THE OHIO STATE UNIVERSITY

COLLEGE OF
EDUCATION AND HUMAN ECOLOGY

Ohio's Adult Protective Services System: Methodological Appendix to the Assessment Report

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This document includes appendices to the Ohio Adult Protective Service System: Assessment Report. As a methodological appendix, it includes technical details of how the research team collected and analyzed data for the report.

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Appendix A: Survey of Ohio Adult Protective Services

We conducted an online Survey of Ohio's APS programs (SOAPS) to understand the diversity of their organizational characteristics, practices, and resources and how they each relate to one another.

Developing the survey instrument

To develop the survey instrument, we reviewed previous examples of studies from the research literature as well as examples from practice.[1] We also consulted with our ODFJS partners and sought feedback from external experts around the country, including Andy Capehart, Leslie McGee, Gila Shusterman and Karl Urban of WRMA and Associates.   Given the absence of standard, psychometrically validated survey measures of APS programs, we developed our own or adapted them from other sources.[2]

The survey focused on three topics: (1) program characteristics (e.g., how many APS staff share duties with other programs?); (2) APS practices (e.g., how often do staff help clients set or meet their own goals?); and (3) available resources (e.g., annual budget)

We kept the survey as short as possible, intending it to take less than 20 minutes to complete online. Towards this end, we programmed skip patterns to help respondents avoid questions that were irrelevant to them. A copy of the final instrument is appended to the end of this appendix.

Survey administration

Once the final instrument was approved by our research team and ODJFS partners, we published it on OSU's Qualtrics platform. We enabled distribution to each eligible respondent with a unique URL so we could tailor emails only to those for whom the message was relevant.

On May 8, 2020, Heidi Turner-Stone (Section Chief of ODJFS's APS Unit) sent a message to all the Directors of County Job and Family Service agencies (CDJFS), notifying them of the upcoming

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[1] Wolf RS, Godkin MA, Pillemer KA. *Elder abuse and neglect: Final report from three model projects.* Worcester, MA: University of Massachusetts Medical Center; December 1984.

Wold K. *Adult protective services specialists in Texas: Perceptions of three factors affecting turnover.* Masters thesis. Texas State University Department of Political Science; 2010.

Teaster PB, Dugar TA, Mendiondo MS, Abner EL, Cecil KA, Otto JM. *The 2004 Survey of State Adult Protective Services: Abuse of Adults 60 Years of Age and Older.* Washington, D.C.: National Center on Elder Abuse; 2006.

Reynolds SL, Schonfeld L. Using Florida's Adult Protective Services data in research: Opportunities and challenges. *Journal of Elder Abuse & Neglect.* 2004; 16:1–27.

Goodrich CS. Results of a national survey of state protective services programs: Assessing risk and defining victim outcomes. *Journal of Elder Abuse & Neglect.* 1997; 9:69–86.

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[2]

survey. This was followed by a nearly identical message sent by both Heidi Turner-Stone and Kenneth Steinman on May 20, 2020 to the survey respondents. The message appears below:

Dear [name]:

As you may have heard, the Ohio State University (OSU) is working with the Ohio Department of Job and Family Services (ODJFS) to study the state's adult protective service (APS) system. This is not an evaluation, but an opportunity to learn about the different models and practices that local APS programs are using to serve Ohio's vulnerable adults.

Part of this work involves a survey of each local APS program. As the designated APS contact, you are asked to complete this survey for the program in [county name].

The survey should take about 20 minutes to complete. The deadline is Friday, May 29, 2020. Please click [here] to begin.

Please note we tried to keep the survey as short as possible. It has benefitted from review from experts across Ohio and the United States. We are excited to learn about – and share with you! –the important work that local APS programs are doing across our state.

Thank you in advance for your participation! Please do not hesitate to contact Dr. Steinman (steinman.13@osu.edu ; 614-599-4763) with any questions.

On May 24, 26 and 29, follow-up emails were sent to participants who had not yet responded. By the May 29 deadline, 62 of the 85 (72.9%) programs had responded. In some cases, a respondent indicated that they were not the right person to complete the survey and referred us to a colleague who would be more helpful. In such cases, we often extended the deadline to give them a reasonable time period to respond. This yielded an additional 17 surveys. For the few programs that were completely unresponsive, we phoned their offices, the general APS number in their county and the general CDJFS to try and locate them or another person who could complete the survey. Through these efforts, another five surveys were completed, bringing our total to 85 or 100% participation. The survey administration period lasted from May 20 to June 12, 2020.

For the two programs that served multiple counties, administering SOAPS presented a challenge. We did not know, for instance, whether practices or resources varied by county among the counties they served. To address this, we sent separate emails to each of these contacts, instructing them to complete to survey on behalf of their program. And if they found that they might answer differently for the different counties they served, to leave the response blank. We then scheduled phone interviews with these two programs to discuss county differences wherever they existed. Research staff entered any such differences directly into Qualtrics based on the respondent's answers during the phone interview.

Sample

To construct the sample, ODJFS provided our research team with a list of contacts for each APS program. For the 59 counties with more than one contact, we asked ODJFS staff (including Regional Training Coordinators) who should be the preferred contact. In early May 2020, we sent brief introductory emails to these contacts to identify any inactive emails or other situations (e.g., left position; out of office indefinitely) that would preclude their participation. When such situations arose, we then contacted the secondary contact. Once the survey started, we observed additional cases where the original contract did not complete the survey but another

person did. Overall, the original contact completed the survey for 73 counties, whereas in 12 counties (Brown, Columbiana, Gallia, Henry, Huron, Licking, Madison, Medina, Mercer, Preble, Van Wert and Wayne) another person did.

Overall, we identified 85 local APS programs in Ohio – one for each of the state's 88 counties, except for two programs that served multiple adjacent rural counties (Defiance/Paulding; Ross/Hocking/Vinton). Based on job title, the main survey respondents included 30 directors/administrators, 48 supervisors, and 6 caseworkers.

Analysis

The survey data were downloaded from Qualtrics and analyzed using Stata 15. Because the data were not based on a random sample, statistical testing was inappropriate. Nonetheless, we informally used statistical tests to identify findings that may reflect noteworthy differences.

For open-ended items (e.g., "tell us what makes your program special"), a member of the research team (Concetta Reda) grouped together similar responses and presented them to the rest of the research team where we discussed which were the most common or compelling responses. The list of these responses will appear in the final report.

Recoding variables

To describe the type of APS program models that operate in Ohio, we employed a two-phased approach. First, we examined four key characteristics of programs, including:

- Within what type of agency does the APS program operate?
- To what extent do APS program staff share duties with other programs?
- To what extent do different staff handle different APS functions, from intake to closing?
- How many caseworkers/social service workers are on the APS staff?[3]

Based on these responses, a second phase involved classifying individual programs into groups that were similar across these four key characteristics. Because the number of possible response combinations across the four key characteristics (4 x 3 x 4 x15 = 720) exceeded the number of programs (i.e., 85), we employed a few strategies to reduce the number of groups to a useful number.

Collapsing the number of responses within each variable helped greatly (**Table 1**). Open-ended comments on the survey as well as discussions with respondents clarified which response options were meaningfully distinct and which were more difficult to use.

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[3] SOAPS asked separate questions about staffing levels for administrators, supervisors, caseworkers and other staff. Many respondents had difficulty answering the question for staffing types except for caseworkers/social service workers (e.g., "What should I put if supervisors sometimes help out as needed?")   In addition, we initially planned to include a fifth question: "How does your APS program handle calls that come in "after hours" (e.g., at 11pm)?" For many counties, however, the response was depended on several factors and varied day to day. As such, we omitted this question from our efforts to classify programs.

Table 1. Survey wording and response options for key APS program characteristics

Item wording	Response options	Collapsed responses
"Which of the following best describes where your APS program operates? (select one only)"	Internal CDJFS program	Internal CDJFS
	Stand-alone county senior services agency	Other
	A program within another public county agency	
	Another designated agency	
"Which of the following best describes the staffing of your APS program? (select one only)	All staff are entirely dedicated to APS	At least some staff are entirely dedicated to APS
	One or more staff are entirely dedicated to APS and some share duties with other programs (e.g., child protective services)	
	All APS staff share duties with other programs (e.g., child protective services)	All APS staff share duties with other programs
"Which of the following best describes how a case is usually handled by your APS program? (select one only)	A single APS staff person handles a case from intake through investigation, ongoing APS services (if needed) and case closing.	A single APS staff person handles a case from intake through closing.
	One APS staff person receives a report at intake. Then another staff person conducts the investigation, provides ongoing APS services (if needed) and case closing.	More than one person typically handles different APS functions.
	One APS staff person receives a report at intake. Then another staff person conducts the investigation. A unit then provides ongoing APS services (if needed) and case closing.	
	Other	
How many staff work in your APS program? (number of FTEs) - Caseworkers/ Social service workers	[#, range 0.5 to 25]	<2
		2-4
		>4

Based on the collapsed versions of the variables, the number of possible combinations was reduced to (2x2x2x3=) 24, of which 17 actually appeared in the data (**Figure 1**)

Figure 1. Initial classification scheme for APS program types

internal CDJFS program

Large staff (5+)

CDJFS, all/some APS only		CDJFS, none APS only	
1 person handles	>1 handles	1 person handles	>1 handles
	Butler		Cuyahoga
	Hamilton		Franklin
	Lorain		
	Lucas		
	Mahoning		
	Montgomery		
	Summit		

Medium staff (2-4)

CDJFS, all/some APS only		CDJFS, none APS only	
1 person handles	>1 handles	1 person handles	>1 handles
Ashtabula	Jefferson		Darke
Belmont	Trumbull		Greene
Clark	Tuscarawas		Guernsey
Columbiana			Morgan*
Licking			Perry
Medina			Pike
Richland			Scioto*
Ross/Hocking/Vinton			
Warren			
Washington			

Small staff (<2)

CDJFS, all/some APS only		CDJFS, none APS only	
1 person handles	>1 handles	1 person handles	>1 handles
Athens	Champaign	Adams	Allen
Coshocton		Carroll	Wyandot
Ottawa		Erie	
Hancock		Fayette	
Wayne		Highland	
		Madison	
		Miami	
		Preble	

other (non-CDJFS) agency

Large staff (5+)

Other agency, all/some APS only		Other agency, none APS only	
1 person handles	>1 handles	1 person handles	>1 handles

Medium staff (2-4)

Other agency, all/some APS only		Other agency, none APS only	
1 person handles	>1 handles	1 person handles	>1 handles
Fairfield	Clermont	Defiance/Paulding*	Clinton
Lake	Geauga	Harrison	Meigs
Stark	Huron	Monroe	Noble
Wood	Muskingum		

Small staff (<2)

Other agency, all/some APS only		Other agency, none APS only	
1 person handles	>1 handles	1 person handles	>1 handles
Brown	Gallia	Ashland	Auglaize
Crawford	Knox	Hardin	Jackson
Delaware	Marion	Henry	Logan
Fulton	Portage	Monroe	Mercer
Holmes	Shelby	Pickaway	Putnam
Morrow		Sandusky	Union
Seneca		Van Wert	Williams

Row labels (left margin): "All or some program staff are APS only" and "no program staff are APS only"

This process was helpful, but in consultation with ODJFS, we still felt that 17 models was too many to summarize usefully. To further reduce the number, we examined how the four key

program characteristics were associated with the resources available to APS program. We would then consider dropping hose that were least strongly associated.

We found that some respondents appeared confused about how to answer certain questions. Anticipating this concern, we had included "other (please describe)" as a response option whenever practical. For a few such variables, three members of the research team with APS expertise (Anetzberger, Dayton and Steinman) independently reviewed the open-ended descriptions for people who responded "other." We then each independently indicated whether each "other" response could be reasonably recoded into one of the existing categories. For example, when asked "How does your APS program handle calls that come in "after hours" (e.g., at 11pm)?" one person responded "other" and then explained "Our children services on call worker takes the call." All three members of the research team concurred that that response could be reasonably recoded from "other" to "entirely handled by a staff at another 24-hour resource," so we recoded the response accordingly. A table of the frequency of recoded responses appears below.

Frequency of SOAPS variables recoded from "other"

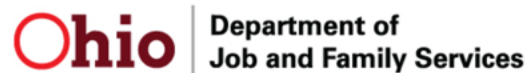| Variable	Number of "other" responses	Number of "other" responses recoded to an existing category	Number of "other" responses not recoded
Please indicate whether your APS program would investigate if it received a report of alleged abuse, neglect or exploitation for each of the following situations: An alleged victim <60 years old with an impairment (e.g., physical or behavioral/mental disability)?	8	4	4
Please indicate whether your APS program would investigate if it received a report of alleged abuse, neglect or exploitation for each of the following situations: An alleged perpetrator who is a court-appointed guardian	10	3	7
How does your APS program handle calls that come in "after hours" (e.g., at 11pm)?	39	30	9
Which of the following best describes how a case is usually handled by your APS program?	15	11	4

Budget Program budgets can be useful for comparing the available resources across APS programs, yet they are notoriously difficult to measure. This is especially true for a brief survey often completed by front line APS workers who have little knowledge of their program's overall fiscal situation. Towards this end, we gave respondents an option to refer us to another member of their agency who could provide an accurate statement of their program budget. We asked for program expenditures over for state fiscal year (SFY) 2018, SFY2019, and SFY2020 (even though the current fiscal year had not quite ended). We then took the median of these values to describe their budget.

Overall, only half of programs (n=43) were able to provide budget information. The median annual APS program budget was $86,507, with a range from $6,025 to $2.2 million. ODJFS indicated that budgets should exceed about $30,000 per year, as that was the typical minimum size of their allocation to a county program. Nonetheless, eight programs reported budgets below that figure (Auglaize, Carroll, Defiance/Paulding, Fayette, Fulton, Hardin, Lawrence, and Wyandot). Another curiosity was that Cuyahoga, Lucas and Summit county programs reported annual budgets of over $1 million (Franklin and Montgomery were missing budget information), while Hamilton County reported a median annual budget of $497,153.

Given the large amount of missing data, these figures should be interpreted with caution. For that reason, we will avoid drawing conclusion from this aspect of the data.

Survey instrument

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Ohio | Department of Job and Family Services

Q58 Welcome to SOAPS -- the Survey of Ohio Adult Protective Services!

A research team from the Ohio State University is working with ODJFS to understand the different ways in which local APS programs operate in Ohio. This is NOT an evaluation of your program! Rather, our goal is to describe the diversity of models, practices and resources that characterize Ohio's many local APS programs. Your honest answers are important.

This online survey should take about 20 minutes to complete. If you prefer to complete it by phone, please contact the Research Director, Dr. Kenneth Steinman at steinman.13@osu.edu . Once complete, we will analyze, summarize and share the overall survey findings with APS professionals at a series of meetings around the state.

Thank you for participating. To begin the survey, please click on the arrow below.

Heidi Turner-Stone

Section Chief - Adult Protective Services
Ohio Department of Job and Family Services

Q59

Q31 Please provide your contact information

Q1 Name

_____

Q2 Email

_____

Q3 Phone number

_____

Q4 Job title

_____

Q62
COVID-19 is changing how some APS programs operate.
To align this survey with other data sources,
please answer these questions about your APS program
as it was on March 1, 2020.

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Q5 Which of the following best describes where your APS program operates? *(select one only)*

○ Internal CDJFS program (1)

○ Stand-alone county senior services agency (2)

○ A program within another public county agency (e.g., child protective services) (3)

○ Another designated agency (e.g., local non-profit) (5)

—————————————————————————

Q6 Which of the following best describes the staffing of your APS program? *(select one only)*

○ All staff are entirely dedicated to APS (1)

○ One or more staff are entirely dedicated to APS and some share duties with other programs (e.g., child protective services; counseling services) (2)

○ All APS staff share duties with other programs (e.g., child protective services) (3)

○ Other (please describe) (4)
_____

Skip To: Q8 If Which of the following best describes the staffing of your APS program? (select one only) = All staff are entirely dedicated to APS

Skip To: Q8 If Which of the following best describes the staffing of your APS program? (select one only) = Other (please describe)

Q7 Please briefly describe how your staff share duties with other programs:

_____

_____

_____

_____

_____

Q8 Which of the following <u>best</u> describes how a case is <u>usually</u> handled by your APS program? *(select one only)*

○ A single APS staff person handles a case from intake through investigation, ongoing APS services (if needed) and case closing. (1)

○ One APS staff person receives a report at intake. Then another staff person conducts the investigation, provides ongoing APS services (if needed) and case closing. (2)

○ One APS staff person receives a report at intake. Then another staff person conducts the investigation. A unit then provides ongoing APS services (if needed) and case closing. (3)

○ Other (please describe) (4)
_____

Q9 For each type of expert below, please indicate how your APS program accesses them for investigation, assessment or case planning. *(For each expert [e.g., attorney], select all that apply)*

	Internal agency staff (1)	Under contract with your agency (2)	A local resource available on occasion (3)	Resource is not available locally (4)
Attorney (1)	☐	☐	☐	☐
Nurse (2)	☐	☐	☐	☐
Physician (3)	☐	☐	☐	☐
Psychiatrist (4)	☐	☐	☐	☐
Psychologist (5)	☐	☐	☐	☐
Other (please describe) (6)	☐	☐	☐	☐

Page Break

Q49 INTAKE

Q39 For how many Ohio counties is your APS program responsible for responding to reports?

○ One county (1)

○ More than one county (2)

> *Skip To: Q10 If For how many Ohio counties is your APS program responsible for responding to reports? = One county*
>
> *Skip To: Q42 If For how many Ohio counties is your APS program responsible for responding to reports? = More than one county*

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Q42 For which counties is your APS program responsible for responding to reports? *(select all that apply)*

▼ Adams (1) ... Wyandot (88)

Q45 For APS programs like yours, it will be easier to have one our staff follow up by phone. We will contact you to find a time that is convenient.

Q10 For which county does your APS program respond to reports? *(select one only)*

▼ Adams (1) ... Wyandot (88)

Q11 How does your APS program handle calls that come in "after hours" (e.g., at 11pm)? (select one only)
After hours calls to our APS program are:

○ Entirely handled by an APS staff person on-call (1)

○ First handled by staff at another 24-hour resource and redirected to an APS staff person on call when there is a situation likely to result in immediate and irreparable physical harm (2)

○ Entirely handled by a staff at another 24-hour resource (3)

○ Other (please describe) (4)
_____

Q33 Please indicate whether your APS program would investigate if it received a report of alleged abuse, neglect or exploitation for each of the following situations.

Q12 An alleged victim <60 years old with an impairment (e.g., physical or behavioral/mental disability)?

○ Yes, we would investigate (1)

○ No, we would not investigate (but we might offer services or refer the case elsewhere) (2)

○ Other (please describe) (3)

_____

Q14 An alleged perpetrator who is a court-appointed guardian

○ Yes, we would investigate (1)

○ No, we would not investigate (but we might offer services or refer the case elsewhere) (2)

○ Other (please describe) (3)

_____

Page Break

Q53 INVESTIGATION / ASSESSMENT

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Q15 When assessing the needs of a new client, how often do APS staff assess the alleged victim's...?

	Always/Often (1)	Sometimes (2)	Rarely/Never (3)
Activities of daily living (ADLs) (1)	○	○	○
Instrumental activities of daily living (IADLs) (2)	○	○	○
Cognitive capacity (3)	○	○	○
Capacity to provide for her/his own protection (4)	○	○	○
Capacity to make financial decisions (5)	○	○	○
Environmental hazards in the home (e.g., hoarding, infestations) (6)	○	○	○
Social supports (7)	○	○	○

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Q19 Does your APS program have an emergency fund to help meet an alleged victim's immediate needs?

○ Yes (1)

○ No (2)

Q20 About how much money is in your APS program's emergency fund?

○   (1)

○ $1,000 - $3,000 (2)

○ $3,001 - $5,000 (3)

○ $5,001 - $10,000 (4)

○ >$10,000 (5)

○ Other (please describe) (6)

_____

Page Break

Q47 CASE PLANNING / IMPLEMENTATION

Q21
How often does your APS staff...?

	Always/Often (1)	Sometimes (2)	Rarely/Never (3)
Discuss with the client (or legal representative) the client's individual personal goals (1)	○	○	○
Create a plan to achieve client's goals even if different than APS goals (2)	○	○	○
Seek legal review of options available and evidence needed for legal interventions (3)	○	○	○

Page Break

Q22 Which of the following services for APS clients are provided by your program or the agency in which it operates? *(select all that apply)*

	Check if service is provided by your APS program or the agency in which it operates (1)
⊗ Benefits check (1)	○
⊗ Mental health services (2)	○
⊗ Substance abuse services (3)	○
⊗ Home health care (4)	○
⊗ Hospice/palliative care (5)	○
⊗ Home care/housekeeping services (6)	○
⊗ Daily money management (7)	○
⊗ Emergency shelter (8)	○
⊗ Permanent housing (9)	○
⊗ Home-delivered meals (10)	○
⊗ Transportation (11)	○
⊗ Legal services (12)	○

Q23 Please describe any other services that your APS program provides to assist APS clients

_____

Q24 Is there an Interdisciplinary Team (I-Team) in your county?

○ Yes (1)

○ No (2)

Skip To: Q26 If Is there an Interdisciplinary Team (I-Team) in your county? = No

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Q25 At I-Team meetings, how often does your APS program share complex cases?

○ Always/Often (1)

○ Sometimes (2)

○ Rarely/Never (3)

Q26 When closing a case, how often do caseworkers in your APS program...?

	Always/Often (1)	Sometimes (2)	Rarely/Never (3)
Review their recommendation with a supervisor (1)	○	○	○
Inform the client of the decision (2)	○	○	○
Inform involved individuals of the decision (4)	○	○	○
Inform involved agencies of the decision (3)	○	○	○

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Q54 RESOURCES

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Q51 Please indicate the annual budget expenditures for your APS program for each state fiscal year *(enter $ amount for each year)*

○ SFY 2018 (1) _____

○ SFY 2019 (2) _____

○ SFY 2020 (3) _____

○ I don't know, but here is contact info for someone who will. (4)
_____

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Q28 Please indicate which of the following sources financially supported your APS program during SFY2020 *(check all that apply)*

☐　　　ODJFS county allocation (1)

☐　　　Other state/federal government funding (e.g., Older Americans Act, Social Services Block Grant) (2)

☐　　　Local levy for seniors or human services (3)

☐　　　Other local government funding (4)

☐　　　Foundations (5)

☐　　　Corporate donations (6)

☐　　　Other (please describe) (7)
_____

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Q60 How many staff work in your APS program?
(For each type, please enter the <u>number </u>of FTEs)

○ Supervisors (1) _____

○ Caseworkers/Social service workers (2)
_____

○ Administrative/Support staff (3)
_____

○ Other (4) _____

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Q65 In your county, how is your APS program's working relationship with...?

	Excellent (1)	Good (2)	Fair (3)	Poor (4)
Aging Network/Area Agency on Aging (4)	○	○	○	○
Domestic violence programs (7)	○	○	○	○
Long-term care ombudsman (5)	○	○	○	○
Mental health system (3)	○	○	○	○
Probate court (2)	○	○	○	○
Prosecutors (1)	○	○	○	○

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Q30 Just one more question: Please tell us something about your APS program that makes it special or unique. It may be something you are proud of, or that others may not appreciate.

_____

_____

_____

_____

_____

Appendix B: Ohio Database for Adult Protective Services

Following the execution of an OSU/ODJFS Data Use Agreement on August 14, 2020, we received several flat files from the Ohio Database for Adult Protective Services (ODAPS). These included separate spreadsheets on cases between April 1, 2019 and June 30, 2020 from the perspective of clients, alleged perpetrators, reporting parties, and investigations/case decisions. ODAPS links these separate data through a unique identifier.

Because this project involves the first thorough analysis of ODAPS, we anticipated the need to invest time and effort in cleaning, organizing, and understanding the data through close cooperation with our ODJFS partners. This section describes our work to date in that regard.

Cleaning ODAPS data

After reviewing the data, the research team had several questions regarding the data, some that were immediately resolved/answered by ODJFS, others that required ODJFS to pull data in different formats and/or research reasons behind specific data oddities. **Table 2** lists the questions the research team submitted to ODJFS, the status of the question (resolved/in progress), and the outcome (if resolved). The research team is awaiting a few more resolutions from ODJFS to clean the datasets and will continue to be in communications with ODJFS regarding any data-related questions while conducting the analyses.

Table 2. Description of issues involved in cleaning ODAPS data

Question/Issue	Status	Date	Description
Why do case numbers show up multiple times with the same referral submitted date and time in the investigations file?	Resolved	9/16/2020	ODJFS informed that the cases have a row for every allegation reported (e.g. 3 maltreatment categories correspond to 3 rows). To identify which data fields for a case correspond to which allegations, ODJFS changed the format of the data so that in the maltreatment category column only one allegation is reported and the subsequent data in that row corresponds to that maltreatment category.
In the Investigation and Case Decision spreadsheet, there are about 27K rows, yet about 4K of these seem to be duplicates.	Resolved	9/9/2020	This was a result of the way data were organized in the initial dataset as described in the row above. Rows were being duplicated for each maltreatment category specified in a case.
Can repeat perpetrators be identified? There are no perpetrator IDs that show up more than once in the data.	Resolved	9/15/2020	ODJFS clarified that a repeat perpetrator would be identified by having their unique id show up more than once in the data file. In the data pull, however, there simply were no repeat perpetrators. ODJFS further discussed the limitations of identifying unique perpetrators, explaining that APS staff may enter a new perpetrator id for an individual

Question/Issue	Status	Date	Description
			who already exists in the system (e.g. a person named Timothy but the worker searches for Tim, doesn't find the name in the system so adds a new entry for an already existing individual; these two different IDs look like two different people when in fact they should be the same).
If there are multiple perpetrator IDs for the same case number in the perpetrator dataset, does this mean that there were multiple perpetrators in a specific case?	Resolved	8/31/2020	ODJFS answered, "Yes" while keeping in mind that the duplication limitations explained in the row above may result in it looking like there are more unique perpetrators than there are.
In the Investigation data, does "Report Effective Date/Time" align to when the case was initiated? Report	Resolved	8/31/2020	ODJFS' response: Report Effective Date/Time is when the report was screened in. Referral Submitted Date/Time is when the referral is received. Most often the referral submitted date/time and report effective date are the same as the agency is making a screening decision at the time of the call.
In the Investigation data, what does the "Primary Maltreatment" variable represent?	Resolved	8/31/2020	ODJFS' response: If there is more than one maltreatment the worker can mark "primary maltreatment for the original maltreatment concern or main concern.
Case # 288517-1 shows up in the perpetrator and victim file but not in the investigation file. How come?	Resolved	9/15/2020	ODJFS' response: Person shows up as a perp and a victim but not in investigation file because case was screened out. (report is only pulling screened in cases) ODJFS later provided a list of all cases that were screened in or out so that the Research Team can examine differences between screened in/out cases
Case number 2407-13 is the first case that appears in the dataset for individual id # 2407, however, ODJFS confirmed that cases 2407-10 through 2407-12 also occurred during the timeframe in which our data cover but these cases are not in the investigations file. How come?	Resolved	9/15/2020	ODJFS' response: 2407 – 13 was screened in, all the other cases are closed or screened out or before the report parameters. (report is only pulling screened in cases)
Please confirm that the lack of investigation for Fayette County in SFY2020 is correct (they have perpetrator and victim data but no investigations data)	Resolved	9/15/2020	ODJFS' response: Fayette county has not made case decisions all but two of their cases. These two cases had perp and victim data, but no maltreatment or investigation,

Question/Issue	Status	Date	Description
			so they would have shown up on your perp/victim dataset
356 cases showing as "Screened In" in the Screening Decisions file you most recently sent do not have corresponding rows in the Investigations data	In Progress	N/A	ODJFS Team is researching this
83 case numbers appear twice in the Alleged Victim Data with slightly different demographics each time and different Referral Submitted	In Progress	N/A	Victim data appears twice as a result of the system numbering being off. This is something ODJFS is manually fixing.
19 unique case numbers in the Investigations file that have different Report Effective Dates	In Progress	N/A	Investigation case numbers are showing twice as a result of the system numbering being off. This is something ODJFS is fixing manually.
While nearly all cases in the Screen Decisions file you most recently sent can be found in the Victim file (regardless of being screened in/out) 24 cases do not have corresponding data in the Victim File	In progress	N/A	ODJFS response: The are several reasons that we have found as to why these cases do not have data. Could be an error screening the case out, missing case decision information and case decision actually being made after the report date. ODJFS has no single answer for this.
When we are reporting data on victims (e.g. demographics), should we only be reporting on those ages 60+ or include all individuals in the victim datafile?	Resolved	9/17/2020	ODJFS' response: All referrals are required to entered into ODAPS. Some counties in Ohio will service all ages. Most of Ohio only services ages 60+.Based on this, the resolution it to analyze all cases. If an agency doesn't serve under 60 then those cases would be screened out cases.
What does "No Maltreatment" mean in the Maltreatment Category in the Investigations File?	Resolved	9/17/2020	ODJFS' response: No Maltreatment means that the client has not been abused, neglected or exploited. The client could simply be in need of services.
What does "Does not Meet Criteria as an At-risk Adult" mean in the Screen Out reasons?	Resolved	9/17/2020	ODJFS' response: "Does not meet criteria as an at-risk adult" would be that the adult IS able to perform or obtain services necessary for his/her health, safety, or welfare. And the adult HAS the capacity to make or communicate responsible decisions concerning their person or affairs.
Two cases (43871 - 3; 433811 - 1) in the investigation spreadsheet appear to have an erroneous report date (December 2020).	Resolved	9/15/2020	ODJFS' response: There was an error on data entry. Our system will not prevent a future date from being added. Dates have been fixed. ODJFS manually fixed

Criteria for excluding APS programs from selected analyses

For all analyses, we limit our sample to the 20,486 reports where the alleged victim's approximate age was >=60 and the report was screened in. For each analysis, report or handle missing data (typically <5%) as you normally would.*

Several smaller APS programs recorded few allegations and unduplicated clients during SFY2020. When comparing programs, it is advisable to omit those with too few observations to calculate reliable rates. In addition, some counties are systematically missing data on outcomes (e.g., *Finding, Case_Decision*) for most of their cases. Because this missingness tneds to be clustered in just a few programs, it is not missing at random, and so we should exclude all cases from those programs – not just those with missing data. For other programs, we should treat cases with missing data as item-missing data.

When comparing county programs however, we should also omit 13 reports where CountyInvest="NA" .

For the sake of consistency, we will not omit cases with an (initial) referral date during June 2020, that is, just before the end of the state fiscal year. In the data set they sent us. ODJFS seems to have included findings from *after* June 30, 2020. Of the 20,486 reports to analyze, 954 (4.7%) were incomplete, having no data on neither case_closed_reason nor findings. Only 100 (10.5%) had a referral date during June 2020. Thus, it seems simplest to just handle them like other missing data rather than systematically exclude them as a special case.

Type of analyses	Criteria for excluding programs
Number of allegations per 1,000 eligible adults	<10 allegations
Number of self-neglect allegations per 1,000 eligible adults	<10 self-neglect allegations
Number of unduplicated clients per 1,000 eligible adults	<10 unduplicated clients
Percent of unduplicated clients with a case initiated within 1 day of initial referral	<10 unduplicated clients and <50% of all unduplicated clients have complete data (e.g., are NOT missing all data on *Finding, Case_Decision, Case_Decision_Date, Case_Closed_Date*)
Percent of unduplicated clients with cases closed within 60 days of initial referral	
Percent of allegations that were validated	
Percent of unduplicated clients with case closed because of client refusal	

Creating categories of alleged perpetrators

Based on a series of research team discussions, we can use the following scheme to classify the 79 types of reporting parties listed in ODAPS into 13 categories. The categories distinguish mandated from non-mandated reporters and parallel, to the extent possible, the categories we use for alleged perpetrators. The list of mandated reporters is based on definitions in ORC 5101.63 [*Effective 3/31/2021*] *Reporting abuse, neglect or exploitation of adult.* When

The groups are as follows:

Non-Mandated Reporters (based on the information we have)
1.1   Family (including exes) or household member
1.2   Friend/Neighbor
1.3   Self
1.4   Other non-mandated reports

Mandated Reporters
2.1   Police/Fire/EMS
2.2   In-home service provider (e.g., home health aide; homemaker services)
2.3   Residential facility staff
2.4   Financial services professional
2.5   Legal professional or guardian
2.6   Healthcare professional
2.7   Other mandated reporters
2.8   People who may be mandated reporters (but we do not have enough information to be sure)

Unknown
3.1   Unknown
3.2   Anonymous

The specific ODAPS listings that fall under each of these categories appear in the following pages.

Non-Mandated Reporters

Relationship	Family or household member	Friend/ Neighbor	Self	other non-mandated reporters
Aunt	1			
Brother	1			
Brother-In-Law	1			
Cousin	1			
Daughter	1			
Daughter-In-Law	1			
Ex-Spouse/Partner	1			
Father	1			
Father-In-Law	1			
Granddaughter	1			
Grandmother	1			
Grandson	1			
Mother	1			
Mother-In-Law	1			
Nephew	1			
Niece	1			
Relative - Specific Relation Unknown	1			
Roommate	1			
Sister	1			
Sister-In-Law	1			
Son	1			
Son-In-Law	1			
Spouse/Partner	1			
Uncle	1			
Friend		1		
Neighbor		1		
Resident at same facility		1		
Self			1	
3rd Party/Non-Participating Contact				1
DD System/ARC Advocate				1
Employer/Co-Worker				1
Landlord/Housing/Hotel Staff/HOA				1
Ombudsman				1
Representative Payee				1
School Personnel				1
Veterinarian				1

Mandated Reporters

Relationship	Police/Fire/EMS	In-home service provider	Residential facility staff	Financial services professional	Legal professional or guardian	Healthcare professional	Other mandated reporters	People who may be mandated reporters
Dept of Correct/Parole/Probation Officer	1							
Emergency Services Provider	1							
Fire Personnel	1							
Law Enforcement	1							
Home Care Placement Personnel		1						
Home Health Agency/Provider		1						
Home Maker Provider		1						
Homeless/DV/Other Shelter Staff			1					
LTC Facility Staff/Volunteer			1					
Nursing Home Staff			1					
Financial Advisor/Accountant				1				
Financial Institution Personnel				1				
Conservator					1			
Lawyer/Paralegal/Mediator					1			
POA - Power of Attorney					1			
Prosecutors/Judge/County Clerk/Court					1			
Dentist						1		
Hospice						1		
Hospital						1		
Medical Admin/Director of Nursing						1		
Medical Case Manager/Worker						1		
Mental/Behavioral Health Professional						1		
Nurse/RN/LPN/Practitioner/Assistant/CNA						1		
Occupational Therapist						1		
Pharmacist						1		
Physical Therapist						1		
Physician/Chiropractor/Staff						1		
Animal Control							1	
Case Worker/Manager (Non-JFS)							1	
Clergy/Spiritual Leader/Church							1	
Code Enforce/Environment Test/Health Dept							1	
Community Agency							1	
Coroner/Medical Examiner							1	

Relationship	Police/Fire/EMS	In-home service provider	Residential facility staff	Financial services professional	Legal professional or guardian	Healthcare professional	Other mandated reporters	People who may be mandated reporters
County JFS							1	
Day Program Staff							1	
Hotline/Crisis Center							1	
Senior Center/Resource							1	
SEP - Single Entry Point							1	
Social Work Practitioner							1	
Guardian								1
VA - Veterans Affairs								1

Unknown reporters

	Unknown						
Unknown	1						
Anonymous	1						

Appendix C: Site Visit Protocol

February 16, 2021

Kenneth J. Steinman, Georgia Anetzberger, Carol Dayton, Sheri Chaney Jones, Alyssa Petty, Andreas Teferra

Part of the APS Research Project we are conducting with ODJFS involves a series of site visits with local APS programs in Ohio. This document describes the goals of these visits, how we selected the counties, and details about the site visits, including their format, schedule, and how we will record and use the information we collect. This work builds on the two other main activities of the APS Research Project: an online survey of all 85 APS programs in the state (Survey of Ohio Adult Protective Services – SOAPS) and extensive analysis of data from the Ohio Database for Adult Protective Services (ODAPS).

These site visits will enable us to create "Ohio APS Program Highlights" -- a series of two-to-three-page briefs that highlight a select number of local APS programs with characteristics that other APS programs might consider adopting.

Goals

The site visits are organized to achieve two goals:

- To learn more about selected examples of local APS programs in Ohio.
- To get feedback from local APS professionals on how a series of APS Program Highlights could engage their colleagues to consider how their programs might emulate aspects of the selected programs;

We aim to achieve these goals in a cooperative. supportive manner that will continue building trust among local APS staff, ODJFS staff, and the OSU Research Team.

How we selected counties

Under guidance from ODJFS, we identified local APS programs that had noteworthy characteristics that other counties might consider emulating. Some of these characteristics were considered "noteworthy" because those APS programs that had them tended to have more promising outcomes based on our analyses of SOAPS and ODAPS data. For example, among smaller counties, the 14 programs with at least one person solely dedicated to APS (and not sharing duties with other programs) recorded 4.2 reports per 1,000 residents 60+ years old, compared to a rate of 3.2 per 1,000 for the 13 programs without such staff. Other characteristics were selected based on input from ODJFS staff. The 6 programs that operate in a designated

non-CDJFS agency or the 2 that serve multiple rural counties are too few to be tested statistically but were still selected based on the suggestion of ODJFS staff.

After identifying the program characteristics, we selected specific programs that exemplified each characteristic. To do so, we prioritized programs with encouraging findings from our SOAPS and ODAPS analyses. For instance, to highlight programs with a strong I-Team and other local partnerships, we identified 7 larger counties that scored well-above average on SOAPS measures of their I-Team experience (iteam2=1) and on the reported quality of their relationships with other stakeholders (e.g., Aging Network; prosecutors, probate court; mental health system; domestic violence programs; long-term-care ombudsman; relmean<1.34). Of these 7 programs, we found 2 programs (Montgomery and Clermont) that, according to ODAPS data, also had a relatively high number of APS reports per 1,000 senior (60+) residents and that validated an above-average proportion of these cases. Because Clermont was used as an example for another program type, we selected Montgomery to illustrate a larger county program with a strong I-Team and strong relationships with local partners. Appendix A summarizes the SOAPS and ODAPS data for the specific APS programs we are considering. Finally, we validated these selections with ODJFS staff who have a good sense of the track record of specific programs around the state.

Based on these criteria we plan to conduct the following six site visits.

Program characteristic	County (possible alternate)
1. Collaboration among multiple rural counties	Ross/Hocking/Vinton
2. Program in a designated agency	Clermont (Gallia)
3. Smaller rural county with at least one person solely dedicated to APS (and not sharing duties with other programs)	Shelby (Muskingum)
3a. Large county with a strong I-Team and other local partnerships	Summit
4. Smaller county with a strong I-Team and other local partnerships	Fairfield (Washington)
4a. Large county with a strong I-Team and other local partnerships	Montgomery

Format

Because of safety concerns related to the COVID-19 pandemic, we will conduct site visits via videoconference, rather than in-person. We will use Microsoft Teams when possible, but may use other platforms (e.g., Zoom) if that is more convenient for the local APS program staff.

The site visit will roughly follow the agenda below.

1. Introductions (5 minutes; everyone)
2. Description of the overall project and how ODJFS will use the results (2-3 minutes; Carol or Georgia)
3. Review of the **goals** of the site visit (1-2 minutes; Carol or Georgia)
   a. To learn more about [your experience with rural counties collaborating on an APS program][4]
   b. To build trust among local APS staff, ODJFS staff, and the OSU Research Team.
4. Review of the **format** of the site visit (1-2 minutes; Carol or Georgia)
   a. Format: a group interview
   b. Data collection: We will take notes and audiotape the interview. Afterwards, we will type up the notes using the audiotape to include selected verbatim quotes.
5. Review of the **outcomes** of the site visit (1-2 minutes; Carol or Georgia)
   a. Write up a 2-3 page summary of this APS program [South Central JFS] and its noteworthy characteristic [multiple rural counties collaborating] as part of a series of Ohio APS program highlights.
   b. ODJFS and APS staff will review draft before anything is published.
6. Group interview about the APS program (45-60 minutes; Carol or Georgia)
   a. Tell us about your experience with [rural counties collaborating on APS]. When did it start? How did it start?
   b. How does it work in practice? [Are there any differences in terms of how you investigate or intervene with alleged victims from the three counties you serve?]
   c. What do you see as the advantages and disadvantages of this approach?
   d. What advice would you give other rural counties who might be interested in emulating your model?
   e. How could ODJFS best support your program?
   f. How could ODJFS best support other similar counties who might be interested in emulating your model?

   ### Alternative questions

   a. Tell us about your experience as a smaller county with a strong I-Team. When did it start? How did it start?

   b. Can you give us example of when the I-Team was particularly helpful?

   c. What do you wish you could change about how your APS program works with the I-Team? d. What advice would you give other smaller counties who might be interested in strengthening their I-Teams?

   e. How could ODJFS best support your APS program and I-Team?

f. How could ODJFS best support other similar counties who might be interested in strengthening their I-Teams?

7. Thank you and review of next steps (5 minutes; Carol or Georgia)

Carol or Georgia will facilitate the interview, and will aim to have local APS staff talk the most. Kenny and others may chime in occasionally with questions. Kenny will take notes. ODJFS staff will not participate in the site visit, so people feel free to speak openly.

We will encourage as many APS program staff as possible to participate, while understanding that their busy, overlapping schedules may limit broad attendance. At a minimum, we will request the participation of the APS program director (or, in smaller programs, the staff person who serves in that capacity) as well as at least one person who regularly and directly investigates and/or provides direct services to APS clients.

During the virtual site visit, we will take notes and audiotape the discussion. The audiotape will only be used by the APS Research Team to correct and expand on the notes taken. We may occasionally use verbatim quotes to illustrate key points in the "Program Highlights" section about that program, but will only do with the prior approval of APS program staff. Within one year of the end of the project (6/30/2021) the audiotape and notes will be destroyed.

Schedule

1-7 days before site visit: review program characteristics that are the focus of site visit, discuss any background materials that have been provided;

Site visit: 90-minute group interview and discussion

1-7 days after site visit: OSU research team and ODJFS team review notes from site visit and the key themes to highlight in the Program Highlights section

14 days after site visit: OSU completes draft of 2-3 page section of Program Highlights featuring the program and the specific characteristic we intended to highlight.

21 days after site visit: ODJFS and the local APS staff provide feedback on the Program Highlights section featuring the program and the specific characteristic we intended to highlight.

28 days after site visit: OSU provides ODJFS with revised version of Program Highlights section.

Program characteristics and ODAPS measures for 10 APS programs considered for site visits

County	Population 60+	Number of caseworkers and supervisors in APS program	Agency type (according to SOAPS)	At I-Team meetings, how often does your APS program share complex cases?	How is your APS program's working relationship with...? [mean score for 6 partners]*	Number of reports with alleged victim 60+	Percent of reports that are validated	Number of alleged victims* per 1,000 residents 60+
Clermont	49,797	6	Stand-alone senior services agency	always/often	1.33	489	39.9%	6.87
Fairfield	35,225	7	A program in another public county agency	always/often	1.33	254	38.6%	4.77
Gallia	7,975	2	Stand-alone senior services agency	sometimes	2.17	58	60.3%	3.13
Montgomery	132,786	10	Internal CJFDS program	always/often	1.33	1,436	39.3%	7.06
Muskingum	21,717	3	A program in another public county agency	always/often	2.33	266	27.3%	9.35
Ross/Hocking/Vinton	29,690	3	Internal CJFDS program serving 3 counties	always/often	1.50	141	37.6%	4.24
Shelby	11,658	2	A program in another public county agency	always/often	1.50	148	44.8%	8.84
Trumbull	58,809	7	Internal CJFDS program	always/often	2.50	663	41.2%	7.67
Washington	17,604	3	Internal CJFDS program	always/often	1.00	245	68.2%	10.68
Wood	28,552	4	A program in another public county agency	rarely/never	1.33	276	40.8%	7.18
OHIO	**2,842,774**	**379**	--	--	1.76	20,661	**32.3%**	**5.28**
Median (n=85)	**14,988**	**3.0**	--	sometimes	1.67	108	**24.7%**	**5.34**

scored on 4-point scale, from 1 = "excellent" to 4 = "poor"

B. Recruitment Email

Dear at [_____]:

Last spring, we corresponded about an online survey that is part of study my research team and I are conducting for Ohio's APS system. With ODJFS support, we've made great progress analyzing data from the survey and from ODAPS. This information helped us identify a few programs with interesting characteristics and encouraging findings. Your APS program at [_____] is one such example, specifically of [_insert program characteristic_]. It's something we'd like to feature in a forthcoming collection of Highlights of Ohio APS programs. Good news!

Would you and other staff from you agency be willing to join our team at a virtual meeting via Zoom sometime in mid-January? We'd like to take 90 minutes to learn more about your program and to get your feedback on our preliminary findings.

Please let me know if you and colleagues would be interested. And if so, please list 3-4 times during the week of January 18th when you'd be available for a meeting. We'll then try to confirm one of those to meet.

Thanks for your consideration.

Best,

Kenny Steinman

/\\/\\/\\/\\/\\/\\/\\/\\/\\/\\/\\
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