

# Wave 1 Semi-Structured Interviews with State APS Reps

DRAFT Telephone Protocol, 11/19/13

## Study Introduction and Informed Consent

My name is \_\_\_\_\_ and I am a research associate at the Urban Institute in Washington, DC. We are asking for your help in preparation for an online survey of APS agencies that will be launched this fall. This work is funded by the federal Bureau of Justice Statistics, within the U.S. Department of Justice, and they are part of a larger federal interagency working group on elder abuse. BJS is conducting a feasibility study to develop a national data system recording reports to APS agencies on elder abuse, mistreatment, and neglect. The goal is for this reporting system to include a combination of aggregate statistics and de-identified individual level data. The Urban Institute, as BJS' grantee, will be launching an online survey this fall to learn about APS agencies' data collection and reporting capabilities at the state and local levels. We are asking for your help today to identify the correct APS agencies and individuals to include in that online survey.

This interview should take no more than 1 hour. I have a set list of questions to go through, but, essentially, I'd like to confirm the information on the summary PDF I emailed you earlier and ask a few follow-up questions. Do you have that handy? [resend if needed]. You'll see that we're interested in understanding how APS is organized in your state, what kinds of cases APS investigates, and how this relates to 3 different types of data that your agency may maintain.

Thank you again for taking the time to talk. Before we begin, I need to tell you that participating is completely voluntary. You can choose to skip any questions or stop participating at any time. Your responses will be used to describe the scope of APS data collection in your state and identify respondents for our 2014 online survey of APS data collection practices and capabilities.

Record Interview Date: \_\_\_\_\_  
Record Interview Start Time: \_\_\_\_\_  
Record Interviewer Name: \_\_\_\_\_

## A. Background Information

Before we begin, is the contact information listed on your state's summary form correct? (Information on the state summary form will already populate the responses below. Briefly review the information to confirm its accuracy and modify as necessary.)

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
1. REVIEW Name	• First name

Question	Response Categories
<i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	
	<ul style="list-style-type: none"> <li>• Last name</li> </ul>
2. REVIEW Title	<ul style="list-style-type: none"> <li>• Text</li> </ul>
3. REVIEW Phone number	<ul style="list-style-type: none"> <li>• Text</li> </ul>
4. REVIEW Email address	<ul style="list-style-type: none"> <li>• Text</li> </ul>
5. REVIEW Department name	<ul style="list-style-type: none"> <li>• Text</li> </ul>

If a Second person is included in the interview then gather their contact information	Response Categories
6. Name	<ul style="list-style-type: none"> <li>• First name</li> <li>• Last name</li> </ul>
7. Title	<ul style="list-style-type: none"> <li>• Text</li> </ul>
8. Phone number	<ul style="list-style-type: none"> <li>• Text</li> </ul>
9. Email address	<ul style="list-style-type: none"> <li>• Text</li> </ul>
10. Department name	<ul style="list-style-type: none"> <li>• Text</li> </ul>

## B. APS Organizational Structure

Let's start with a review of the information about your state's APS organizational structure on the summary sheet. This comes from NAPSA's survey of APS agencies last year. Is this accurate, or have things changed? Could you give me a 1-2 minute introduction to how APS is organized and operates in your state? (*Information on the state summary form will already populate the responses below. Briefly review the information to confirm its accuracy and modify as necessary.*)

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
11. Respondent's overview of how APS is organized. Could you give me a 1-2 minute introduction to how APS is organized and operates in your state? <i>Record details about case processing, tracking, and data, if offered.</i>	<ul style="list-style-type: none"> <li>• Text</li> </ul>
12. REVIEW Reported level of APS organization: Is it accurate to say that your program is <level> administered? <i>If other, ask respondents to specify what the level of organization is (e.g., area agencies on aging)</i>	<ul style="list-style-type: none"> <li>• State</li> <li>• County</li> <li>• Other (specify _____)</li> <li>.</li> </ul>
13. If state administered: <ol style="list-style-type: none"> <li>a. How many local APS offices are there within your agency?</li> <li>b. Is there another organizational level between the state and local agencies?</li> <li>c. How many are there?  <i>Example: there may be 20 local APS offices in 3 regions.</i> </li> </ol>	<ul style="list-style-type: none"> <li>• Number of local APS offices under state agency</li> <li>• Other organizational level (specify _____)</li> <li>• Number of the other organizational level</li> </ul>
14. If county administered REVIEW: How many county APS agencies are there? Is it <number of counties>? <i>Note: APS may be consolidated into a single agency across some small counties.</i>	<ul style="list-style-type: none"> <li>• Number of county APS agencies</li> </ul>
15. If other administered: How many <other level> APS agencies are there? ( <i>e.g., 6 regional APS agencies</i> )	<ul style="list-style-type: none"> <li>• Number of other level APS agencies</li> </ul>

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
16. REVIEW Reported state oversight if county administered <i>Probe: What does the state oversee?</i> <i>Data? Does state set policy, provide training, or monitor local APS?</i>	<ul style="list-style-type: none"> <li>• Yes (specify over what, esp. data___)</li> <li>• No</li> </ul>
17. If other administered: Does the state agency have oversight responsibility? <i>Probe: What does the state oversee?</i> <i>Data? Does state set policy, provide training, or monitor local APS?</i>	<ul style="list-style-type: none"> <li>• Yes (specify over what, esp. data___)</li> <li>• No</li> </ul>

## C. Data on initial reports of suspected EAMN

The next questions are about how initial reports of suspected abuse, neglect, or exploitation are made, and where that information is recorded. Again, let's start by confirming the information from your state's summary sheet. *(Information on the state summary form will already populate some responses below. Briefly review the information to confirm its accuracy and modify as necessary.)*

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
<p>18. REVIEW From our background research, we gathered that a &lt;state, county, other&gt; level agency <b>receives the initial reports</b> of suspected abuse. Would you say that's correct?</p> <p><i>Note: County , regional, or local offices of a state agency should be classified as state.</i></p> <p><i>Probe: Are the staff employees of the state, county, or another other organization?</i></p>	<ul style="list-style-type: none"> <li>• State</li> <li>• County</li> <li>• Other (specify___)</li> <li>• Multiple agency types (specify___)</li> <li>• Notes field for detailed description of how cases are reported and recorded, if offered.</li> </ul>
<p>19. To clarify, when a concerned citizen wants to report suspected abuse, neglect or exploitation, is that who they contact? Is there anyone else?</p> <p><i>If the response is law enforcement, probe further: Is it a particular law enforcement agency (to distinguish local agency from state)? Who does law enforcement contact?</i></p>	<ul style="list-style-type: none"> <li>• Enter text</li> <li>• Update #18 if needed</li> </ul>
<p>20. Also to clarify, when a mandatory reporter or a professional such as a paid caregiver, healthcare provider, or bank employee wants to report suspected abuse, neglect or exploitation, is that also who they contact? Is there anyone else?</p> <p><i>If the response is law enforcement, probe further: Is it a particular law enforcement agency (to distinguish local agency from state)? Who does law enforcement contact?</i></p>	<ul style="list-style-type: none"> <li>• Enter text</li> <li>• Update #18 if needed</li> </ul>

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
21. Are law enforcement officers like police or sheriffs required to make a report to APS when they find out about possible vulnerable adult abuse? For example, when someone calls the police or when police respond to a call for service.	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Notes field for any details offered.</li> </ul>
22. Are prosecutors required to make a report to APS when they find out about possible abuse? For example, when a prosecutor is asked to investigate fraud, exploitation, neglect or abuse.	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Notes field for any details offered.</li> </ul>
23. Is that initial report of suspected abuse recorded in an electronic database?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Notes field for any details offered.</li> </ul>
24. If yes, is the initial data entry into a state, county, or other database?	<ul style="list-style-type: none"> <li>• State</li> <li>• County</li> <li>• Other (specify _____)</li> <li>• Notes field for any details offered</li> </ul>
25. REVIEW. What is the highest level agency where those <b>individual reports</b> get submitted to, regardless of whether they are paper or electronic records? What's the name of the agency/division that houses those records? <i>Note: County , regional, or local offices of a state agency should be classified as state.</i> <i>Probe: Are the staff employees of the state, county, or another organization?</i>	<ul style="list-style-type: none"> <li>• State (agency name _____)</li> <li>• County (agency name _____)</li> <li>• Other (agency name _____)</li> <li>• Notes field for any additional detail offered by respondent.</li> </ul>
26. How many agencies would we need to contact to obtain full statewide data about initial reports of suspected abuse?	<ul style="list-style-type: none"> <li>• Enter number (1 if a single state agency, more if counties or other entities involved)</li> </ul>
27. Are you the best, central point of contact to speak with about the specific types of information collected in these initial reports?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>
28. If no, please suggest another contact person	<ul style="list-style-type: none"> <li>• Name</li> <li>• Title</li> <li>• Agency (confirm if same agency as where the data are housed)</li> </ul>

**Question****Response Categories**

*Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.*

29. If multiple agencies (e.g., counties or regions) where can I get contact information for each agency?

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- Enter text

## D. Scope of APS investigations & extent of within-state variation

Now I would like to ask about the scope of cases that APS agencies in your state investigate, starting with the information on your state's summary sheet. *(Information on the state summary form will already populate the responses below. Briefly review the information to confirm its accuracy and modify as necessary.)*

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
30. REVIEW What <level> agency conducts APS investigations? <i>Note: County , regional, or local offices of a state agency should be classified as state.</i> <i>Probe: Are the investigators employees of the state, county, or other agency?</i>	<ul style="list-style-type: none"> <li>• State</li> <li>• County</li> <li>• Other (specify _____)</li> </ul>
31. REVIEW Confirm or ask (if other): What's the age range of clients served by APS?	<ul style="list-style-type: none"> <li>• Text</li> </ul>
32. REVIEW From looking at state legislation, it seemed to us that APS does/does not routinely investigate self-neglect. Is that correct?	<ul style="list-style-type: none"> <li>• APS investigates self-neglect</li> <li>• No</li> <li>• Notes field for any clarification offered (e.g., if APS investigates some but not all self-neglect cases)</li> </ul>
33. REVIEW From the NAPSA survey, we gathered that APS does/does not routinely investigate facility-based abuse. Is that correct?	<ul style="list-style-type: none"> <li>• APS investigates facilities</li> <li>• No</li> <li>• Notes field for any clarification offered (e.g., if APS co-investigates with another agency, or if a subset of facilities are investigated by another agency)</li> </ul>
34. What types of abuse are exclusively investigated by agencies other than APS?	<ul style="list-style-type: none"> <li>• APS investigates all types of abuse</li> <li>• Some types of abuse are exclusively investigated by other agencies</li> </ul>



**Question****Response Categories**

*Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.*

35. Please specify the other agencies and the types of cases they investigate.

For each non-APS agency or case type:

- Name of the non-APS agency
- Whether it is a state, county or other type of agency (specify)
- The purview of its investigations (may include some predefined categories such as institutions or financial abuse)  
*For example, Department of Health = state agency = investigates abuse in licensed facilities*

36. At what level are the criteria for opening an APS investigation set?

- State
- County
- Other (Specify \_\_\_\_\_)

37. How does APS decide which reports to investigate?

- Enter text

38. REVIEW. How much discretion do local areas have to decide which reports will have an investigation opened? For example, would the same set of circumstances result in a case being opened in two completely different parts of the state?

- Same criteria across state
- Local areas have discretion within statutory parameters

*Probe if yes, uniform criteria: Do you mean that the statutory criteria are the same across the state? Do local areas have discretion within those parameters? Do some local areas use wider or narrower case opening criteria than others?*

39. Is it fair to say there are **potentially ### sets of criteria for opening an APS investigation** in your state?

- Enter number (1 if uniform criteria are used throughout the state, more if there are different sets of criteria. Use maximum number of local units if each one can make its own case selection rules. )

## E. Data on APS investigations opened

The next questions focus on data about the investigations that APS opens. (*Information on the state summary form will already populate the responses below. Briefly review the information to confirm its accuracy and modify as necessary.*)

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
40. When APS opens an investigation, is that recorded in an electronic database?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Notes field to record any additional detail offered by respondent.</li> </ul>
41. If yes, is the initial data entry into a state, county or other database? <i>Note: County , regional, or local offices of a state agency should be classified as state.</i> <i>Probe: Are the staff employees of the state, county, or another other organization?</i>	<ul style="list-style-type: none"> <li>• State</li> <li>• County</li> <li>• Other (specify _____)</li> <li>• Notes field for any other detail offered by respondent.</li> </ul>
42. REVIEW. What is the highest level agency that those <b>individual records on new APS investigations</b> get submitted to? What's the name of the agency/division that houses those records? <i>Note: County , regional, or local offices of a state agency should be classified as state.</i> <i>Probe: Are the staff employees of the state, county, or another organization?</i>	<ul style="list-style-type: none"> <li>• State (agency name _____)</li> <li>• County (agency name _____)</li> <li>• Other (agency name _____)</li> <li>• Notes _____                (e.g., if respondent specifies that state receives a subset of fields collected locally)</li> </ul>
43. How many agencies would we need to contact to obtain full statewide data about investigations opened by APS?	<ul style="list-style-type: none"> <li>• Enter number (1 if a single state agency, more if counties or other entities involved)</li> </ul>
44. Are you the best, central point of contact to speak with about the specific types of information recorded about APS investigations?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>
45. If no, please suggest another contact person	<ul style="list-style-type: none"> <li>• Name</li> <li>• Title</li> <li>• Agency (confirm if same agency as where the data are housed)</li> </ul>

**Question****Response Categories**

*Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.*

46. If multiple agencies (e.g., counties or regions) where can I get contact information for each agency?	<ul style="list-style-type: none"><li>• Enter text</li></ul>
47. How often do law enforcement officers, like police or sheriffs' deputies, participate in or continue an APS investigation (beyond accompanying an APS worker for safety reasons). <i>Read choices aloud.</i>	<ul style="list-style-type: none"><li>• Rarely or almost never</li><li>• Less than half the time</li><li>• About half the time</li><li>• More than half the time</li><li>• Almost always</li></ul>
48. Are there particular types of cases when this happens? <i>Probes: What types of cases require such involvement?</i>	<ul style="list-style-type: none"><li>• Notes field for added description</li></ul>
49. How often do prosecutors participate in or follow up on an APS investigation. For example, by launching a criminal investigation and/or pressing charges. <i>Read choices aloud.</i>	<ul style="list-style-type: none"><li>• Rarely or almost never</li><li>• Less than half the time</li><li>• About half the time</li><li>• More than half the time</li><li>• Almost always</li></ul>
50. Are there particular types of cases when this happens? <i>Probes: What types of cases require such involvement?</i>	<ul style="list-style-type: none"><li>• Notes field for added description</li></ul>

## F. Data on APS investigative outcomes

This next to last set of questions is about when APS makes a finding or otherwise concludes a case. *(Information on the state summary form will already populate the responses below. Briefly review the information to confirm its accuracy and modify as necessary.)*

<b>Question</b> <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	<b>Response Categories</b>
51. When APS closes an investigation, are the date and findings recorded in an electronic database?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Notes field for any other detail offered</li> </ul>
52. If yes, is that initial data entry into a state, county or other database? <i>Note: County , regional, or local offices of a state agency should be classified as state.</i> <i>Probe: Are the staff employees of the state, county, or another other organization?</i>	<ul style="list-style-type: none"> <li>• State</li> <li>• County</li> <li>• Other (specify _____)</li> <li>• Notes field for any other detail offered</li> </ul>
53. REVIEW. What is the highest level agency that those <b>individual records with APS determinations and case outcomes</b> get submitted to? What's the name of the agency/division that houses those records? <i>Note: County , regional, or local offices of a state agency should be classified as state.</i> <i>Probe: Are the staff employees of the state, county, or another organization?</i>	<ul style="list-style-type: none"> <li>• State (agency name _____)</li> <li>• County (agency name _____)</li> <li>• Other (agency name _____)</li> <li>• Notes _____  <i>(e.g., if respondent specifies that state receives a subset of fields collected locally)</i></li> </ul>
54. How many agencies would we need to contact to obtain full statewide data about the determinations or outcomes of APS investigations?	<ul style="list-style-type: none"> <li>• Enter number (1 if a single state agency, more if counties or other entities involved)</li> </ul>
55. Are you the best, central point of contact to speak with about the specific types of information recorded about APS determinations?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>
56. If no, please suggest another contact person	<ul style="list-style-type: none"> <li>• Name</li> <li>• Title</li> <li>• Agency (confirm if same agency as where the data are housed)</li> </ul>

**Question****Response Categories**

*Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.*

57. If multiple agencies (e.g., counties or regions) where can I get contact information for each agency?

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- Enter text

## G.Recap & recommendations for 2014 online survey

Thank you. We're just about done. I'd like to do a final review of what I've learned.

Question <i>Items marked REVIEW are from the summary of background research. Our data entry form will already be populated and the information briefly confirmed.</i>	Response Categories
58. REVIEW. Please review the summary on the background information sheet. Is that generally accurate? What needs to be corrected?	<ul style="list-style-type: none"> <li>• Enter text</li> </ul>
59. REVIEW. Based on what we discussed, it sounds like our initial estimate of APS agencies to survey was right/wrong. Would you agree that surveying the state plus ## counties / regions / localities would get at the full range of how decisions are made to open cases, and where data are housed. <i>Recap #13-15, 23-24, 40-41 and 47-48</i>	<ul style="list-style-type: none"> <li>• Enter number 1 for state agency</li> <li>• Enter 0-## localities and specify unit of analysis</li> <li>• Auto-calculate total number of surveys</li> </ul>
60. REVIEW. Would you be the most appropriate person at the state level to participate in our online survey about data capabilities? If not, please suggest an alternate contact person.	<ul style="list-style-type: none"> <li>• Name of state contact</li> <li>• Title of state contact</li> <li>• Agency of state contact</li> </ul>
61. REVIEW. If local surveys are needed: What is the best place to find out contact information for the local agencies?	<ul style="list-style-type: none"> <li>• Enter local area contacts</li> </ul>

This has been very informative. Thank you again for your time. I'm going to send you a summary of my call notes within the next day or two, so you have an opportunity to review this and point out any inaccuracies. Please do not hesitate to contact me if you have any follow up questions or concerns. Again, my name is \_\_\_\_\_, and you can reach me at <phone number> or <email>.

*Record Interview End Time:* \_\_\_\_\_