NAMRS

NATIONAL ADULT MALTREATMENT REPORTING SYSTEM

NAMRS FFY 2016
Report 2: Key Indicators

May 21, 2018

DEPARTMENT OF HEALTH & HUMAN SERVICES · USA

ACL
Administration for Community Living

Acknowledgements

The Administration for Community Living gratefully acknowledges the voluntary submission of data to the National Adult Maltreatment Reporting System (NAMRS) by the States, District of Columbia, and Territories. Without the support of the Adult Protective Services staff, supervisors, and program administrators' collection of data and reporting into state systems, it would have been impossible to have achieved the historical, first submission of data (FFY 2016) into the National Adult Maltreatment Reporting System.

In addition, we applaud the work of the:
- Elder Justice Coordinating Council in making the collection of data regarding adult maltreatment a priority issue;
- Department of Health and Human Services' Assistant Secretary for Planning and Evaluation for support of the initial development and piloting of NAMRS; and
- Numerous experts, university faculty, medical researchers, and national organizations representing the field of adult maltreatment who provided guidance on NAMRS development.

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Executive Summary

The statistics in this report are based on data submitted to NAMRS, which is a voluntary reporting system that was developed by the U.S. Department of Health and Human Services, Administration for Community Living. In FFY 2016, 54 APS reporting jurisdictions volunteered to participate by providing information and data. For NAMRS, a reporting jurisdiction is the officially designated APS office in the state, territory, or district.

The Agency Component report offers an overview of the policies and practices of state APS agencies. In addition to submitting the data elements highlighted in this report, states provided narratives regarding statutes, policies and procedures, investigative practices, data systems, intake processes, staffing, training, and client assessments. Narrative information such as state statutes, policies, training, etc. will be used in developing future discussion papers.

Additional information gleaned from the initial year of NAMRS data submissions can be accessed in the following reports:

➢ NAMRS FY 2016 Background Report: This report discusses the development of the NAMRS data system, provides an overview of the data elements and the data submission process, and discusses the known limitations and future directions of NAMRS.

➢ NAMRS FY 2016 Report 1.2: Agency Component: This report provides highlights of APS agency profile information and investigation data submitted for FFY 2016.

➢ NAMRS FY 2016 Report 3: Case Component: Case Component provides a summary of case level information for investigations of maltreatments, clients, victims, services, and perpetrators. Additionally, Report 3 presents a review of cross tabulations of certain data elements relevant to victims with a substantiated maltreatment type.

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

Key Indicators Data

The NAMRS FFY 2016 Key Indicator Component report describes FFY 2016 aggregated data pertaining to client, victim, and perpetrator demographics. Key Indicator Component data has aggregate totals which contain duplicate counts of clients, victims, and perpetrators. Therefore, data contained in the exhibit tables will not always total 100%. For example, a victim may have multiple substantiated maltreatments.

This report is a merger of Key Indicator Component data from 20 states and the extraction of the same Key Indicator data points from Case Component data submitted by 24 states. As such, the Key Indicator Component section represents 44 states.

It is important to note that not all 44 states were able to report on each data element, or even the same data elements. Missing data was handled in one of two ways:

1. When a state did not report a data element, or submitted only unknown values for a data element, that state was not included in the aggregate data for that particular element. In these cases, the "unknown" data equates to data not submitted by the state.

2. In most instances, states submitted data elements that included some cases with valid values and some cases with missing values. These missing values were coded as "Unknown". In these cases, the totals for the data element reflects all values submitted by the state, both valid and missing/unknown.

For more information on any of the data elements, see *Appendix A: Data Element and Value Definitions*

KI-1 Key Indicators Submission Rates

Exhibit KI-1 below provides response rates for the 20 Key Indicator data elements and illustrates the combined count for 44 states. Key Indicator Component data were submitted by 20 states. The same Key Indicator Component were extracted from 24 states that submitted on the same data elements to the Case Component data set.

Exhibit KI- 1 Key Indicators Response Rates

Data Element	# States that Submitted KI	# States that Submitted Case	Total Number of States	% of states (56)	% of states submitting (44)
Investigations Closed	20	24	44	78.6%	100.0%
Clients Who Received an Investigation	20	24	44	78.6%	100.0%
Clients Found to Be Victims	20	23	43	76.8%	97.7%
Victims by Maltreatment Type	20	23	43	76.8%	97.7%
Clients by Case Closure Reason	20	20	40	71.4%	90.9%
Victims by Age Group	16	22	38	67.9%	86.4%
Victims by Gender Identity	15	23	38	67.9%	86.4%
Victims by Race	12	21	33	58.9%	75.0%
Perpetrators with Kinship Relationship	11	20	31	55.4%	70.5%
Perpetrators by Gender Identity	10	20	30	53.6%	68.2%
Victims by Ethnicity	10	18	28	50.0%	63.6%
Perpetrators by Age Group	9	17	26	46.4%	59.1%
Victims with Disabilities	11	10	21	37.5%	47.7%
Victims Who Received or Were Referred for Services	13	8	21	37.5%	47.7%
Clients Who Received Interagency Coordination	13	5	18	32.1%	40.9%
Perpetrators with Association to Victim	8	5	13	23.2%	29.5%
Victims with Behavioral Conditions	4	7	11	19.6%	25.0%
Victims Receiving Benefits	3	6	9	16.1%	20.5%
Victims with Guardian or Conservator	3	4	7	12.5%	15.9%
Perpetrators with Legal Remedy Recommendations	3	2	5	8.9%	11.4%

KI-2 Investigations and Clients

Exhibit KI-2 reports the number of closed investigations for the reporting year, and the number of clients receiving an investigation for the same time period. These numbers frequently differ, as it is practice in some states to include multiple clients under one investigation, rather than opening a separate case for each client, even if it is one single investigation. For example, APS may have received one report of alleged abuse for two people living in the same household. This could be recorded in two different ways. One way is to open one investigation record with two clients. Alternatively, two investigation records could be opened, one for each client in the household.

Exhibit KI- 1 Investigation and Client Counts
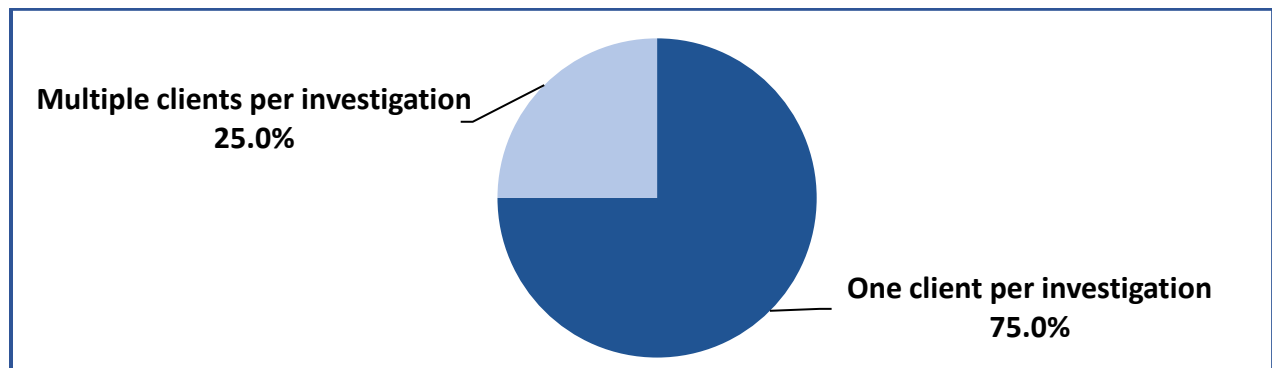
Investigations	# of States	% of States that Submitted (44)	Investigations Completed or Closed	Clients who received an investigation
One client per investigation	33	75.0%	444,220	444,220
Multiple clients per investigation	11	25.0%	227,181	238,776
Total	44	-	671,401	682,996

Key Indicator Component – Interagency Coordination

APS staff work with human services programs, community groups, law enforcement, and other state and local agencies to coordinate advocacy, services and supports on behalf of clients. Eighteen (18) states reported 66,988 out of a total of 207,226 clients received interagency coordination. Key Indicator data does not identify the specific sectors or services to which clients received interagency coordination. However, information about the types of services in place at the start and end of an investigation is included in "**Report 3: Case Component**".

KI-3 Clients by Case Closure Reason

FFY 2016 data submissions were based on cases closed during the federal fiscal year reporting period. Forty (40) states submitted case closure reason data. As shown in Exhibit KI-3 below, the highest three reasons states reported for closing a case were:

1. "Investigation Completed" (31 states (45%))
2. "Investigation Completed and Protective Services Case Completed" (24 states (36%))
3. "Other Closure Reason." (15 states (7.4%))

Exhibit KI-3 also shows that two percent (2.7%) of states reported "unknown reasons" for case closures. The data value of "Other Closure Reason" indicates none of the data element values listed in NAMRS accurately describe how the state records closures of case closures. Some states provided comments for how they categorize case record closures including:

- Investigation or protective services case was closed because the client moved out of state
- Investigation or protective services case was closed because the client cannot be found
- Investigation or protective services case was closed because the client was incarcerated
- Administrative closure of case due to duplication or other errors

*Exhibit KI- 2 Clients by Case Closure Reason*

Clients by Case Closure Reason	# of states selecting reason	Count	% of Total (650,969)
Investigation Completed	31	293,047	45.0%
Investigation & Protective Services Case Completed	24	234,309	36.0%
Investigation Unable to Be Completed (Non-Specific)	18	17,359	2.7%
Investigation Unable to Be Completed Due to Death of Client During Investigation	12	5,141	0.8%
Investigation Unable to Be Completed Due to Refusal of Client	11	6,918	1.1%
Protective Services Case Opened but Not Completed (Non-Specific)	10	3,453	0.5%
Protective Services Case Closed Due to Death of Client	13	3,320	0.5%
Protective Services Case Closed Due to Client Decision to Not Continue	15	21,839	3.4%
Other Closure Reason	15	48,263	7.4%
Unknown	11	17,320	2.7%

KI-4 Clients and Victims

In NAMRS, a client is considered a victim if at least one maltreatment allegation within an investigation has a substantiated disposition. Exhibit KI-4 shows 66.3% of client investigations of maltreatment(s) were not substantiated. Of the 645,853 clients, represented by 43 states, 33.7% of client investigations of maltreatment(s) were substantiated, thus the client is identified as a Victim.

Exhibit KI- 3 Clients and Victims
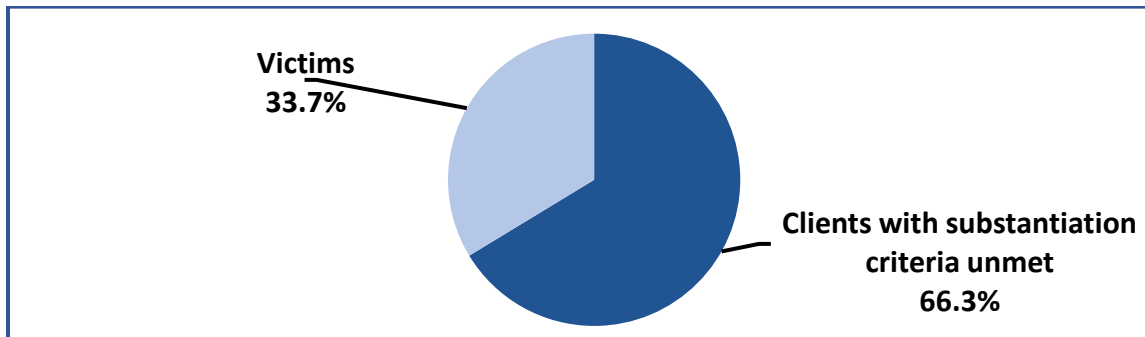
	# of states that submitted	Count	% of clients (645,853)
Clients with Substantiation Criteria Unmet	43	428,270	66.3%
Victims	43	217,583	33.7%

KI-5 Victims by Age Groups

A state's APS statute determines the age of potential clients for which the program will investigate reports of maltreatment. The most common eligibility age group is 18 and older. However, some states only investigate maltreatment allegations for persons 60 and older. Thirty-eight (38) states were able to report to NAMRS a total of 160,288 victims' ages, and is illustrated in Exhibit KI-5. The highest average number of victims per year of age was within the 75-84 age group. The "Unknown" age group includes victims whose age was unknown or not disclosed. The top three age groupings of victims are:

1. 75-84 years (22.8%)

2. 60-69 years (22.7%)

3. 85 years and older (14%)

Exhibit KI- 4 Victims by Age Group
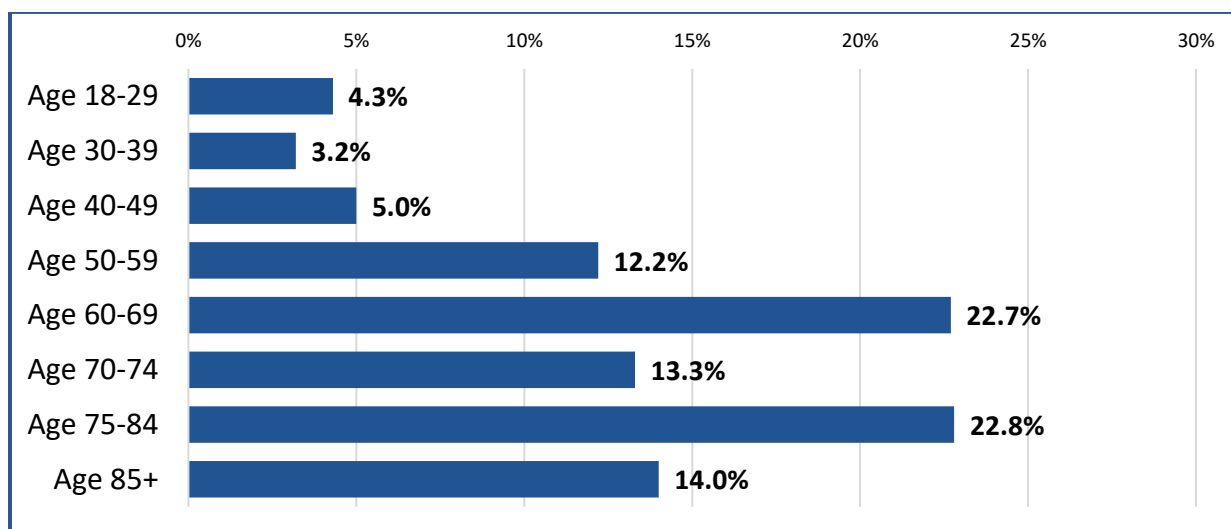
Age Group	# of States that Submitted	Count	% of Victims (160,288)
Age 18-29	33	6,882	4.3%
Age 30-39	33	5,124	3.2%
Age 40-49	34	7,951	5.0%
Age 50-59	34	19,618	12.2%
Age 60-69	38	36,407	22.7%
Age 70-74	38	21,265	13.3%
Age 75-84	37	36,601	22.8%
Age 85+	37	22,387	14.0%
Unknown	20	4,053	2.5%

KI-6 Victims by Race

According to the FFY 2016 data reported on victims' race, the greatest number of victims self-identify as being white. NAMRS accepts multiple values for race for each individual. Ten of the 33 states reporting data on victim race reported multiple races per individual. NAMRS race and ethnicity demographic data are based upon how the data are collected by U.S. Census Bureau. Exhibit KI-6 represents the race reported for a total of 147,219 victims. The race value of "Unknown" represents an unknown race or that the victim did not disclose the information.

Exhibit KI- 5 Victims by Race
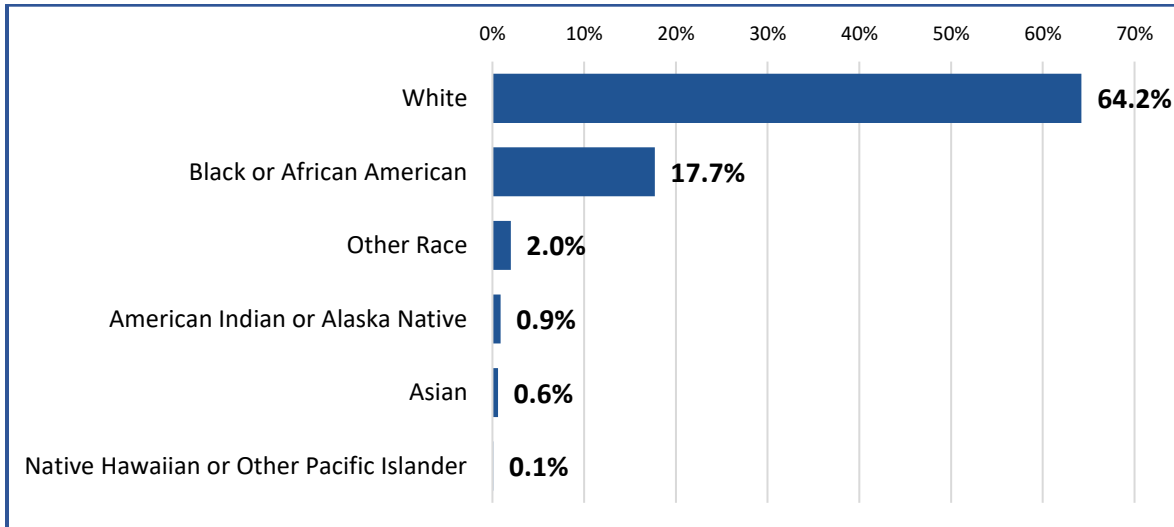
Race	# of States that Submitted	Count	% of Victims (147,219)
White	32	94,585	64.2%
Black or African American	33	26,048	17.7%
Other Race	21	2,998	2.0%
American Indian or Alaska Native	27	1,398	0.9%
Asian	28	935	0.6%
Native Hawaiian or Other Pacific Islander	21	210	0.1%
Unknown	28	22,047	15.0%

KI-7 Victims by Ethnicity

NAMRS ethnicity demographic data are based upon how the data are collected by U.S. Census Bureau. The options for ethnicity are (1) Hispanic, Latino/a, or Spanish and (2) Not Hispanic, Latino/a, or Spanish. Exhibit KI-7 reflects ethnicity data submitted by 28 states, for a total of 122,889 victims. Based on data reported by 23 states, 56.5% of victims are not Hispanic, Latino, or Spanish. Based on data reported by 27 states, 15.9% are Hispanic, Latino, or Spanish. For 27.6% of the victims, an inquiry was made as to the victim's ethnicity but the ethnicity was unknown or not disclosed.

Exhibit KI- 6 Victims by Ethnicity
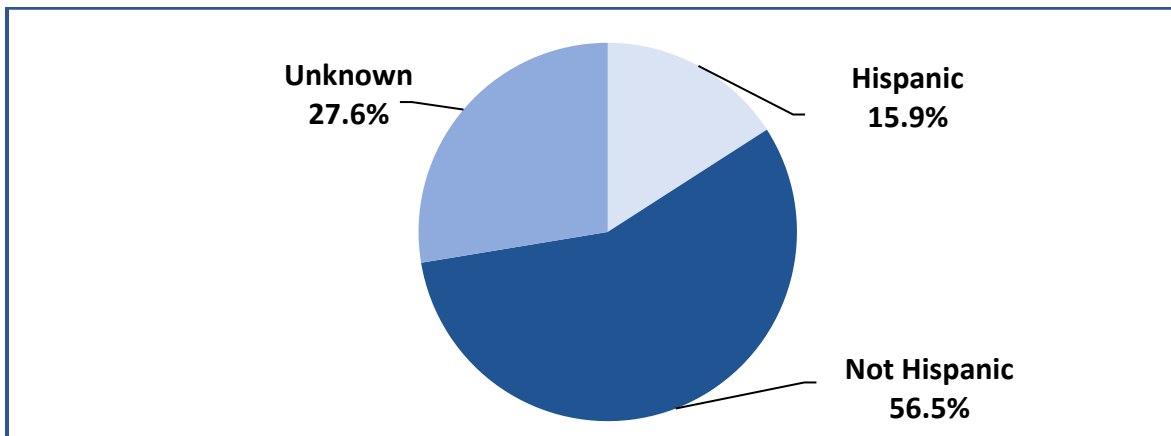
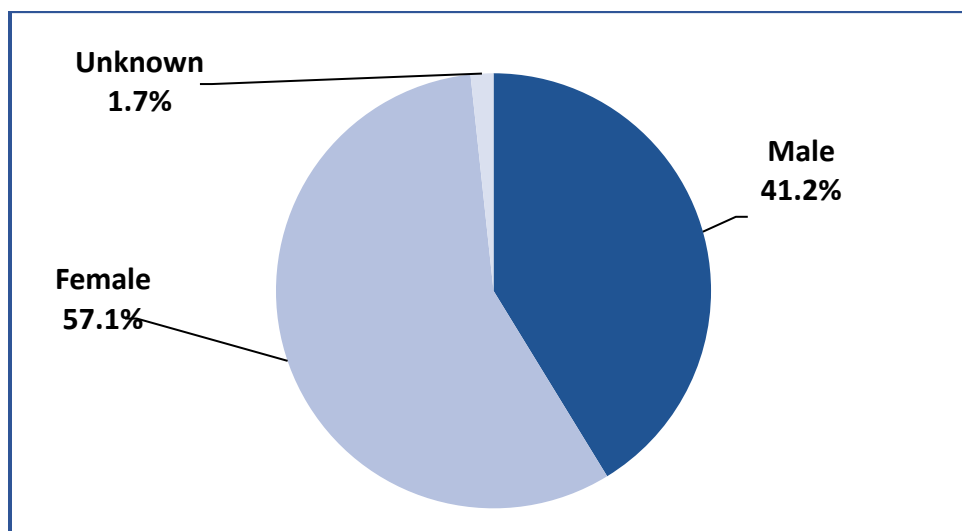

Ethnicity	# of States that Submitted	Count	% of Victims (122,889)
Hispanic, Latino/a, or Spanish	27	19,547	15.9%
Not Hispanic, Latino/a, or Spanish	23	69,418	56.5%
Unknown	24	33,924	27.6%

KI-8 Victims by Gender Identity

Exhibit KI-8 reflects the number of victims whose gender identity was recorded by states. Reporting choices were: female, male, transgender, and gender unknown. The Unknown data value is used if the victim is not able or willing to provide their gender, or if the APS staff are unclear of the victim's gender. The data for this element show that of the 38 states that could report this information, clients identifying as female were victims at a higher rate than those identifying as male, or 57.1% to 41.2%. A total of 163,827 victims are represented in the following exhibit.

Exhibit KI- 7 Victims by Gender Identity

Note – Transgender not shown in chart above. See details in table below:

Gender Identity	# of States that Submitted	Count	% of Victims (163,827)
Male	38	67,575	41.2%
Female	38	93,473	57.1%
Transgender	2	5	0.003%
Unknown	21	2,774	1.7%

KI-9 Victim Characteristics

In NAMRS, a client is considered a victim if at least one maltreatment allegation within an investigation has the "substantiated" disposition, meaning the allegation of mistreatment is supported under state law and/or APS policy. Exhibit KI-9 provides the aggregate count of victims with some victim characteristics, as reported by the states, and the counts of victims that receive public benefits and/or services. Although the percentage of victims with these characteristics seems high, it's important to note that fewer than 1/3 of the reporting jurisdictions were able to report on these data elements.

Exhibit KI- 8 Victim Characteristics

Data Element	# of states that submitted	# of victims submitted by states	# of victims with characteristic	% of victims with characteristic
Victims Receiving Benefits	9	32,165	15,200	47.3%
Victims with Disabilities	21	110,046	62,227	56.5%
Victims with Behavioral Conditions	11	78,224	21,481	27.5%
Victims with Guardian or Conservator	7	19,917	246	1.2%
Victims Who Received or Were Referred for Services	21	69,742	34,843	50.0%

KI-10 Maltreatment Types Among Victims

Each state has distinct statutes and policies guiding the various factors that contribute to the type of maltreatment that is accepted for investigation. States also differ in the criteria by which APS makes a determination of the allegation. Some states "substantiate" an allegation of maltreatment, usually meaning that APS has determined, through an investigation, that the allegation is true (or most likely true). Some state APS programs do not determine if an allegation is true or not, they do not "substantiate", but rather APS is only authorized to assess if the person is "at-risk" or in need of services. Another distinction between APS programs is that not every state investigates reports of all of these maltreatment types.

Exhibit KI-10 includes data on maltreatment type by victim submitted by 43 states, representing a total of 217,583 victims. Victims may have one or more maltreatment types. In FFY 2016, the highest percentage, 63.9%, of reported maltreatment type was Self-Neglect. The ACL National Voluntary Consensus Guidelines for APS systems and NAMRS define self-neglect as an adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks including:

1. obtaining essential food, clothing, shelter, and medical care
2. obtaining goods and services necessary to maintain physical health, mental health, or general safety
3. managing one's own financial affairs[1]

Self-neglect among adults is one of the most challenging aspects of adult protective service work. Adults, who have not been adjudicated incompetent by a court of law, have the right to make their own decisions about their life, medical care, finances, and home, even if others would not make the same choices. Investigating allegations of self-neglect is difficult for APS. In some states, self-neglect is not a maltreatment type that APS is authorized to investigate. Adults who are reported as self-neglecting have the right to refuse assistance from others, including APS. At a minimum, most states have provisions for APS to work with individuals who are reported as self-neglecting if the individual is deemed to lack capacity or cannot consent to services

The second highest reported type of maltreatment, at 16.5%, was Neglect. NAMRS defines neglect as: "the failure of a caregiver or fiduciary to provide the goods or services necessary to maintain the health or safety of a person. Includes acts of omission and of commission; includes willful deprivation, etc."

The third highest maltreatment type was Financial Exploitation. Twenty-nine (29) states reported 11% of victims' maltreatment type was classified as financial exploitation. NAMRS defines financial exploitation as "Illegal or improper use of an individual's funds, property, or assets for another's profit or advantage." Another 2.4% of states identified "exploitation non-specific) as a maltreatment type. This means that in those states, different types of "exploitation" may be grouped under the one type, such as exploitation of the person and financial exploitation.

Reasons for "Unknown" values may include: (1) recorded as "Unknown" in state reporting system or staff were not able to determine; and (2) data records submitted to NAMRS did not contain the information, presumably because the information was not collected.

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[1] Administration for Community Living, U.S. Department of Health and Human Services, *Final National Voluntary Consensus Guidelines for States Adult Protective Services Systems*, September 2016.

Exhibit KI- 9 Maltreatment Types Among Victims
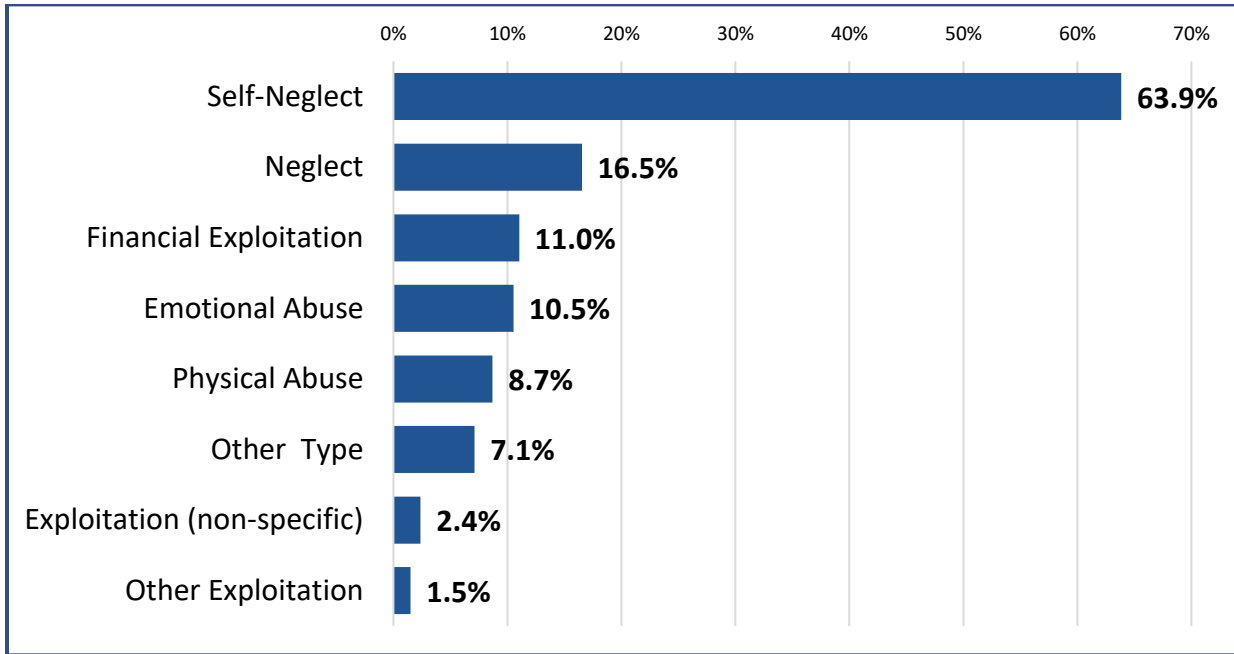
Please Note - Categories less than 1% and "Unknown" are not shown in the chart above. See details in table below.

Maltreatment Types	# of States that Submitted	Count	% of Victims (217,583)
Self-Neglect	39	138,929	63.9%
Neglect	41	35,972	16.5%
Financial Exploitation	29	24,005	11.0%
Emotional Abuse	32	22,900	10.5%
Physical Abuse	42	18,920	8.7%
Other Type	14	15,410	7.1%
Exploitation (non-specific)	16	5,167	2.4%
Other Exploitation	9	3,245	1.5%
Abandonment	12	1,278	0.6%
Sexual Abuse	34	1,380	0.6%
Suspicious Death	2	40	0.02%
Unknown	3	222	0.1%

KI-11 Perpetrators by Age Groups

Age groupings for perpetrators are the same as those for victims, except for the addition of Age 17 and younger. Twenty-six states submitted data with a total of 91,986 perpetrators represented. As with victims, age was reported by category. Therefore, comparisons between categories must take into account the number of perpetrators per year represented (i.e., average number of perpetrators per year of age). Exhibit KI-11 below shows the top three age groupings for perpetrators are 60-69 years, 75-84 years, and 50-59 years, but the highest average number of perpetrators per year of age was for the 60-69 and 70-74 age groups. Twenty-six states (26) were able to report the age of perpetrators. The age group of "Unknown" represents unknown age or that the victim did not disclose the information.

Exhibit KI- 10 Perpetrators by Age Groups
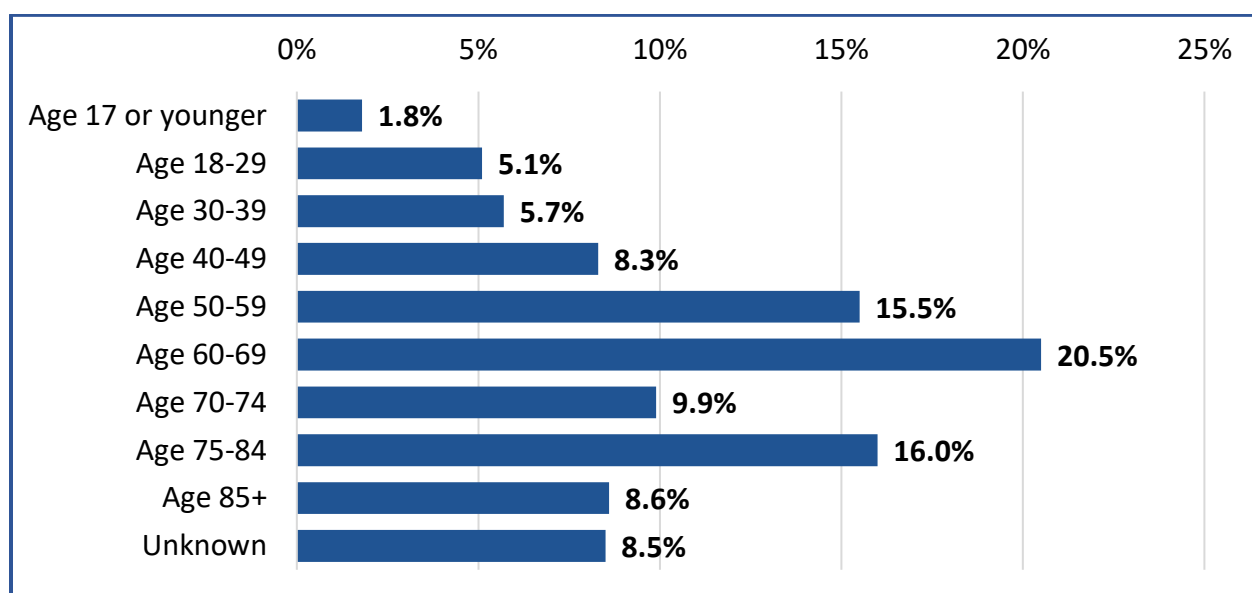
Age Group	# of States that Submitted	Count	% of Perpetrators (91,986)
Age 17 or younger	10	1,689	1.8%
Age 18-29	26	4,681	5.1%
Age 30-39	26	5,216	5.7%
Age 40-49	26	7,616	8.3%
Age 50-59	25	14,258	15.5%
Age 60-69	26	18,872	20.5%
Age 70-74	22	9,140	9.9%
Age 75-84	23	14,761	16.0%
Age 85+	19	7,919	8.6%
Unknown	22	7,834	8.5%

KI-12 Perpetrators by Gender Identity

Thirty states (30) reported the perpetrators' gender identity, with 107,754 perpetrators represented. Within these states, 52.4% of perpetrators identified as female, 41.3% as male, and for 6.2% the gender identity is unknown. "Unknown gender" means that the perpetrator did not provide their gender identity or it was not obvious to the APS staff. Of note, some states categorize victims of self-neglect as "perpetrator". The data in Exhibit KI-12 does not differentiate the self-neglect maltreatment type from the other maltreatment types. However, "Report 3: Case Component" includes information on how many victims with self-neglect substantiation are also the perpetrator based on the state's definition of perpetrator.

Exhibit KI- 11 Perpetrators by Gender Identity
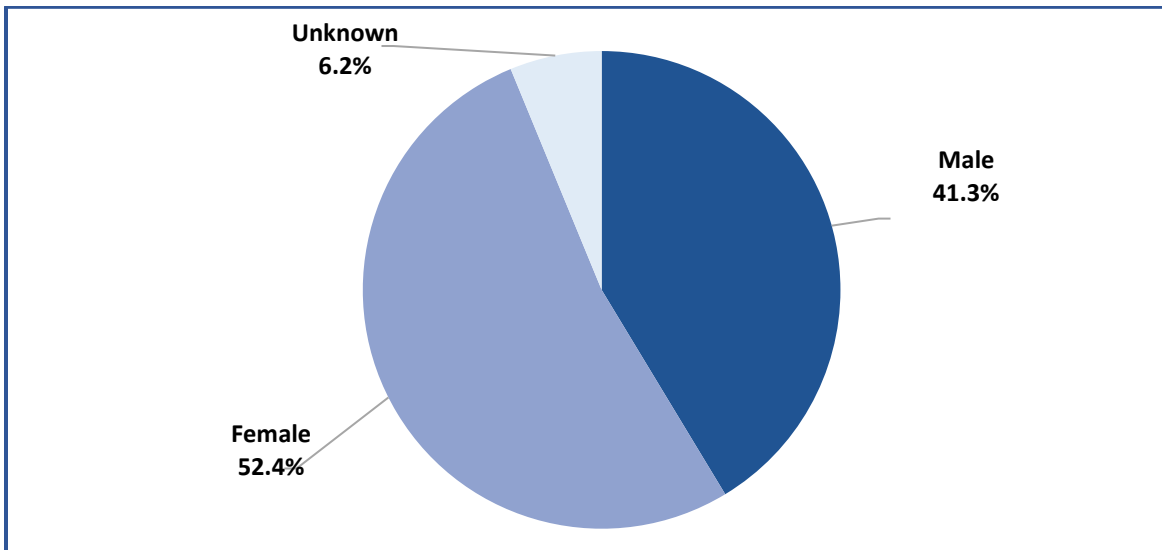
Note – Transgender not shown in chart above. See details in table below.

Gender Identity	# of states that submitted	Count	% of perpetrators (107,754)
Male	30	44,548	41.3%
Female	30	56,505	52.4%
Transgender	-	-	-
Unknown	26	6,701	6.2%

KI-13 Perpetrator Relationship to Victim

Exhibit KI-13 illustrates the perpetrator's relationship to the victim, for those states that were able to report this data. Three data points were reported, if known: (1) perpetrators who had a kinship relationship to the victim, (2) perpetrators who had a non-kinship association to the victim, and (3) perpetrators where APS recommended a legal remedy for the victim against the perpetrator. These data elements and values are defined in *Appendix A: Data Element and Value Definitions.*

Exhibit KI- 12 Perpetrator Relationship to Victim

Data Element	# of states that submitted	# of perpetrators submitted by states	# of perpetrators with characteristic	% of perpetra-tors
Perpetrators with Kinship Relationship	31	107,006	26,032	24.3%
Perpetrators with Association to Victim	13	26,018	11,140	42.8%
Perpetrators with Legal Remedy Recommendations	5	13,124	3,139	23.9%

End of NAMRS FFY 2016 Report 2: Key Indicators

For more information about NAMRS please direct inquiries to ACL
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