

Appendix A: Inventory of Adult Protective Services Practices and Service Innovations

APS Practice Survey

Purpose of Survey

Under a contract with the Administration for Community Living (ACL), the national Adult Protective Services Technical Assistance Resource Center (APS TARC) is conducting a national program evaluation of adult protective services (APS) programs. As part of this evaluation, this survey has three primary objectives:

- Identify practice variations in the way APS programs serve older adults and adults with disabilities (vulnerable adults).
- Identify practice barriers to meeting policy mandates.
- Identify practice innovations and model programs that address such barriers and community-identified needs.

While participation is voluntary, the goal is to have all states, district and territories complete the survey to develop a complete picture of APS programs across the country.

Scope

This is a survey of APS programs in states, the District of Columbia, and U.S. territories. This includes investigations conducted by APS programs in the community and of providers (e.g., nursing facilities). This survey does **NOT** apply to activities conducted by licensing/regulatory agencies, even if those activities include investigation of abuse, neglect, and exploitation.

Instructions

Geographic Variation

This survey is designed to be completed by state APS programs about the overall state program. Some APS programs are state administered, and some are administered through counties or other local units of government. There can be tremendous variation in practice across geographic jurisdictions, particularly within county administered programs but also within state administered programs. In many of the questions, this survey seeks to determine how consistent practice is across geographic jurisdictions in a state.

Some questions ask about practice specifically on a **statewide level**. If a question begins with “Across the state or territory...”, answer it based on general practice across the state to the best of your knowledge. Throughout the survey, “statewide” refers to practice across the state or territory.

Some questions ask about **the extent to which a practice varies in a state or territory** by using the following categories of responses:

- All local offices statewide
- A majority of local offices
- Few local offices
- No local offices
- Don't know

If a statewide policy guides a practice for a particular response, then select “All local offices statewide.” If there is no statewide policy, then answer based on the best of your knowledge about geographic variability.

Consistency of Responses Within a Question

A single question may have multiple responses. In some questions, the selection of one response may dictate how the following responses should be answered. These questions are indicated by the following parenthetical reminder following the question: (Please ensure responses are consistent with each other.) In particular, when you select that a practice is statewide in one response, this may dictate how you should answer the additional responses. For example, in a question about use of assessment tools, if you indicate that a **specialized** assessment tool is used statewide in one response, then you would most likely indicate that a **general** assessment tool is used in no local offices in the next response. Pay special attention to the use of the word “only” in responses, which would impact the selection in the next response.

General Instructions

Avoid selecting “Don't Know” by making your best guess or, if possible, discussing the question with other state, territory, or local staff that may have insight.

The survey includes many questions about the use of “tools”. A tool is more than simply a form to collect information; it is a structured document or process designed to assist the worker with decision-making at critical case junctures, such as evaluation of client cognitive capacity or level of risk.

Preparing to Complete the Survey

This survey is being sent to the APS administrator in each state and territory. It is not intended to be completed by county-level staff.

Please designate a single point of contact to work with the APS TARC and coordinate with all necessary state and local staff to determine survey responses.

The survey is divided into sections covering five aspects of APS programs: Administration, Intake, Investigation, Post-Investigation Services, and Quality Assurance. Some questions are repeated for each section and should be answered in the context of that aspect of APS practice.

The estimated time to complete the survey is three and half hours, including time to research and compile the responses.

Survey Navigation and Instructions

- Text may be pasted into text boxes or entered directly.
- Questions with asterisks require a response. You will not be able to move on to the next section until you have responded to these questions.
- To the extent possible, avoid leaving questions blank or skipping questions that are not required.

- Your responses in the web survey will be saved each time you advance to a new page. Your data will remain intact, should you need to exit the survey and return. [Additional explanation may be needed once the survey is programmed.]
- A pdf copy of the entire survey was emailed with the request to complete the survey. Please use it to assist with preparing responses.

Assistance with the Survey

Please direct questions about the survey to the APS TARC at apstarc-ta@acl.hhs.gov.

Thank you in advance for your participation in this important survey.

Paperwork Reduction and Privacy

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Respondent identities and information will be kept private to the maximum extent allowable by law and the APS TARC Evaluation team will not attribute specific information provided to any individual providing a state response.

Background Information

*Please provide contact information for the person completing this survey. Except for the state name, this information will be used only for response clarification and will be not be associated with the final data set.

- State
- Name
- Title
- Agency Name
- Email
- Phone #

1. Administration of APS

Introduction and Terminology

This component of the survey collects information about the overall administration and workforce of APS program(s) and services. The terms **state or territory office** and **local office** are used regardless of whether there is a statewide program with service delivery at the local level or multiple local programs.

1.1.* Please select the response which best describes how APS is conducted in your state or territory. [Select one]

- State or Territory APS employees conduct investigations
- Local (e.g., city/county) APS government employees conduct investigations
- Local non-government (e.g., contract) employees conduct investigations
- Other (please explain): _____

1.2. How much control does the APS state or territory office have over local APS programs? [Select one]

- Limited: The state or territory office provides guidance but few if any requirements; local offices have discretion over most areas of casework practice.
- Moderate: The state or territory provides a framework of requirements; local offices have discretion over some areas of casework practice.
- Significant: The state or territory provides a framework of requirements; local offices have discretion over only few areas of casework practice.

1.3. Across the state or territory, how does the state or territory office affect casework practice and support local offices? [Check all that apply]

- Conducts training programs
- Establishes training requirements
- Establishes policy that must be followed
- Provides some infrastructure supports such as information technology
- Provides expert consultation
- Administers funding and contracts
- Conducts research and evaluation
- Conducts performance monitoring/quality assurance
- None of the above
- Don't know
- Other (please explain): _____

1.4. Across the state or territory, what is the minimal education requirement for APS investigation staff? [select one]

- None
- High School Diploma
- Associate Degree
- Bachelor's Degree
- Master's Degree or equivalent experience

- Varies by locality
- Don't know

1.5. Across the state or territory, which of the following most accurately describes APS investigation staff? [Select one]

- All investigation staff work only on APS cases
- Some investigation staff work only on APS cases while others may have responsibilities in other programs, such as Child Protective Services (CPS)
- No investigation staff work only on APS cases; all work on other investigations also
- Don't know
- Other (please explain): _____

1.6. Across the state or territory, how does the APS program protect the safety of APS investigators? (Note: this does not apply to personal health but physical safety.) [Select all that apply.]

- Law enforcement or other officials routinely accompany staff if needed
- APS investigative staff must be accompanied by other staff in certain circumstances to enhance safety.
- All staff use cell phones or other technology with specific safety-related features or functions.
- APS investigative staff are restricted from conducting visits during certain times of the day
- All staff receive training on safety
- All staff utilize a tracking system (calendar, flow board, etc.) to indicate their location throughout the day
- None of the above
- Don't know
- Other (please explain): _____

1.7. Does the APS program support the use of remote workers in each of the following ways?

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Policy that allows for teleworking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provision of tools – such as mobile technology and remote access to IT systems – that support remote work..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff have the flexibility to do different types of work in different settings (e.g., documentation work at home).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Click or tap here to enter text.

1.8. Does the APS worker training process include the following components or phases?

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Orientation to the job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervised fieldwork	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Core competency training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advanced or specialized training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.9.* Please describe any significant barriers or obstacles to successful program administration as defined in the questions in this section.

Example 1: _____

Example 2: _____

Example 3: _____

1.10. Please describe any significant barriers or obstacles to hiring and retaining a quality workforce.

Example 1: _____

Example 2: _____

Example 3: _____

1.11.* Please describe any significant improvements or innovations in administrative practice introduced during the last three years. The innovations or improvements do not need to be statewide.

Example 1: _____

Example 2: _____

Example 3: _____

1.12 Please describe any significant improvements or innovations in hiring and retaining workforce introduced during the last three years. The innovations or improvements do not need to be statewide.

Example 1: _____

Example 2: _____

Example 3: _____

2. Intake

Instructions

For the purposes of this survey, intake (also known as pre-screening) is defined as the process of receiving reports of allegations of maltreatment, gathering information on the reports, reviewing reports to determine if they are appropriate for investigation (or referral to another agency), and assigning reports to staff for investigation. This step precedes the investigation.

2.1. Where are reports alleging maltreatment of adults received?

- Primarily at the state or territory level for the entire state or territory and then assigned to local offices
- Primarily at the local level for the local community
- Both at the state or territory and local level

2.2. Does the state or territory mandate use of a common intake form or checklist for all offices receiving reports?

- Yes
- No

2.2a. If yes, please provide the name of the intake tool and a brief description:

2.3. Does APS accept reports with each of the following methods? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Only General APS phone line for intake and other purposes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dedicated intake phone line with live personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dedicated intake phone line with recorded message	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intake office/walk-in	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Online reporting form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fax	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.3a. What hours does the state or territory dedicated intake phone line operate? [select one]

- 24/7
- Only during normal business hours
- Normal business hours with limited weekend hours
- Don't know
- Other, please describe:

2.4. Is the intake process for only the APS program or does it include other programs? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
APS only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS and other programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.5. What type of staff conduct intakes? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Only APS investigation staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Only dedicated intake specialists	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Both dedicated specialists and APS staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.6. What type of staff make the intake determination (i.e., whether to refer an intake for investigation, refer an intake for information or referral, or screen out the intake)? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Dedicated intake specialists (if used)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intake Supervisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS Investigation staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.7. What type of staff routinely assign reports to investigation staff? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Intake staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intake Supervisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.8. Does APS have partnership arrangements (including formal agreements or projects) with the medical community to help ensure reporting of maltreatment? (Examples would include out-stationing APS staff with medical providers or use of multi-disciplinary teams that may result in reporting.)

- Yes, there is a statewide partnership
- Varies, some localities have partnerships and some do not
- No, there are no partnerships
- Don't know

2.9. Does APS have partnership arrangements (including formal agreements or projects) with the financial community (e.g., banks) to help ensure reporting of maltreatment? (An example would include training for bank personnel or agreed upon protocols for reporting financial abuse.)

- Yes, there is a statewide partnership
- Varies, some localities have partnerships and some do not
- No, there are no partnerships
- Don't know

2.10 Please describe any variations in intake practices designed for specific populations, such as persons with disabilities or residents of facilities, served by the APS program.

2.11.* Please describe the most significant obstacles or problems in your intake process.

Example 1: _____

Example 2: _____

Example 3: _____

2.12.* Please describe the most significant improvements or innovations you have implemented in your intake process in the last three years. The innovations or improvements do not need to be statewide.

Example 1: _____

Example 2: _____

Example 3: _____

3. Investigation

Instructions

For this survey, an investigation is defined as the process for gathering information in the field to make a finding about an allegation of abuse, neglect (including self-neglect), or exploitation, whether by a member of the community or by a provider, and collecting information for planning needed services for the client. A client is defined as the alleged or actual victim who is the subject of the investigation.

The questions in this section are organized according to following categories of investigatory activities:

- Initiating the investigation
- Assessing the client’s circumstances
- Interviewing client, alleged perpetrators, and collaterals
- Consulting with supervisors and appropriate experts and teams
- Determining findings and communicating results
- Making service recommendations

Investigatory activities within these categories may overlap and differ from jurisdiction to jurisdiction.

3.1.* Do you face any significant obstacles or problems in any of the following categories of APS investigatory practice? The obstacles or problems do not have to be statewide.

- a. Initiating the investigation Yes No
If yes, describe: _____

- b. Assessing the alleged victim’s circumstances Yes No
If yes, describe: _____

- c. Interviewing clients, alleged perpetrators, and collaterals Yes No
If yes, describe: _____

- d. Consulting with supervisors and appropriate experts and teams Yes No
If yes, describe: _____

- e. Determining findings and communicating results Yes No
If yes, describe: _____

- f. Making service recommendations Yes No
If yes, describe: _____

3.2.* Have you made any significant improvements or innovations during the last three years in any of the following categories of APS investigatory practice? The innovations or improvements do not need to be statewide.

- a. Initiating the investigation Yes No
If yes, describe: _____

- b. Assessing the alleged victim’s circumstances Yes No
 If yes, describe: _____
- c. Interviewing clients, alleged perpetrators, and collaterals Yes No
 If yes, describe: _____
- d. Consulting with supervisors and appropriate experts and teams Yes No
 If yes, describe: _____
- e. Determining findings and communicating results Yes No
 If yes, describe: _____
- f. Making service recommendations Yes No
 If yes, describe: _____

3.3. Please describe any variations in investigation practices designed for specific populations, such as persons with disabilities or residents of facilities, served by the APS program.

3.4. Which of the following methods do APS investigative staff use to assess the emergency and/or immediate safety needs of clients? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Professional judgment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An emergency/safety assessment tool	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A general assessment tool, not specific to emergency/safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.4.a. If applicable, please provide the name and a brief description of the emergency/safety assessment tool or general assessment tool: _____

3.5. When the APS investigation determines an emergency intervention is necessary to address immediate safety or emergency needs, which of the following emergency interventions are available to APS investigative staff?

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Emergency out-of-home placement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS purchase of good or services such as medicine or utility bills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Immediate access to petitioning for temporary/emergency orders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: <i>Click or tap here to enter text.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Explanatory Note for Questions 3.6 and 3.7: One of the key aspects of an APS investigation is the assessment of the client. The following questions ask about which aspects of client health and well-being are **systematically assessed** by a defined process.

3.6. Which are of the following aspects of the client’s health and well-being are APS investigation staff required to systematically assess?

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Informal support systems (e.g., family caregiving)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formal support systems (e.g., arranged social service supports)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physical health status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental conditions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Specific client goals to address the abuse, neglect (including self-neglect) or exploitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.7. Across the state or territory, indicate how APS investigation staff are trained or equipped to assess the client's health and well-being in each of the areas listed below.

- Only general social work training
- Only specific APS training
- Use of an assessment tool
- Other (please describe)

3.7.a. (If "Use of assessment tool" is selected) Please provide the name and brief description of the assessment tool(s):

3.8. When APS investigation staff assess the physical health and well-being of the client, what medical staff are available, either on staff or consulting basis, to assess or assist with the assessment of health status of the client?

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Nurses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nurse practitioners/physician assistants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physicians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health professionals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.8.a (if “All Local Offices Statewide” is selected) Are these staff available as part of a forensic medical network available across the state or territory?

- Yes No

Explanatory Note for Questions 3.9 and 3.10:

Cognitive Capacity - an assessment of the individual's abilities to form rational decisions, specifically the individual's ability to understand, appreciate, and manipulate information and form rational decisions.

Competency - a legal term referring to individuals “having sufficient ability... possessing the requisite natural or legal qualifications” to engage in a given endeavor, as determined by a court.

3.9. If the APS investigative staff believes the client may have a reduced cognitive capacity, how do they conduct an initial screening of cognitive capacity? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority Of Local Offices	Few Local Offices	No Local Offices	Don't Know
As part of general assessment of well-being only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use a assessment tool/process specific for assessing cognitive capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.9.a If a specific assessment tool/process for assessing cognitive capacity is used across the state or territory, please provide the name and a brief description:

3.10. If the initial assessment of the client indicates reduced cognitive capacity, which of the following resources does the APS program use to inform the court’s determination of the legal competency of the client? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
APS does not help assess competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS has licensed professionals on staff to help assess competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS has contracts with licensed professionals to help assess competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS reaches out to non-contract community professionals to help assess competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS staff rely only on a tool to assess competency.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.11. Across the state or territory, how does APS ensure high quality interviews by investigative staff? [select all that apply]

- Teach interview skills in APS investigator orientation training
- Provide specialized, focused in-service training on interview skills on a regular basis
- Other, please specify: _____
- None of the above

3.12. Which of the following describes APS participation with multi-disciplinary teams? [select one]

- It is a state- or territory-mandated requirement for the APS program
- It is not a state- or territory-mandated requirement, but certain local offices participate in them

3.13. Across the state or territory, how does APS decide what types of cases are referred to multi-disciplinary teams? [Select one.]

- Caseworker/supervisor decide based on case complexity
- Based on pre-defined criteria that certain types of cases are referred
- Based on the high-profile nature of the case (e.g., a case with media attention)

- Other, please specify: _____
- Not applicable, APS does not participate in MDTs in this state or territory

3.14. Please indicate which of the following investigation interview protocols or standards are used. (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Interviews are electronically recorded	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interviews are documented with exact quotes in documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interviews are summarized in documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interviews are summarized in signed interview statements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interviews are not documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.15. Please indicate which of the following investigation evidence collection protocols or standards are used. (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
APS investigators collect and preserve physical evidence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS investigators document – making copies or taking photographs - physical evidence but do not collect and preserve it	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS does not collect or document physical evidence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.16. Does APS have protocols or partnership agreements with any of the following communities to improve investigations through coordination and access to records?

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Medical community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Law enforcement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other community: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.17. Across the state or territory, which of the following organizations does the APS state or territory office have written agreements (such as a memorandum of understanding) with related to investigations in congregate/provider settings (e.g., nursing facilities, home health agencies)? [Select all that apply.]

- APS program does not investigate in congregate or provider settings
- State Long-term Care Ombudsman
- State licensing programs or other regulatory bodies
- Law enforcement
- Medicaid Fraud Control Unit
- Protection and Advocacy agency
- Tribal communities
- Other, please specify: _____

3.18 In which of the following areas do APS investigative staff have access to expert consultation resources/professionals from outside the APS program?

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Legal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Medicine	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental/behavioral health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forensic science	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forensic accounting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Finance/accounting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cultural competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Domestic violence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.19. Across the state or territory, are there any local offices in which the following types of specialized APS units or staff are available? [Select all that apply.]

- Units/staff focused on allegations of financial exploitation
- Units/staff focused on allegations involving congregate settings or other provider investigations
- Units/staff focused on other specific types of investigations, please specify
- Legal counsel
- None of the above
- Units/staff focused on other specific types of investigations, please specify:

3.20. Across the state or territory, what is the degree of supervisor involvement at each of the following case junctures?

	Involved In All Cases	Involved In Some Cases	Involved In Few or No Cases	Don't know
Intake	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Case assignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investigation planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If legal intervention is being considered	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Determining the investigation findings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service provision planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
At case closure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.21. Across the state or territory, what types of notice and review does APS provide to the perpetrator? [Select all that apply.]

- Notification of allegations in all investigations
- Notification of disposition decision in all investigations
- When requested and allegations are substantiated, administrative review of the findings by program staff such as a supervisor
- When requested and allegations are substantiated, judicial review of the findings by a hearing officer or court
- No notice or review given in any cases
- Other, please specify: _____

3.22. Across the state or territory, does the APS program make distinctions in the types of notice and review provided to perpetrators depending on the type of the alleged perpetrator (e.g., family member or professional)?

- Yes
- No

3.22.a. If yes, describe the notice and review:

3.23. Across the state or territory, does APS have a formalized practice, process, or tool for determining findings of an investigation?

- Yes
- No

3.23.a. If yes, describe the notice and review:

Explanatory note for 3.25 through 3.26: For purpose of this survey, the planning of services to address abuse, neglect (including self-neglect), or exploitation is considered part of the investigation. Delivery of services is covered in the post-investigative services section.

3.24. To ameliorate factors contributing to abuse, neglect (including self-neglect) or exploitation, does APS provide or arrange for services for the following:

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Alleged victims	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substantiated victims	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Perpetrators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Caregivers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.25. How do APS staff decide whether services are needed to address the abuse, neglect (including self-neglect) or exploitation? (Please ensure responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
APS staff use a tool that determines whether services are needed. Please provide the name and a brief description of the tool:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS staff use only professional judgment to determine whether services are needed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS staff use specific criteria to determine whether services are needed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS staff consult with legal or other experts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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3.26. Which of the following methods does APS use to develop service plans? (Please ensure the first two responses are consistent with each other.)

	All Local Offices Statewide	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Develop formal (e.g., documented, written) service plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use a specific service planning tool. Name of tool: <u>Click or tap here to enter text.</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use input from the client to help identify the appropriate interventions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use input from family members/caregivers to help identify appropriate interventions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use a structured approach to consider the client's concepts of safety and good outcomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use a structured approach for the client to help identify the factors that influence intervention risk and needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The client formally agrees to the plan by signing it or by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: <u>Click or tap here to enter text.</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Post-investigation/Services

Introduction

The following questions explore how the APS program provides or arranges for services to ameliorate maltreatment after an investigation is complete.

- 4.1 Does APS provide post-investigation services as defined in the introduction to this section? [Select one.]
- Yes, in all local offices statewide
 - Yes, in a majority of local offices
 - Yes, in a few local offices
 - No, in no local offices
 - Don't know
- 4.2 Are there specialized APS staff that are responsible for only post-investigation services and not conduct investigations? [Select one.]
- Yes, in all local offices statewide
 - Yes, in a majority of local offices
 - Yes, in a few local offices
 - No
 - Don't know
- 4.3 Does APS purchase services directly for clients? [Select one.]
- Yes, in all local offices statewide
 - Yes, in a majority of local offices
 - Yes, in a few local offices
 - No
 - Don't know

4.4. Across the state or territory, for each of the following services for APS clients, please select the mechanism by which services are primarily available.

	Provided Directly By APS Staff	Purchased By APS	Referred By APS	Varies By Locality	Is Not Available
Representative Payee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Money management/financial planning services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In-home support services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Medical services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Placement in a licensed facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Caregiver support services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community day services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Emergency financial assistance and material aid services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Housing and relocation services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dental services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Medical rehabilitation services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nutrition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substance use services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental services (i.e., cleanup of house/yard)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other services: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.5. Which of the following alternatives to guardianship are encouraged based on training and/or policy?

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Substitute decision-makers in which someone assumes responsibility to make decisions for a person who is not able to make his or her own financial or health care decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supported decision-making which is a process of supporting and accommodating an adult with a disability to enable the adult to make life decisions, such as living and work arrangements and services, supports, and medical care the adult wants to receive, without impeding the self-determination of the adult.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Power of Attorney	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advanced directives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other alternatives: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.6. How does APS monitor the status of clients receiving post-investigation services provided directly or arranged by APS? (Please ensure responses are consistent with each other.)

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
The status of clients receiving services is not monitored	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS staff make contacts directly with clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providers, not APS, make contacts directly with clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Click or tap here to enter text.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.7. How do APS staff determine the frequency/amount of contacts for monitoring post-investigation service provision and status of clients? (Please ensure responses are consistent with each other.)

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
The number of contacts is based only on professional judgment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All clients receive the same number of contacts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The number of contacts is based on an assessment tool	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: <u>Click or tap here to enter text.</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.7.a. Please provide the name and a brief description of the assessment tool:

4.8. What is the relationship of the APS program to guardianship services? (Please ensure responses are consistent with each other.)

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
APS staff may be appointed as emergency/temporary guardians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS may petition for guardianship but may not serve as guardians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS staff may be appointed as permanent guardians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS contracts with guardianship providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS makes referrals to public guardianship programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS makes referrals to private guardianship programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APS does not involve itself in guardianship proceedings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.9. Please describe any variations in practices for post-investigation services designed for specific populations, such as adults with disabilities or investigations of facilities, served by the APS program: _____

4.10.* Please describe the most significant current obstacles or problems in your post-investigation services.

Example 1: _____

Example 2: _____

Example 3: _____

4.11.* Please describe the most significant improvements or innovations that you have made in your post-investigation services in the last three years. The innovations or improvements do not need to be statewide.

Example 1: _____

Example 2: _____

Example 3: _____

5. Quality Assurance

For this survey, quality assurance is the process of ensuring that staff practices meet standards set by the program. Quality assurance involves the documentation, supervision, review, and improvement of activities and functions conducted by program staff.

5.1. Which of the following methods does APS use to ensure high quality casework?

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Standardized documentation requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Periodic review of all or a subset of documentation by supervisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Frequent supervisory interaction with all caseworkers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
"Case staffings" such as periodic review of documentation in a subset of cases by staff other than a worker's direct supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Systematic review of a subset/sample of cases by independent case reviewers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.1.a. Across the state or territory, does APS use a standard form to conduct systemic review of cases:

- Yes
- No

5.1.b. Please provide a brief description of the standard form to conduct systemic review of cases:

5.2. What specific aspects of casework are supervisors required to approve?

	All Local Offices	A Majority of Local Offices	Few Local Offices	No Local Offices	Don't Know
Screen out (not accept) a report for investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disposition of an allegation of maltreatment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Referring a case to law enforcement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal interventions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Keeping investigations open for longer periods of time than typical	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Case closure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.3. Across the state or territory, how does APS use data to manage/improve performance? [Check all that apply.]

- Assess individual worker quality or performance as part of performance review
- Assess overall program performance (e.g., repeat case rate, caseloads) against established goals or benchmarks
- Assess the quality of critical aspects of casework (e.g., case duration, timelines of case initiation) against defined performance standards
- Assess the effectiveness of policy and practice changes
- Report on performance to external and/or internal stakeholders (e.g. legislators, public annual report)
- Data is not used for performance management/improvement at the state or territory level

5.4. Which of the following describes use of elder death review teams by APS? (An elder death review team is responsible for reviewing all or a sample of cases with deceased clients to determine how to improve APS practice.) [Select one.]

- It is a state- or territory-mandated requirement
- It is not a state- or territory-mandated requirement but voluntarily used by the APS program
- None exist in the state or territory

5.5. At the state/territory level, which of the following results of APS investigations does the APS program **routinely** monitor or track to assess the impact of the program on client's outcomes? [Select all that apply.]

- If the client is safe and no longer in state of abuse, neglect (including self-neglect), or exploitation
- How many clients receive guardianship
- How many clients receive placement in a facility
- How many perpetrators removed and/or referred to law enforcement
- How many referrals were made to regulatory programs to address provider concerns
- Repeat investigations of clients
- Recidivism of perpetrators
- Other

5.6.* Please describe the most significant current obstacles or problems in your quality assurance process?

Example 1: _____

Example 2: _____

Example 3: _____

5.7.* Please describe the most significant improvements or innovations that you have made in your quality assurance process in the last three years? The innovations or improvements do not need to be statewide.

Example 1: _____

Example 2: _____

Example 3: _____
