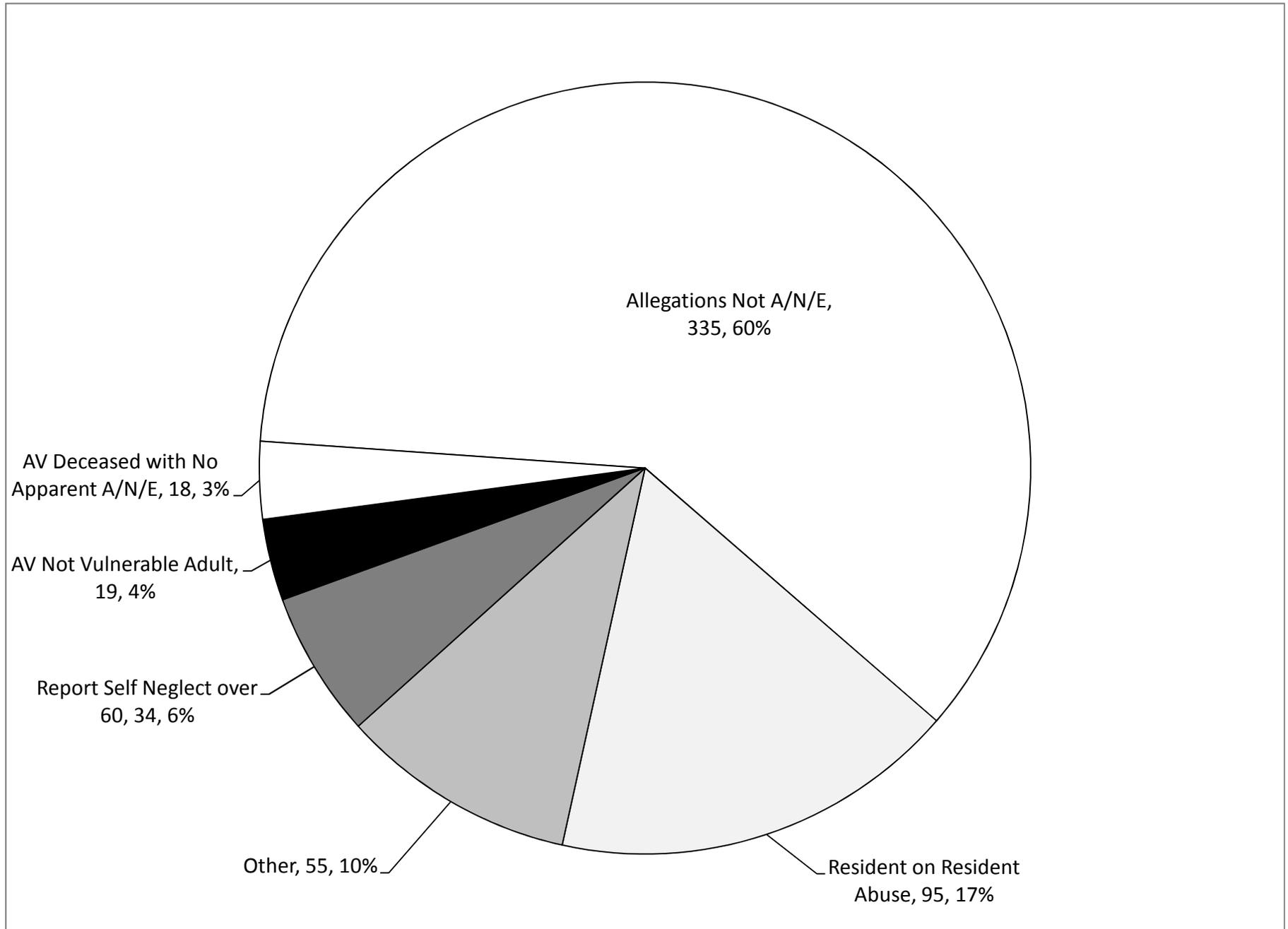


Chart 8: Referral Source for Intakes Not Referred for Investigation

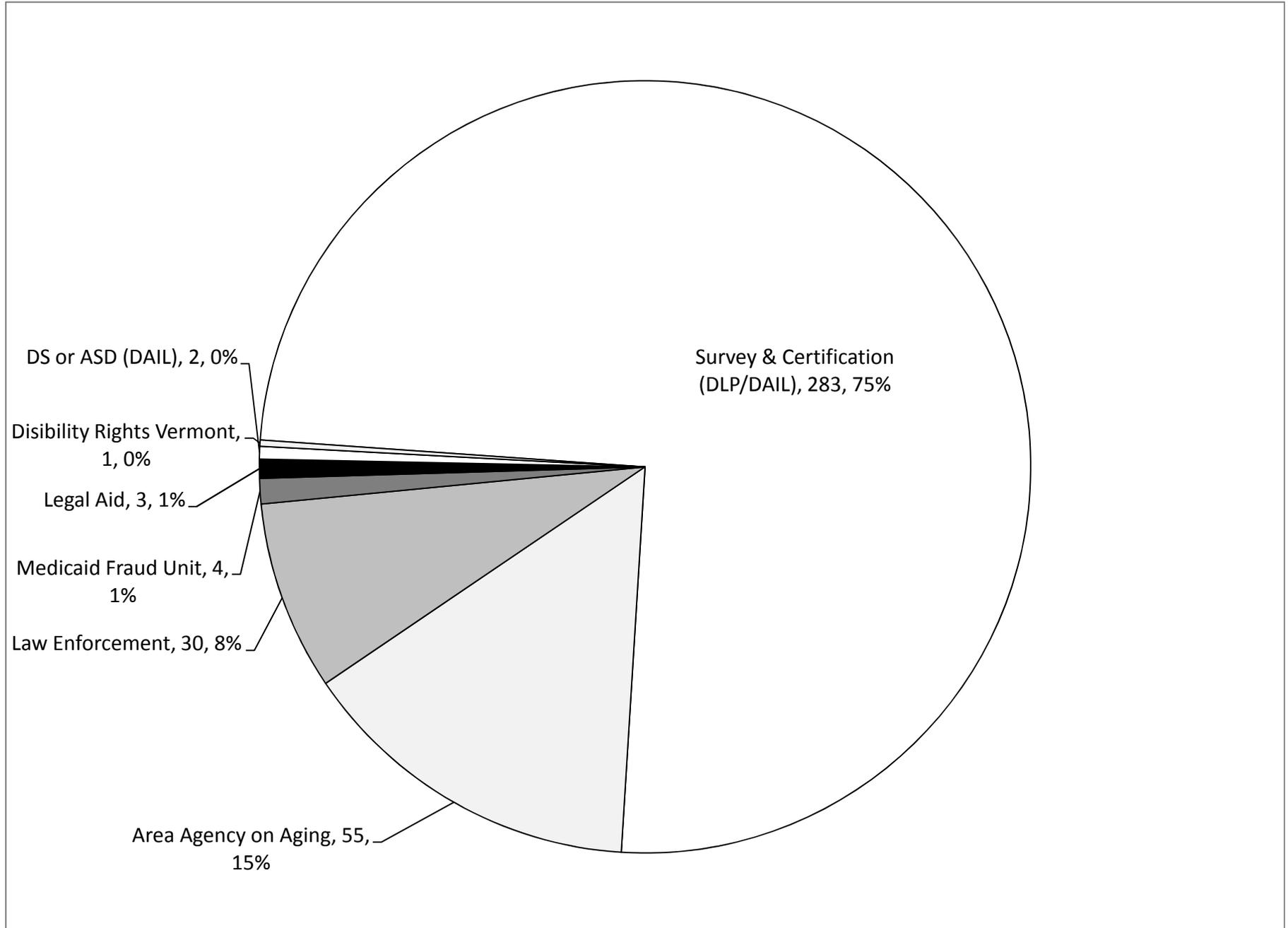


Chart 9: Reason for Unsubstantiation for Unsubstantiated Investigations

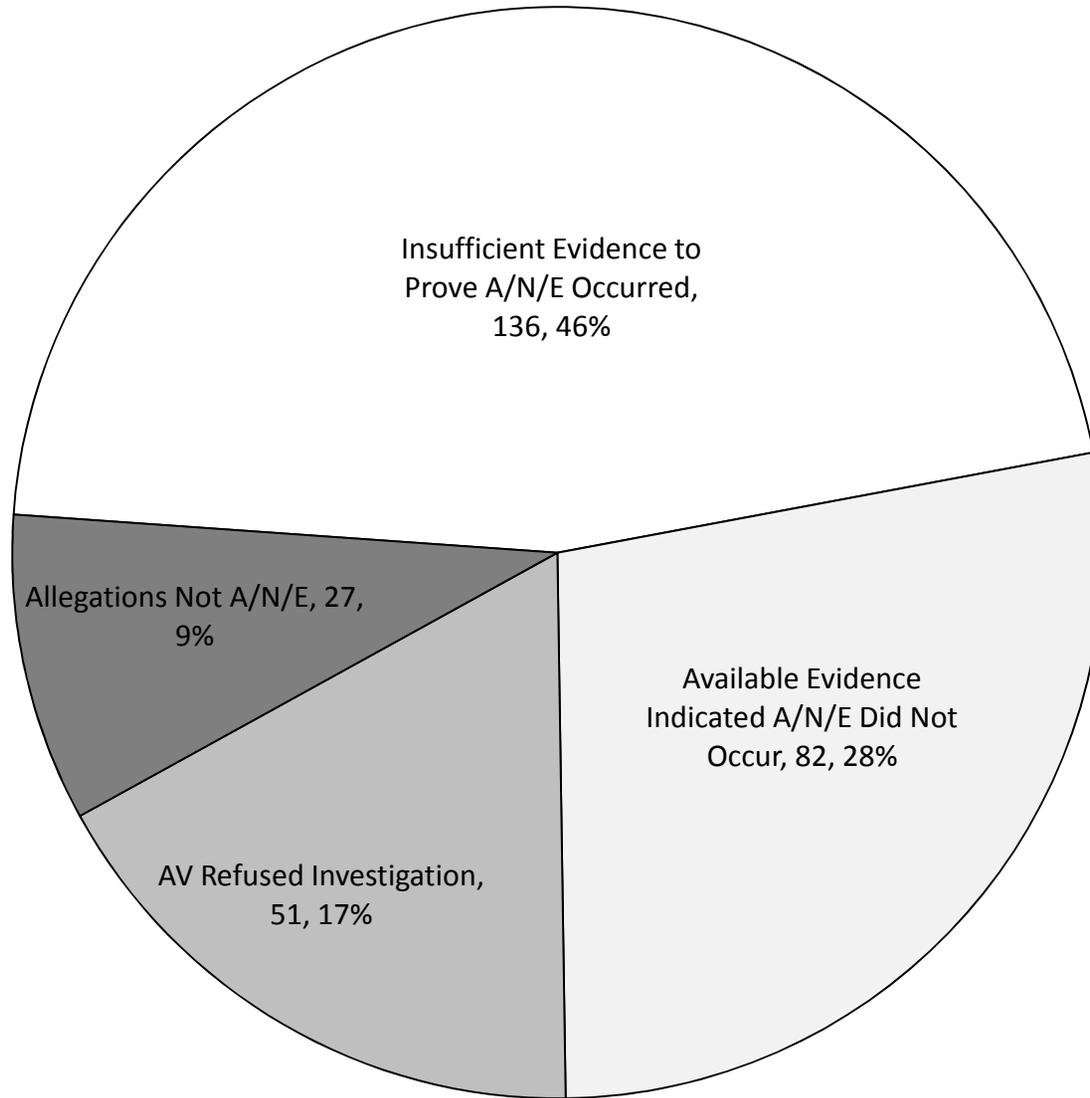


Chart 10: Count of Reporter Types for Cases Not Investigated Because Alleged Victim is Not a Vulnerable Adult

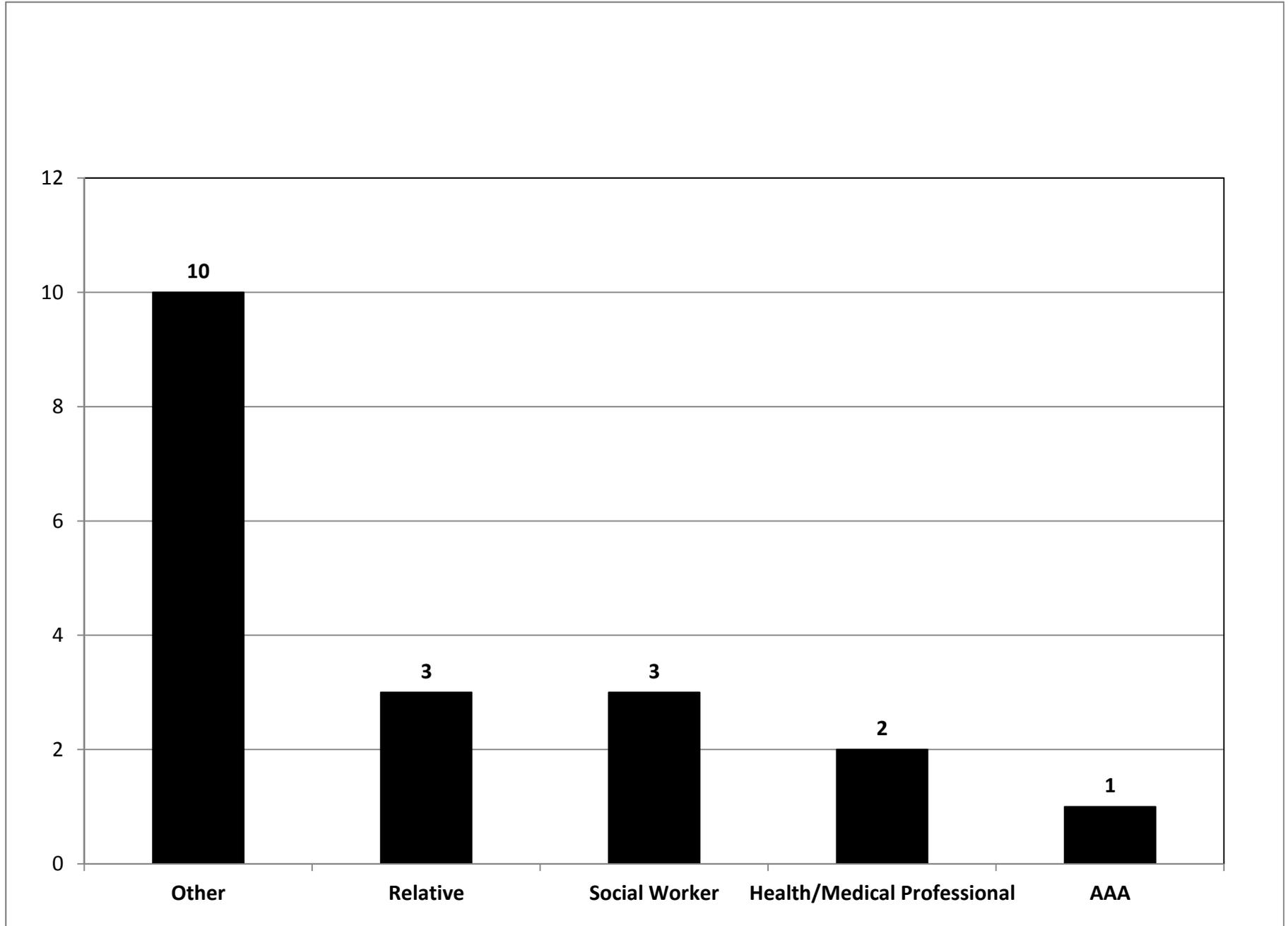
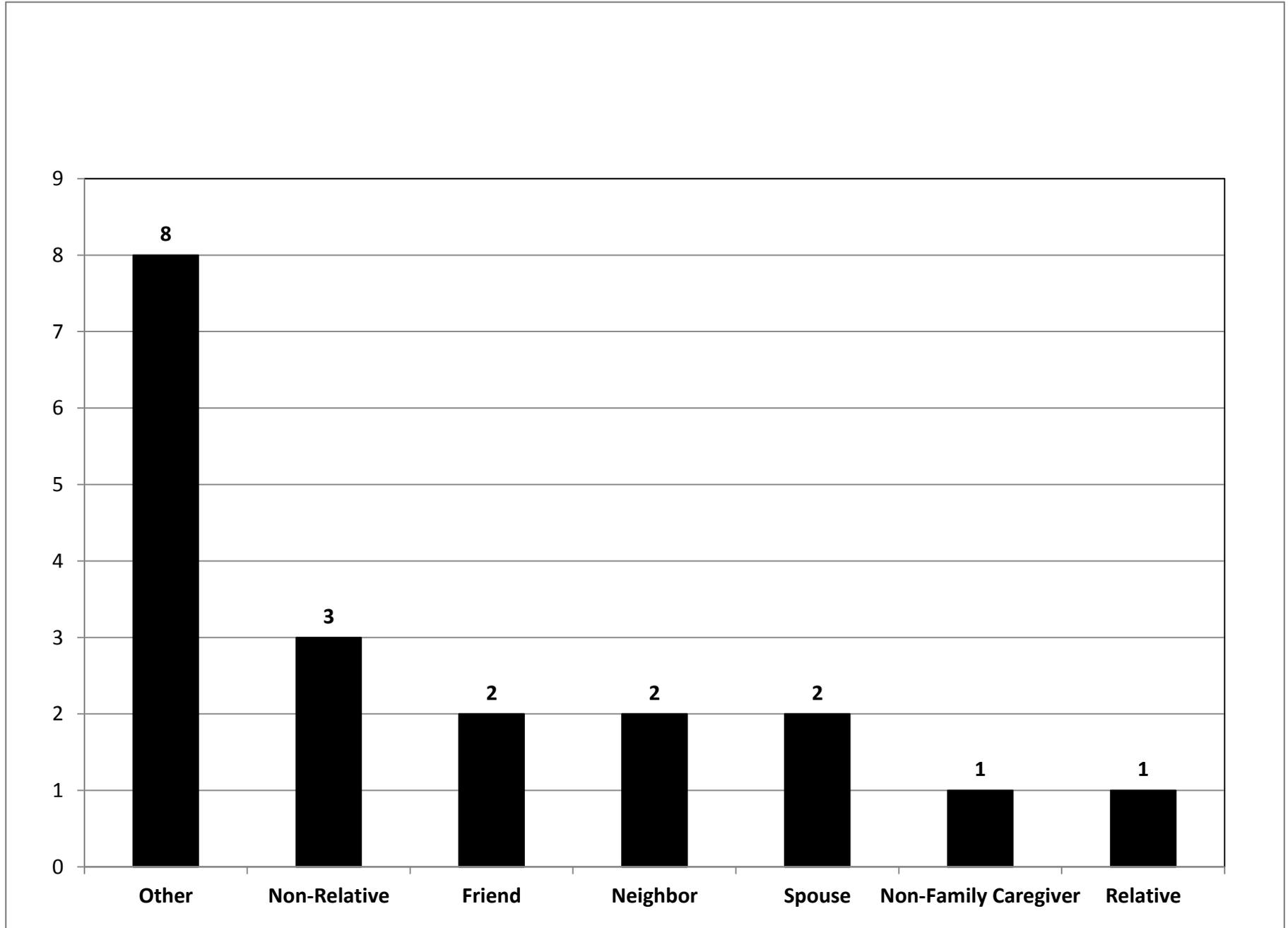


Chart 11: Count of Alleged Perpetrator Types for Cases Not Investigated Because Alleged Victim is Not a Vulnerable Adult



Appendix

Definitions for Common Data Elements

All Closed Contacts: The number of intakes closed without investigation because the alleged victim is not a vulnerable adult and/or the situation described does not involve abuse, neglect, or exploitation.

A/N/E: Abuse, neglect, and/or exploitation.

APS: Adult Protective Services, a section of the Division of Licensing and Protection (DLP), that investigates allegations of abuse, neglect, and/or exploitation of vulnerable adults.

AP: Alleged Perpetrator

AV: Alleged Victim.

Closed Contacts Referred to S&C: The number of intakes not investigated by APS but referred to Survey and Certification (S&C) because they pertain to a licensed facility.

Completed Investigations: The total number of investigations completed.

DLP: Division of Licensing and Protection, which contains Adult Protective Services (APS) and Survey and Certification (S&C).

Intakes Entered: The total number of intakes received by the Division of Licensing and Protection during the month through web intake, fax, phone, and mail.

Intakes Referred for Investigation: The number of intakes referred to an APS Investigator for investigation.

Perpetrators Placed on Registry: The number of individuals placed on the registry after they have been substantiated and no appeal has been filed, or after they have been substantiated and their appeals have been heard and denied.

Reporter: The person contacting the Division of Licensing and Protection to provide information to APS or S&C.

S&C: Survey and Certification, a section of the Division of Licensing and Protection (DLP), that surveys hospitals and long term care facilities to ensure compliance with state and federal regulations.

Substantiated Investigations: The number of investigations that have been completed and are substantiated because the APS Investigator determined a vulnerable adult has been abused, neglected, and/or exploited by a perpetrator.

Total Open Cases (Average): The average number of cases open during the reporting period.

Unsubstantiated Investigations: The number of investigations that have been completed and were not substantiated by the APS Investigator.