



**Report  
to  
The LEGISLATIVE FINANCE COMMITTEE**



**Aging and Long-Term Services Department  
Adult Protective Services Spending, Investigation Management, and Client Outcomes  
May 12, 2015**

**Report #15-06**

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May 12, 2015

Mr. Gino Rinaldi, Cabinet Secretary  
Aging and Long-Term Services Department  
2550 Cerrillos Road  
Santa Fe, New Mexico 87505

Dear Secretary Rinaldi,

On behalf of the Legislative Finance Committee (committee), I am pleased to transmit the program evaluation *Adult Protective Services Spending, Investigation Management, and Client Outcomes*. The report reviewed the budget and administration of the APS program, as well as analyzed APS investigation and contracted social service data, processes, and procedures.

The report will be presented to the committee on May 12, 2015. We very much appreciate the cooperation and assistance we received from you and your staff. An exit conference was held with ALTSD administrative staff on May 4, 2015.

The evaluation team will forward an implementation plan to the Department and expects a corrective action plan be returned within 30 days of the hearing date.

I believe that this report addresses issues the committee asked us to review and hope the New Mexico Aging and Long-Term Services Department will benefit from our efforts. Thank you for your cooperation and assistance.

Sincerely,

A handwritten signature in black ink that reads "David Abbey".

David Abbey, Director

Cc: Senator John Arthur Smith, Chairman, Legislative Finance Committee  
Representative Jimmie C. Hall, Vice-Chairman, Legislative Finance Committee  
Dr. Tom Clifford, Secretary, Department of Finance and Administration  
Mr. Timothy Keller, State Auditor  
Mr. Keith Gardner, Chief of Staff, Office of the Governor

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New Mexico's Adult Protective Services Act sets forth a system for investigating reports of maltreatment of incapacitated adults aged 18 or over and providing short-term social, psychiatric, health, legal, and other services with the adult's consent or appropriate legal authority. The Adult Protective Services (APS) Division of the Aging and Long-Term Services Department provides these services with the goal of correcting or eliminating abuse, neglect, or exploitation and transitioning a protected adult to the least restrictive safe environment.

New Mexico is rapidly aging, and is expected to rank fourth in the nation in the percentage of its population aged 65 or over by 2030. About 42 percent of New Mexicans aged 65 or older have a disability, making them particularly vulnerable to maltreatment. As the population ages, the demand for adult protective services will likely continue to grow.

This evaluation reviewed New Mexico's APS program, including recent trends in investigations, regional staffing allocations, and caseloads, its use and reporting of data, and its oversight of contracted adult home and day care providers and client outcomes.

The APS system has been experiencing growth in reports, investigations, and substantiations of adult abuse, neglect, and exploitation since FY12. However, little information exists on the extent of APS's impact on preventing future maltreatment. Staff caseloads are also rising and may not be optimally geographically distributed.

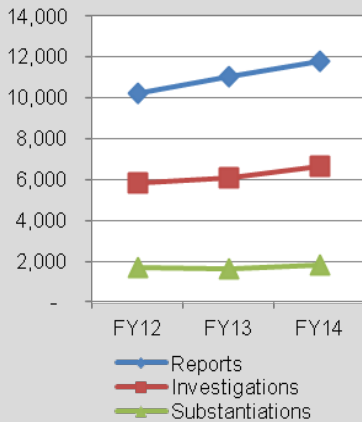
APS has identified allegation investigation as the key service in APS programs, allowing contracted providers to assume significant oversight in the financial and operational management of other services. The evaluation found the policies and regulations governing the system are not in sync with actual practice and communication between APS and providers inhibits work efficiencies. The evaluation concluded that despite financing contracted, in-home services, APS does not have sufficient information about client outcomes to justify spending or validate the impact of services.

Although APS collects a large amount of data in the intake and investigation process, it does not report as much to the public as other states, and lacks comprehensive information about client outcomes and the effectiveness of its outreach efforts. Additionally, there is room to improve efficiencies at APS's field offices and call center.



## KEY FINDINGS

**Total Reports, Investigations, and Substantiations, FY12-FY14**



Source: APS

APS has not tracked repeat maltreatment since FY09.

**Average Annual Investigations per Case Worker, FY12-FY14**

Region	FY12	FY13	FY14
Metro	97	104	113
Northeast	46	54	56
Northwest	79	103	96
Southeast	66	71	66
Southwest	69	66	77
<b>Statewide</b>	<b>72</b>	<b>79</b>	<b>82</b>

Source: LFC Analysis

**Demand for adult protective services is increasing, but its impact remains unclear.** Reports of adult abuse, neglect, and exploitation are increasing. However, current data and performance measures make it difficult to assess the effectiveness of New Mexico's APS system in preventing future maltreatment.

***New Mexico APS investigates over half of all reports of adult abuse, neglect, and exploitation.*** APS received nearly 12 thousand reports of A/N/E in FY14, of which about 6,700, or 57 percent, were screened in for investigation. Out of these, about 1,800 cases were substantiated. Reports of adult abuse, neglect, and exploitation are increasing faster than substantiations, suggesting increasing awareness of adult maltreatment.

***Incidence of self-neglect is growing faster than all other allegation types.*** The number of substantiated cases of self-neglect increased by about 19 percent from FY12 to FY14, while all other types of allegations either fell or remained steady. Statutory and regulatory language contains overlap in the definitions of neglect and self-neglect.

***APS performance measures do not necessarily reflect the actual prevalence of adult maltreatment.*** The current performance measure of investigation volume may not illustrate need as well as measuring the incidence of substantiated maltreatment cases. Additionally, New Mexico APS does not report on repeat maltreatment, hampering the state's ability to determine the effectiveness of interventions. APS's data system allows for limited analysis of repeat maltreatment, but current reports do not capture this information on an aggregate basis.

***New Mexico's risk assessment tools for APS clients generally appear strong, but more information is needed to determine their effectiveness.*** APS uses risk assessment tools developed by the Benjamin Rose Institute on Aging. However, New Mexico's adapted versions of these tools have not been independently validated through research.

***New Mexico compares well to other states in the types of adult maltreatment it investigates.*** New Mexico investigates the same types of maltreatment as most other states, but does not categorize emotional abuse separately for reporting purposes. New Mexico is one of 37 states where the APS program serves all adults aged 18 and over, as opposed to only older adults. Compared to other states in the region with publicly available APS data, New Mexico substantiated a higher percentage of reports and investigations than Arizona and Kansas, but a lower percentage than Texas.

**APS caseloads meet national benchmarks, but are not consistent across regions.** New Mexico's statewide average annual caseload increased from 72 in FY12 to 82 in FY14, while the average monthly caseload grew from seven to eight over the same period. However, caseload growth is inconsistent across the five APS regions.

The National Adult Protective Services Association recommends a caseload of no more than 25 investigations per worker per month; New Mexico averaged eight in FY14.

APS's Social Services Block Grant Title XX funding has remained flat since FY12.

Older Americans Act and Medicaid Targeted Case Management are examples of federal funds used by other states' APS systems, but not New Mexico's.

***Caseloads are increasing with investigations, but APS may be able to absorb the growing workload.*** The number of funded APS case worker positions, including supervisors, has increased even as APS's total staff has decreased by 5 percent. APS has struggled to fill additional case worker positions, especially in certain regions. However, even as investigations increase, filling vacant positions or realigning case workers to areas with higher caseloads may allow APS to absorb additional workload with current resources.

***New Mexico's monthly caseloads beat the national benchmark, but comparisons with other states are difficult.*** New Mexico falls well within the National Adult Protective Services Association's benchmark of 25 cases per worker per month, but variations in how other states report caseloads make direct state-to-state comparisons difficult.

***APS has robust training requirements for the agency and provider staff, but does not have its own job classifications in the state personnel system.*** APS requires ongoing training for both APS and provider staff. However, APS case workers are not classified by themselves in the State Personnel Office system. The minimum qualifications and pay ranges for New Mexico's APS workers are generally comparable to other states that have APS-specific classifications. Additionally, New Mexico APS does not require any employees to have specialized experience in financial abuse and exploitation.

**More accountability is needed with regard to client outcomes in post-investigation services.** From FY12 through FY15 YTD, APS spent nearly \$12 million for social services to an annual average of 1,700 victims of abuse, neglect, or exploitation. Once an investigation substantiates abuse, neglect, or exploitation, the client may be referred to a contracted service provider. Home care services and adult day care are the primary services provided to clients. State general fund spending on APS service providers is growing due to stagnant federal funding.

***Risk of harm may not be reduced by institutional placement compared to in-home services.*** APS focuses on the delivery of home-based services in lieu of institutional placement. Nursing home and other like placements significantly reduce an individual's freedom and exposes the client to risks as demonstrated by the Centers for Medicare and Medicaid Nursing Home Compendium 2013 Edition.

***The need for services to adult victims of abuse, neglect, or exploitation will be significantly impacted by the aging of New Mexico's population.*** While approximately 60 percent of individuals receiving APS-funded services are 70 years of age or older, federal funding has remained stagnant over time, increasing the reliance on state general funds to meet service needs.

***APS should explore opportunities to leverage other federal funds.*** Other states better coordinate other federal funds than does New Mexico. As an example, APS could investigate if the opportunity exists to use Medicaid

APS entities in other states require reporting of risk factor reductions or improvements in overall living situations.

New Mexico has the ability to report more detailed APS data to the public than it currently reports.

APS data shows that a few counties have either much higher or much lower incidence of maltreatment relative to the rate of reporting.

targeted case management funds for service management.

***APS does not track and providers do not report client outcomes.*** While the RFP for contract home and adult day care providers suggests a robust performance monitoring program, mandated provider reporting is absent any monitoring of functional or social status change of individuals served. Without information on client outcomes, the state cannot assure interventions actually improved situations leading to abuse and neglect.

***Limited information exchange between APS and providers may compromise client outcomes.*** Once APS closes a case, the agency no longer knows what clients are being served or who has been discharged from the system despite funding the services, and required quarterly provider reports do not solicit information regarding changes in the functional status of individuals served.

***APS has not taken a leadership role coordinating services and programs among various state and public agencies that serve protected or incapacitated adults.*** A single agency cannot address all the issues relating to this population. Concerted efforts of many state and local governmental agencies are needed to maintain an effective system. Collaborative programs exist in other states between courts, medical providers, and law enforcement.

**APS could improve data transparency and outreach efforts.** New Mexico reports key APS data to the public, but other states publish much more comprehensive information. New Mexico's most recent APS annual report includes aggregated data on various aspects of the adult protective services system. However, there is room for New Mexico to expand and enhance its reporting of APS data to the public, as illustrated by examples from Texas and Arizona. New Mexico's Harmony system collects data that is not currently, but could be, reported to the public on an aggregate level.

***Geographic analysis of data could provide insight into the areas with the most need for APS services.*** APS currently reports on aggregate reports and investigations by region, but does not report on the details of per-population substantiation rates or other data that could be useful to assess APS performance and needs. For example, the counties with the highest substantiation rates are not necessarily those with the oldest populations. Additionally, while county substantiation rates generally increase with reporting rates, data from outlier counties suggest that more information is needed about APS's impact in certain areas. Finally, reporting variations in neglect and self-neglect allegations across regions illustrate differing needs among vulnerable populations.

***APS does not currently have a way to track the costs of investigations.*** Based on available data, APS spent an estimated \$967 in personnel costs per investigation in FY14. However, this figure does not include costs such as mileage or administrative expenses that also factor into the cost of an investigation. APS does not currently have the ability to attribute costs to particular investigations.



*APS outreach activities vary widely by region and more information is needed on their effectiveness.* In FY14, APS conducted 163 outreach activities to increase awareness of adult maltreatment and APS services. However, outreach activities in predominantly rural regions in FY14 appear to have little relationship to the incidence of adult maltreatment. APS tracks its outreach activities, but with slight changes in format, hindering the ability to directly assess changes over time.

**Opportunities exist for improving the use of state resources in managing APS facilities.** Rental costs vary greatly between several field offices, indicating that APS has excess space in certain locations, and one field office is not currently staffed full-time. Additionally, disparities exist in how English and Spanish calls to the APS call center are handled, and APS does not collect data on calls received after regular business hours.

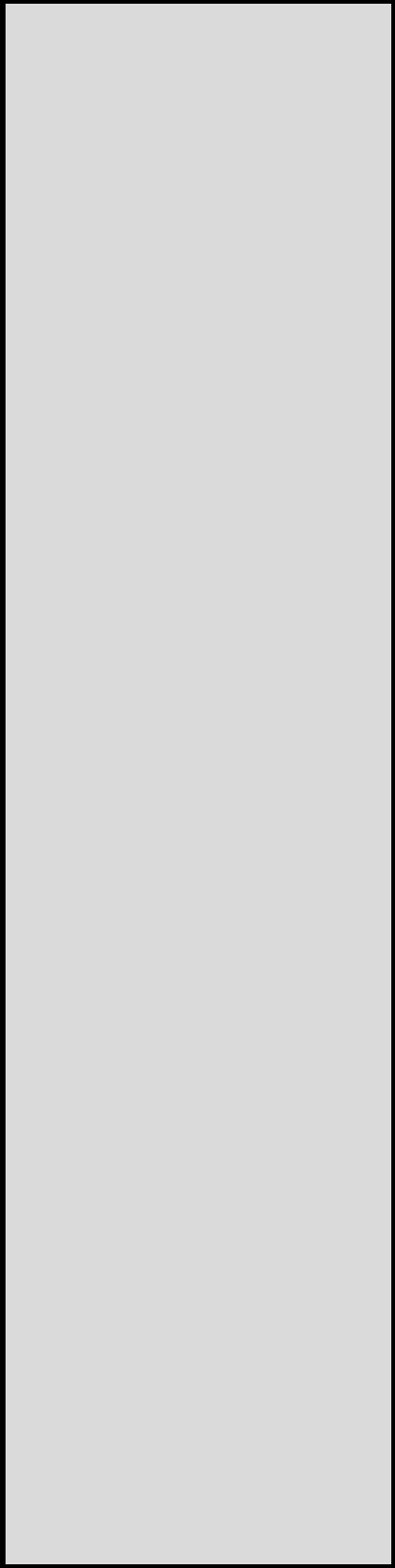
## **KEY RECOMMENDATIONS**

The Legislature should:

- Clarify the definitions of neglect and self-neglect in statute to ensure there is no duplication in reporting
- Consider dedicating other sources of federal funding, such as OAA Title VII or Medicaid Targeted Case Management funds, to APS for service delivery
- Consider leveraging state general fund dollars for Medicaid case management

ALTSD should:

- Include emotional abuse as a separate allegation type for purposes of APS reports and investigations
- Clarify the definitions of neglect and self-neglect in regulatory language to ensure there is no duplication in reporting
- Work with the Legislative Finance Committee and the Department of Finance and Administration to develop an updated performance measure for repeat adult maltreatment
- Seek independent validation of its client risk assessment tools
- Monitor APS caseloads to ensure that certain regions are not disproportionately overworked and consider reallocating case workers as needed
- Engage NMSU and other New Mexico colleges and universities to expand the Southwest region's social work internship program into other areas around the state
- Explore federal funding opportunities to improve the service delivery system through interagency collaborations
- Establish client outcome performance measures and require providers to routinely report outcomes.
- Complete the response to the House Joint Memorial on family caregivers so policy makers can work with APS to meet caregiver needs.
- Expedite the rollout of new audit requirements and consider update



of quarterly reporting so APS has more access to client specific outcomes.

- Investigate what opportunity exists to incorporate outcome date in the Harmony information system.
- Pursue interagency collaborations within the state to strengthen the service delivery system.
- Use the planned advanced reporting function of the Harmony system to produce more comprehensive data that can be reported to the public and stakeholders
- Track outreach activities using a consistent format and develop a plan to systematically monitor and analyze who is receiving outreach and its effects on APS utilization and outcomes
- Consider closing the Socorro field office if it cannot be staffed on a full-time basis
- Pursue additional bilingual intake agents to ensure minimal disparities between English and Spanish calls

## BACKGROUND INFORMATION

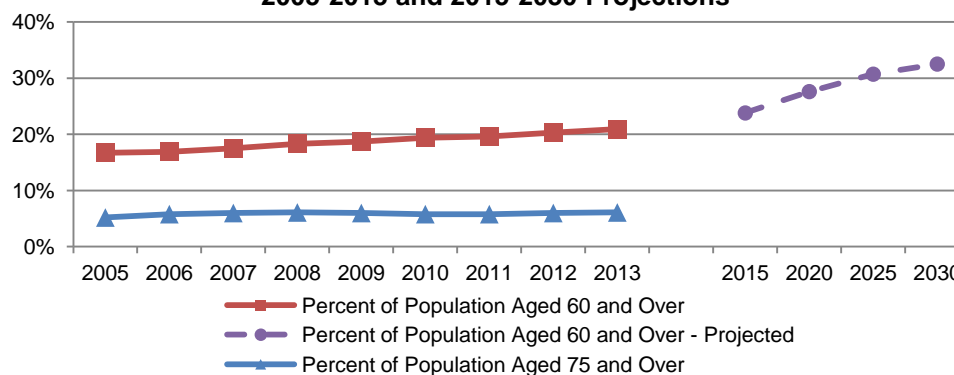
**The Adult Protective Services Act.** New Mexico's Adult Protective Services Act (Sections 27-7-14 through 27-7-31 NMSA 1978) requires the Aging and Long-Term Services Department (ALTSD) to establish and maintain a "coordinated system of protective services or protective placement for incapacitated or protected adults who have been abused, neglected or exploited." The Adult Protective Services (APS) system investigates reports of maltreatment of incapacitated adults aged 18 or over and provides short-term social, psychiatric, health, legal, and other services with the adult's consent or appropriate legal authority. APS provides these services with the goal of correcting or eliminating abuse, neglect, or exploitation and transitioning a protected adult to the least restrictive safe environment, which may include other ongoing or long-term services outside the APS system.

The act includes a "duty to report" provision that requires any person or financial institution that has reasonable cause to believe that an incapacitated adult is being abused, neglected or exploited to immediately report that information to the Aging and Long-Term Services Department (NMSA 1978 §27-7-30). Licensed facilities and group homes that serve vulnerable adults are required to report incidents of potential abuse, neglect, or exploitation to both APS and the Department of Health.

Statute requires ALTSD to ensure that APS maintains a process for the collection and analysis of data relating to adult protective services or protective placement and for the provision of an annual findings and recommendations report to the governor and the appropriate interim committee. The most recent annual report was published for FY13. The Act also provides for the establishment and use of multidisciplinary teams to develop treatment strategies and coordination between state agencies involved in services for protected or incapacitated adults. The department is directed to adopt rules necessary to operate the system, monitor the effectiveness of the system, and to use to the extent possible available resources to fund the system.

**New Mexico's aging population.** The population of New Mexicans aged 60 and over has grown steadily in recent years, and is expected to continue growing. This group comprised 21 percent of New Mexico's population in 2013, and is expected to reach nearly a third by 2030. According to the U.S. Census Bureau's American Community Survey, there were an estimated 436 thousand individuals aged 60 or over in the state in 2013, compared with roughly 315 thousand in 2005. This represents a 38 percent increase over a nine-year period. Data included in the ALTSD State Plan for 2013-2017 projects that as the baby boom generation ages, this number will grow to over 682 thousand by 2030, or roughly 33 percent of the state's population. This trend makes New Mexico one of the most rapidly aging states in the nation, going from 39th in the nation in percentage of its population over 65 in 2013 to fourth by 2030. As the population ages, there will be a greater burden on the state's health and long-term care systems, as well as on family and other caregivers, which could have a direct bearing on the demand for adult protective services.

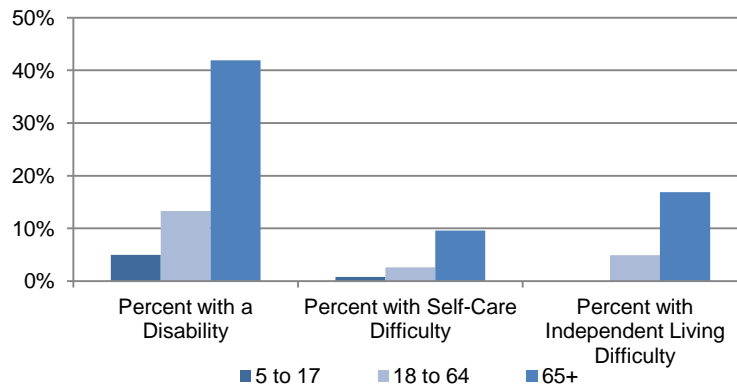
**Chart 1. Percent of New Mexico Population Aged 60 or Over, 2005-2013 and 2015-2030 Projections**



Source: American Community Survey, ALTSD 2013-2017 State Plan

**Aging and disability.** Among older New Mexicans, roughly 29 thousand, or 10 percent, have a self-care difficulty, and 51 thousand, or 17 percent, have trouble living independently. Forty-two percent of New Mexicans aged 65 or older have a disability of any kind, including self-care and independent living difficulties, making them particularly vulnerable to abuse, neglect, and exploitation. Even among adults younger than 65, about 33 thousand, or roughly 3 percent, have a self-care difficulty, and 62 thousand, or about 5 percent, have an independent living difficulty. The U.S. Census Bureau defines a self-care difficulty as having difficulty bathing or dressing, and an independent living difficulty as having difficulty doing errands alone such as visiting a doctor's office or shopping due to a physical, mental, or emotional problem.

**Chart 2. Disability Status of New Mexicans by Age Group, 2013**

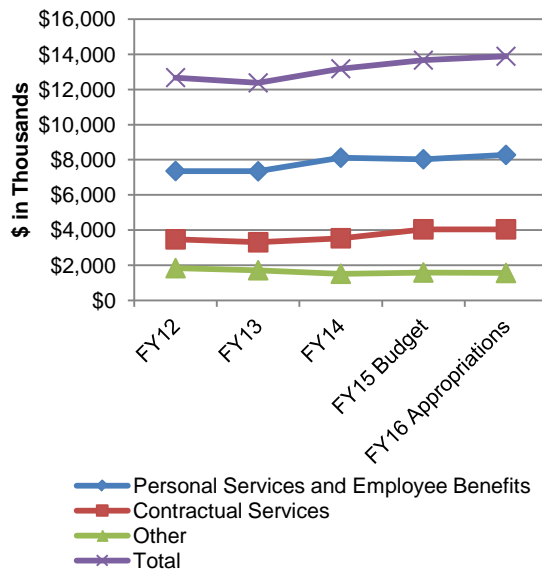


Source: American Community Survey

**Prevalence of elder abuse.** Relatively little is known about the prevalence of adult abuse, neglect, and exploitation in New Mexico or nationwide. Several studies have attempted to determine the extent of adult maltreatment, including abuse, neglect, and exploitation of older adults and individuals with disabilities. According to the National Center on Elder Abuse, which is part of the federal Administration on Aging, recent major studies on incidence estimated that between about 8 and 10 percent of study participants experienced abuse in the prior year, and one study estimated that only 1 in 14 cases of elder abuse ever comes to the attention of authorities. The only comprehensive national study of elder abuse incidence was published in 1998 and estimated that unreported incidents of abuse and neglect could outnumber reported and substantiated incidents by a factor of five to one.

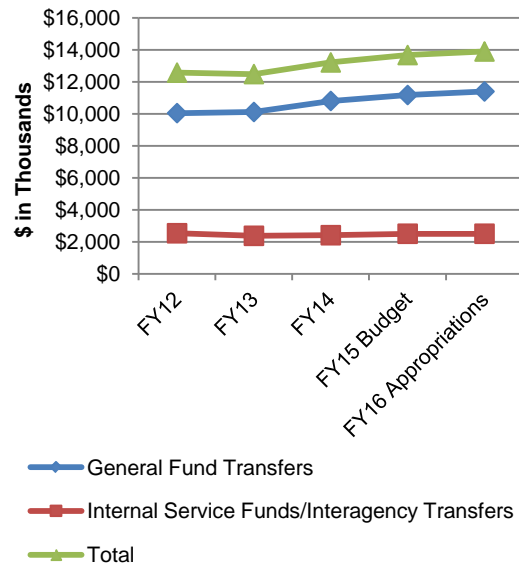
**Adult Protective Services Spending.** Funding for APS totals \$13.7 million in FY15, about 82 percent of which is supported by the state general fund, with the remainder coming from federal Social Services Block Grant funds transferred from the Children, Youth, and Families Department. Over half (about 59 percent) of the APS budget is devoted to personal services and employee benefits, while contractual services comprises 30 percent of the budget and other expenses make up the remainder. Overall, spending on the APS program increased by 8 percent between FY12 and FY15, largely driven by growth in contractual services spending. Expenditures in this category grew by 16 percent from FY12 to FY15, from \$3.5 million to \$4 million. All growth in appropriations occurred in general fund sources, which increased 11 percent, while spending from internal transfers decreased 1 percent. Appropriations for FY16 total \$13.9 million for APS, with a \$200 thousand increase for personal services and employee benefits and flat funding for contractual services, including home and adult day care services for victims of maltreatment, and other expenses.

**Chart 3. APS Spending by Expense Category, FY12-FY16**



Source: LFC Files

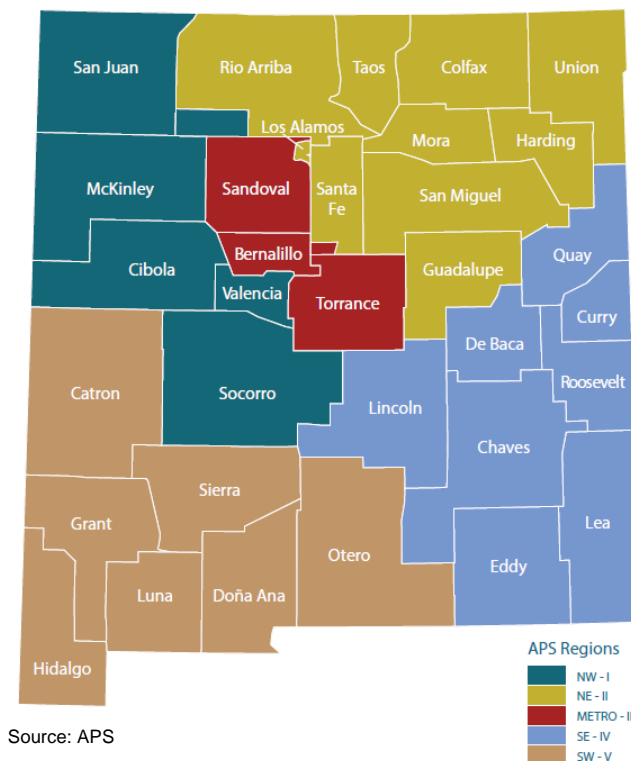
**Chart 4. APS Spending by Source, FY12-FY16**



Source: LFC Files

**Reports to APS are assigned to regions and prioritized based on severity.** APS regions generally are divided along county lines, but two regions incorporate parts of counties. Most of Sandoval County is located in the Metro region, except for a portion covered by the Northwest region. Likewise, most of Santa Fe County is in the Northeast region, with the exception of a small area included in the Metro region.

**Map 1. Adult Protective Services Regions**



Source: APS

Reports to APS are received at a central intake center at ALTSD's Aging and Disability Resource Center in Santa Fe and are assigned to regions based on the location of the incident. Case worker supervisors in field offices screen reports and assign them to case workers in the region for investigation. The cases with the most immediate needs are classified as emergencies, and others are designated priority one or priority two, with response times ranging from 24 hours to five days, depending on the nature of the report and the protective services required. For each level of investigation, the goal is for a caseworker to initiate face-to-face contact with the alleged victim within the target response time. The FY13 General Appropriation Act introduced this metric for emergency and priority one investigations as a performance measure. In FY13 and FY14, caseworkers initiated contact within the designated time frames in 98 percent of emergency and priority one investigations. The FY15 and FY16 budgets include a target of 98 percent for this measure.

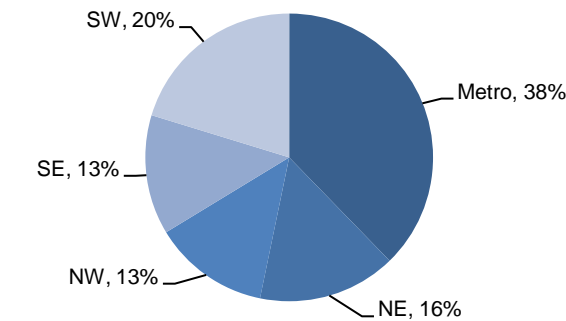
**Table 1. Adult Protective Services Case Prioritization**

Priority Level	Target Response Time
Emergency	Within 3 hours
Priority 1	24 hours
Priority 2	5 calendar days

Source: APS

**Investigations of abuse, neglect, and exploitation.** Areas with higher populations tend to have higher investigation volumes. APS's Metro region handled over one-third of all investigations in FY14, nearly twice as many as any other region. The Metro region, which includes Bernalillo County, was responsible for about 2,500 investigations, or 38 percent of all investigations in FY13. The Southwest region, which includes Dona Ana County, had the second most with about 1,400, or 20 percent of the total.

**Chart 5. APS Investigations by Region, FY14 (N=6,665)**



Source: APS



## FINDINGS AND RECOMMENDATIONS

### DEMAND FOR ADULT PROTECTIVE SERVICES IS INCREASING, BUT ITS IMPACT REMAINS UNCLEAR

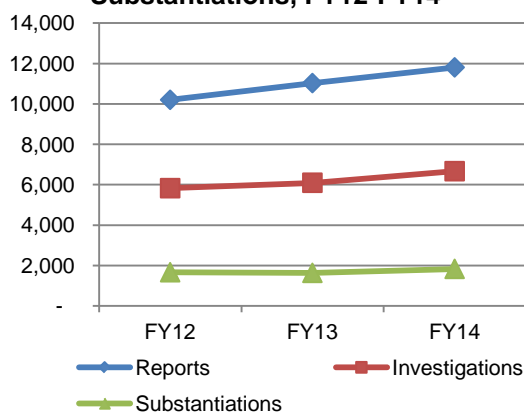
**New Mexico APS investigates over half of all reports of adult abuse, neglect, and exploitation.** When APS determines that a report of alleged abuse, neglect, or exploitation (A/N/E) of an adult warrants further investigation, the report is “screened in,” while all other reports are “screened out.” An investigation may determine that an allegation is substantiated if the preponderance of the evidence indicates that actual abuse, neglect, or exploitation has taken place. APS received nearly 12 thousand reports of A/N/E in FY14, of which about 6,700, or 57 percent, were screened in for investigation. Out of these, about 1,800 cases were substantiated.

APS’s total spending in FY14 totaled \$13.2 million, of which 81 percent was supported by the state general fund and 19 percent was derived from federal funds transferred from CYFD. Spending on investigation staff comprises roughly half of the APS budget, contracted social services for victims make up about 30 percent, and the remainder is used for administration and other purposes. Based on the average salary and benefit costs for filled positions, the total payroll for field personnel, including case workers, supervisors, and regional managers, was roughly \$6.4 million in FY14.

***Reports of adult abuse, neglect, and exploitation are increasing faster than substantiations, suggesting increasing awareness of adult maltreatment.*** Reports to APS increased by 16 percent between FY12 and FY14, while the number of reports screened in for investigation grew by about 14 percent during the same period. The number of substantiated cases rose slower than either reports or investigations, increasing by 10 percent between FY12 and FY14.

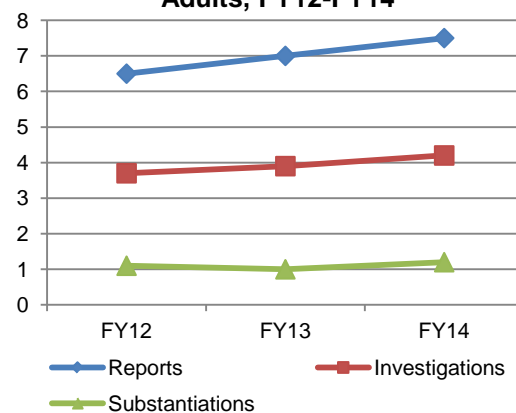
Rates of reports, investigations, and substantiations per one thousand adults are following a similar pattern. Based on 2012 population estimates, the rate of reports of abuse, neglect, or exploitation increased from 6.5 per thousand adults in FY12 to 7.5 per thousand adults in FY14. Meanwhile, the trend in substantiations per thousand adults during this period has been relatively flat, suggesting growing awareness of adult abuse, neglect, and exploitation relative to actual incidence. Through the first half of FY15, the average monthly rates of reports, investigations, and substantiations are all slightly lower than for FY14.

**Chart 6. Total Reports, Investigations, and Substantiations, FY12-FY14**



Source: APS

**Chart 7. Reports, Investigations, and Substantiations per 1,000 Adults, FY12-FY14**



Source: LFC Analysis

**Incidence of self-neglect is growing faster than all other allegation types.**

Self-neglect, which APS regulations define as “an act or omission by an incapacitated adult that results in the deprivation of essential services or supports necessary to maintain the incapacitated adult's minimal mental, emotional or physical health and safety,” is the most common allegation reported to APS. Self-neglect represented 61 percent of substantiated allegations in FY14, up from 57 percent in FY12. In FY14, APS recorded about 1,100 substantiated cases of self-neglect, an increase of about 19 percent from FY12 levels. All other types of allegations, including abuse, neglect by others, exploitation, and sexual abuse, either fell or remained steady as a percentage of the total number of substantiated cases. Sexual abuse was the allegation with the fewest substantiated cases, with a total of six in FY14.

***Self-Neglect***

APS regulations define self-neglect as “an act or omission by an incapacitated adult that results in the deprivation of essential services or supports necessary to maintain the incapacitated adult's minimal mental, emotional or physical health and safety.”

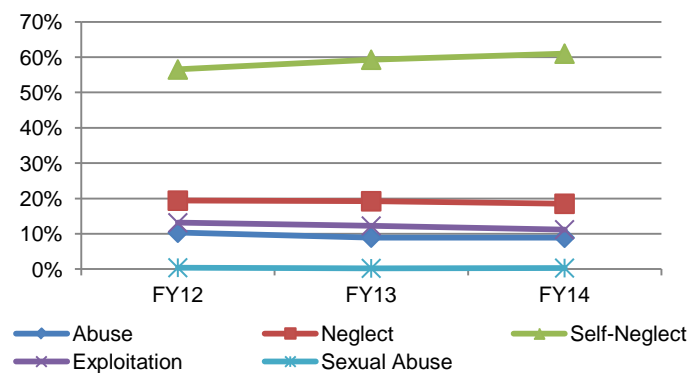
Source: 8.11.3.7 NMAC

**Table 2. Substantiated Allegations by Type, FY12-FY14**

<b>Allegation Type</b>	<b>FY12</b>	<b>FY13</b>	<b>FY14</b>
Abuse	172	146	163
Neglect	323	314	339
Self-Neglect	941	968	1,117
Exploitation	219	200	205
Sexual Abuse	7	4	6
Unknown	2	0	0
<b>Total</b>	<b>1,664</b>	<b>1,632</b>	<b>1,830</b>

Source: APS

**Chart 8. Percentage of Substantiated Allegations by Type, FY12-FY14**



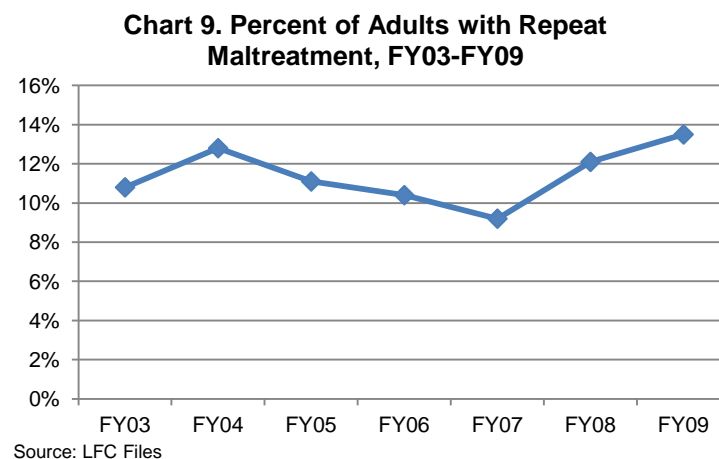
Source: LFC Analysis

***Statutory and regulatory language contains overlap in the definitions of neglect and self-neglect.*** Neglect is defined in the Adult Protective Services Act and the administrative code as “the failure of the caretaker of an adult to provide for the basic needs of the adult such as clothing, food, shelter, supervision and care for the physical and mental health for that adult.” The definition further adds that “neglect includes self-neglect.” Incorporating self-

neglect, which is defined separately, into the definition of neglect could create confusion in the substantiation and reporting of neglect allegations. If cases that fit the definition of self-neglect are reported as neglect, or possibly duplicated under each type of allegation, the quality and accuracy of APS allegation and substantiation data could be compromised, limiting the agency's ability to have a full understanding of abuse, neglect, and exploitation of adults in New Mexico.

**APS performance measures do not necessarily reflect the actual prevalence of adult maltreatment.** The FY15 General Appropriation Act included the number of APS investigations as a performance measure for the first time. Based on recent trends, the act established a target of six thousand investigations for FY15, which was increased to 6,100 investigations for FY16. The total of 6,665 investigations opened in FY14 already exceeds the FY15 and FY16 targets. However, the relatively flat trend in substantiation rates noted above suggests that investigation volume alone may not be a reliable indicator of adult maltreatment. Texas is an example of a state that reports annually on the incidence of maltreatment per one thousand adults both statewide and regionally.

***New Mexico APS does not report on repeat maltreatment, hampering the state's ability to determine the effectiveness of interventions.*** APS collected and reported data on repeat maltreatment as a General Appropriation Act performance measure through FY09, but this practice was discontinued in FY10 as repeat maltreatment rates were rising. After declining to a rate of approximately 9 percent in FY07, the rate of repeat maltreatment climbed to 12 percent in FY08 and a high of roughly 14 percent in FY09 before this measure was removed from the General Appropriation Act. Additionally, this measure did not specify if it was measuring cases of repeat maltreatment within a specified time frame, such as six months, as is the case with CYFD's measure of repeat child maltreatment, or comprised all cases of revictimization regardless of time between incidents.

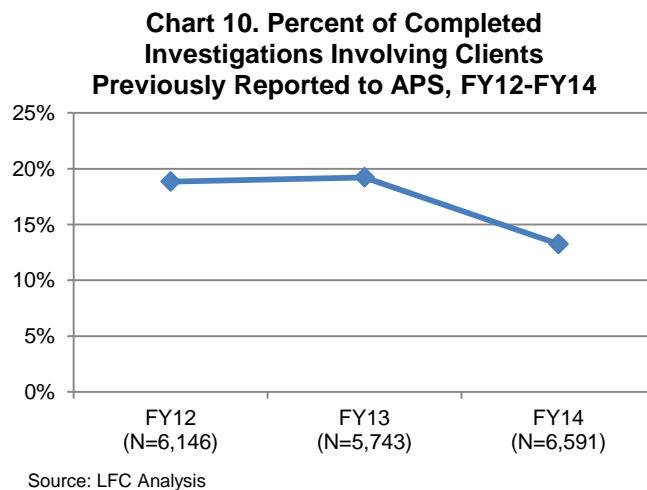


According to APS staff, this measure was removed in part because of questions about the pertinence of measuring revictimization among adults in the APS system. APS indicated that the nature of adult protective services differs from child protective services in that older adults may experience changes in their situation that precipitate APS contact for reasons that are not due to abuse or neglect, and that repeated calls to APS may not be indicative of substantiated allegations. APS also cited the difficulty and labor-intensiveness of calculating this measure with available data, as prior to the implementation of the current Harmony database, staff had to manually go through case data and count repeated instances rather than being able to use a faster, database-generated report.

***APS's data system allows for limited analysis of repeat maltreatment, but current reports do not capture this information on an aggregate basis.*** APS's process for entering case information into the Harmony database includes the assignment of a unique identification number for each report at intake. The information collected about a client at intake can be used to link the report to any previous reports or investigations involving the same individual. This allows APS case workers to see the records of individual clients who have previously been in the APS system. However, the Harmony system currently lacks the functionality to produce reports of repeat

maltreatment that can be used to assess ongoing trends, such as repeat instances of particular types of allegations or concentrations in specific geographic areas. APS is currently working with Harmony to develop an advanced reporting function which may be able to incorporate data into new reports, including for repeat maltreatment.

Using APS data containing report and investigation ID numbers and the dates cases were opened and closed, it is possible to develop a rough estimate of investigations involving clients who were previously the subject of at least one report to APS. As seen in Chart 10, roughly 19 percent of investigations closed in FY12 and FY13 and 13 percent of investigations closed in FY14 involved clients who were previously reported to APS.



It should be noted that this data is likely not directly comparable to that previously collected by APS or by other states, and there are some drawbacks to this data which may be able to be addressed through the advanced reporting function being developed by APS. These estimates are for completed investigations, not substantiated cases of maltreatment, although it may be possible for APS to incorporate substantiations into future reports. Additionally, the data above incorporates all clients who were the subject of multiple reports into the APS system dating back to January of 2009, rather than within the previous six or 12 months, which are common measures of repeat maltreatment. Finally, in the data used for these estimates, it is also difficult to separate out cases involving multiple allegations of maltreatment to the same individual, which are recorded as separate reports in the database but which may receive a single investigation.

***Reporting adult repeat maltreatment would put New Mexico in company with other states.*** Other states including Arizona, Texas, and Kansas, report on repeat maltreatment rates among APS clients. Kansas tracks monthly repeat maltreatment by APS region using a performance standard of 95 percent of adults without subsequent substantiated maltreatment within six months. Texas measures the percentage of APS clients referred to the APS system more than once during the fiscal year, including clients who refused services and had a subsequent APS referral. Arizona does not include repeat maltreatment in its statewide annual report, but the National Adult Protective Services Resource Center (NAPSRC) recognized the APS Service Coordination Program in Maricopa County, Arizona as an innovative practice in 2012 for using coordinated services between the state's APS program and the Region One Area Agency on Aging to reduce revictimization from 26 percent to under 2 percent since 2004. Finally, Cuyahoga County, Ohio, which includes the city of Cleveland, used an analysis of APS revictimization rates to develop quarterly reports to supervisors and a focus on cases that closed within 90 days to determine if cases may have closed prematurely.

**New Mexico's risk assessment tools for APS clients generally appear strong, but more information is needed to determine their effectiveness.** APS case workers in New Mexico employ a series of assessment and screening tools to determine abuse, neglect, or exploitation that are based on tools developed by the Benjamin Rose Institute on Aging and the state of Ohio. Case workers use the tools to observe and record signs of abuse, neglect, and exploitation and assess whether there is evidence of actual maltreatment, suspected maltreatment, or risk of

maltreatment if the adult remains in the current situation. Depending on this screening, the case worker may then use additional tools to evaluate other specific types of risk, such as relationship problems, mental or emotional health problems, cognitive status, behavior problems, and social supports and isolation. For some of these assessments, the case worker may be assessing both the alleged victim and the alleged perpetrator.

APS believes the primary screening tool to be evidence-based; however, New Mexico's adapted versions of these tools have not been independently validated through research. Reviews of elder abuse screening tools by the University of California at Berkeley and the Irish National Centre for the Protection of Older People point out that the Benjamin Rose Institute-developed screening tools and referral protocols require further empirical research and review to determine their effectiveness. New Mexico APS does use the validated Blessed Orientation-Memory-Concentration Test to screen for cognitive capacity, and the validated Geriatric Depression Scale to screen for depression in clients. Additionally, New Mexico's tools for assessing client risk were benchmarked for possible use by Vermont in a 2012 evaluation of that state's APS conducted by NASUAD.

**New Mexico compares well to other states in the types of adult maltreatment it investigates.** A 2012 national survey of adult protective services agencies conducted by the National Association of States United for Aging and Disabilities (NASUAD) reported on whether states investigate each of seven types of maltreatment: self-neglect, physical abuse, emotional abuse, sexual abuse, neglect by others, financial abuse, and other abuse. Although New Mexico responded that it investigates all of these except emotional abuse, APS does investigate allegations involving "mental anguish," as required under the current statutory definition of abuse. However, it does not currently categorize cases of emotional abuse separately for reporting purposes. Out of the 50 states plus the District of Columbia, 25 states responded that they investigate emotional abuse. New Mexico was one of 35 states that report self-neglect, 34 states that report sexual abuse, and 40 states that report financial abuse. New Mexico is also one of 37 states where the APS program serves all adults aged 18 and over, as opposed to only older adults.

***New Mexico falls in between nearby states in investigation and substantiation rates.*** Compared to other states in the region with publicly available APS data, New Mexico substantiated a higher percentage of reports and investigations than Arizona and Kansas, but a lower percentage than Texas. Kansas substantiated only about two percent of reports and five percent of investigations in FY14, although substantiations in that state do not include allegations of self-neglect. Arizona substantiated about six percent of reports, but does not report on the number of reports that receive investigations or the number of investigated reports that are substantiated. Texas substantiated by far the highest percentage of cases, with over half of reports and two-thirds of investigations substantiated in FY14. The wide variation in these rates between nearby states could be due in part to a lack of national standardization of APS criteria and investigation procedures.

**Table 3. Reports and Investigations  
Substantiated in FY14, New Mexico and  
Nearby States**

State	Percent of Reports Substantiated	Percent of Investigations Substantiated
Texas	53%	67%
<b>New Mexico</b>	<b>16%</b>	<b>28%</b>
Arizona	6%	Unknown
Kansas*	2%	5%

\* Does not include self-neglect  
Source: LFC Analysis

## **Recommendations**

The Legislature should:

- Clarify the definitions of neglect and self-neglect in statute to ensure there is no duplication in reporting.

ALTSD should:

- Include emotional abuse as a separate allegation type for purposes of APS reports and investigations.
- Clarify the definitions of neglect and self-neglect in regulatory language to ensure there is no duplication in reporting.
- Work with the Legislative Finance Committee and the Department of Finance and Administration to develop an updated performance measure for repeat adult maltreatment.
- Seek independent validation of its client risk assessment tools.



## APS CASELOADS MEET NATIONAL BENCHMARKS, BUT ARE NOT CONSISTENT ACROSS REGIONS

**APS caseloads are growing, but vary significantly by region.** The statewide average annual caseload increased from 72 in FY12 to 82 in FY14, while the average monthly caseload grew from seven to eight over the same period. Both case workers and their supervisors carry caseloads. There is wide variation in caseloads by region, with case workers in the Metro region carrying an average of 113 new investigations in FY14, or 12 investigations per month, while case workers in the Northeast region averaged 56 new investigations, or six per month. These figures include only new cases opened in a particular year or month, and do not include ongoing investigations that may have been opened in a previous period. As of the end of February 2015, approximately 6 percent of active investigations had been open for at least 12 months.

**Table 4. Average Annual Investigations per Case Worker, FY12-FY14**

Region	FY12	FY13	FY14
Metro	97	104	113
Northeast	46	54	56
Northwest	79	103	96
Southeast	66	71	66
Southwest	69	66	77
<b>Statewide</b>	<b>72</b>	<b>79</b>	<b>82</b>

Source: LFC Analysis

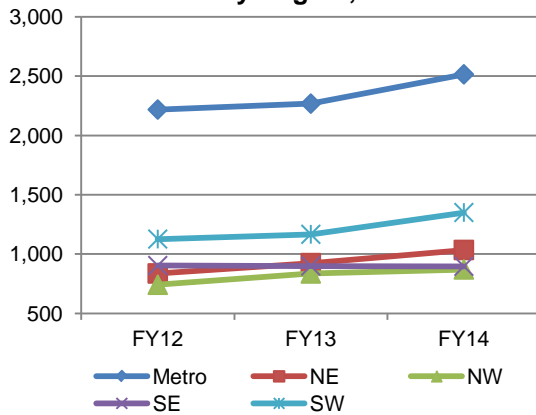
**Table 5. Average New Investigations per Case Worker per Month, FY12-FY14  
(NAPSA Benchmark = 25)**

Region	FY12	FY13	FY14
Metro	10	11	12
Northeast	5	5	6
Northwest	7	9	8
Southeast	7	8	7
Southwest	7	7	8
<b>Statewide</b>	<b>7</b>	<b>8</b>	<b>8</b>

Source: APS

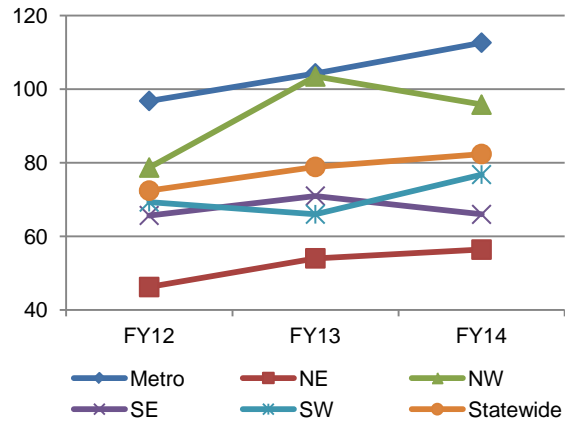
***Caseload growth is inconsistent across regions.*** On a regional level, changes in caseloads during this period do not necessarily align with changes in the volume of investigations. While caseloads in the Metro and Northeast regions increased relatively steadily from FY12 through FY14, the Northwest, Southeast, and Southwest regions experienced greater fluctuations. The Northwest region, for example, has the lowest investigation volume of any APS region, but has among the highest caseloads, likely owing to the highest case worker vacancy rate in the state. However, the Southwest region, despite having a low vacancy rate, experienced an increase in caseloads in FY14 due to a 16 percent increase in new investigations.

**Chart 11. Total Investigations Screened In by Region, FY12-FY14**



Source: LFC Analysis

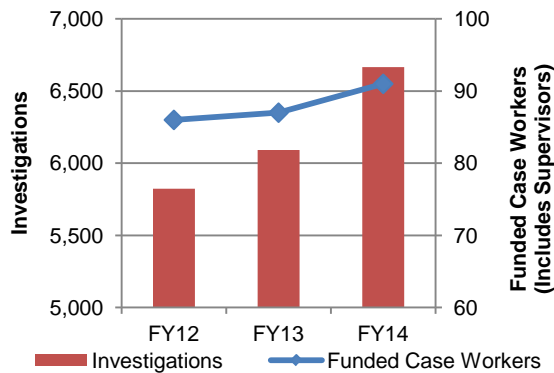
**Chart 12. Annual Investigations per Case Worker\*, FY12-FY14**



\* Includes supervisors  
Source: LFC Analysis

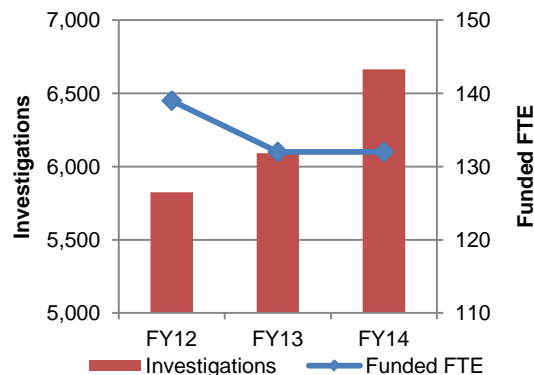
**Caseloads are increasing with investigations, but APS may be able to absorb the growing workload.** The number of funded APS case worker positions, including supervisors, increased by 6 percent from FY12 to FY14, from 86 to 91, while the number of investigations increased by 14 percent, from roughly 5,800 to nearly 6,700. This increase in case workers occurred even as APS's total staff decreased by five percent, from 139 full-time equivalent (FTE) employees in FY12 to 132 FTE in FY13 and FY14. Reductions in APS staff largely occurred among client service agents, who are APS-employed home care aides who provide limited home care services to clients awaiting enrollment in other services, due to an increase in referrals to contract home and adult day care providers.

**Chart 13. APS Investigations and Funded Case Workers, FY12-FY14**



Source: LFC Analysis

**Chart 14. APS Investigations and Funded FTE, FY12-FY14**



Source: LFC Analysis

**APS has struggled to fill additional case worker positions, especially in certain regions.** In FY12, an average of 80 case worker and case worker supervisor positions were filled per month out of 86 funded positions, for an average monthly vacancy rate of 7 percent. This increased to 11 percent in FY13 and FY14. In each of those years, there were 10 case worker vacancies per month, on average, including supervisors. The average monthly number of filled case worker and case worker supervisor positions declined from 80 in FY12 to 77 in FY13, before increasing again to 81 in FY14.

**Table 6. Funded versus Filled APS Case Workers (Including Supervisors), FY12-FY14**

	FY12	FY13	FY14
Funded Case Workers	86	87	91
Average Monthly Case Worker Positions Filled	80	77	81
Average Monthly Case Worker Vacancy Rate	7%	11%	11%

Source: LFC Analysis

While vacancy rates vary annually, the Metro and Northwest regions consistently have the highest caseworker vacancy rates of any APS region over the past three fiscal years, as well as the highest annual caseloads. The average monthly vacancy rate for case workers in the Northwest region has been above 20 percent for two of the past three fiscal years. While the region was fully staffed for three months in FY12, for most months in FY13 and FY14, at least two of the nine case worker positions and one of two or three supervisor positions in the Northwest region remained unfilled. In the Metro region, which includes Bernalillo County, vacancies have tended to be filled faster, but more frequent turnover and the overall large volume of cases in that region contributes to higher caseloads.

**Table 7. Average Monthly APS Case Worker Vacancy Rates by Region, FY12-FY14**

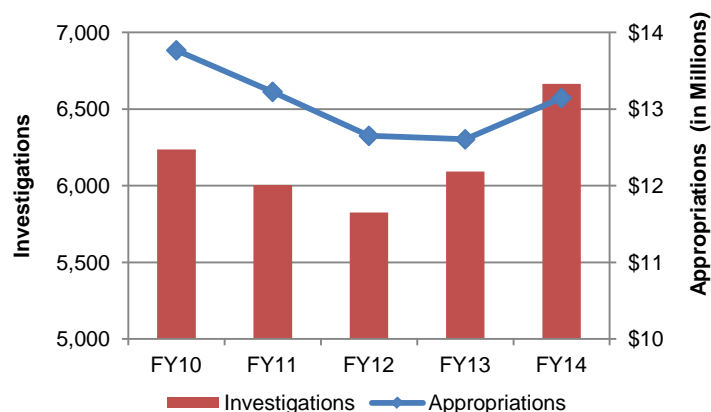
Region	FY12	FY13	FY14
Metro	8%	14%	16%
Northeast	5%	12%	6%
Northwest	14%	26%	20%
Southeast	2%	11%	9%
Southwest	4%	2%	2%
<b>Statewide</b>	<b>7%</b>	<b>11%</b>	<b>11%</b>

Source: LFC Analysis

During the second quarter of FY15, the vacancy rate for APS case workers and supervisors averaged three percent. This was well below the department-wide rate of nearly 10 percent for all of ALTSD, as well as the rate of 14 percent for all state employees, as reported by the State Personnel Office.

***Investigation growth is outpacing funding increases, but APS may be able to realign workloads within resource constraints.*** Appropriations for Adult Protective Services totaled \$13.1 million in FY14, an increase of about 4 percent over FY13 levels of \$12.6 million. The total payroll for APS field personnel, including case workers, supervisors, and regional managers, was roughly \$6.4 million in FY14, based on average personal services and employee benefits costs for case workers, supervisors, and regional managers. The number of investigations grew by over nine percent, to nearly 6,700, compared to roughly 6,100 in FY13. However, even as investigations increase, filling vacant positions or realigning case workers to areas with higher caseloads may allow APS to absorb additional workload with current resources.

**Chart 15. APS Investigations and Appropriations, FY10-FY14**



Source: LFC Analysis

***New Mexico's monthly caseloads beat the national benchmark, but comparisons with other states are difficult.*** The National Adult Protective Services Association (NAPSA) recommends a statewide average of not more than 25 cases per investigator per month, although it is unclear if this means new cases or also incorporates ongoing cases. Using this standard for newly screened-in investigations only, every region in New Mexico falls well within the benchmark, with a statewide average of eight new investigations per case worker per month in FY14.

**Table 8. Average New Investigations per Case Worker per Month, FY14**

NM APS Region	Average Monthly Caseload
Metro	12
Northeast	6
Northwest	8
Southeast	7
Southwest	8
<b>Statewide</b>	<b>8</b>
<b>NAPSA Benchmark</b>	<b>25</b>

Source: APS

A 2012 survey of state APS agencies by the National Association of States United for Aging and Disabilities (NASUAD) showed New Mexico as one of the five states with the largest average caseloads in the country, with an average caseload of between 76 and 100 cases per investigator, which is the range in which New Mexico's average annual caseload of 82 falls. However, the report does not make clear if caseloads are to be measured on a monthly, annual, or some other basis for the purpose of the survey. New Mexico APS does not include annual or monthly caseload data in its annual report, while other states report annual, monthly, or daily caseloads, making direct state-to-state comparisons difficult. Arizona's annual APS Activity Report notes the statewide average monthly caseload in narrative, while Texas reports its average daily caseload by region.

***Case worker internships in the Southwest APS region could provide a model for other regions to follow to improve recruitment and retention.*** The Southwest APS region, based in Las Cruces, regularly recruits interns from New Mexico State University's School of Social Work to gain experience by shadowing case workers in the field. Due to its proximity to the university, the Southwest region is also more easily able to recruit permanent case workers from the school and its internship program, which could contribute to the region's lower turnover rates

than other APS regions. APS could benefit its staff recruitment and retention by expanding these internships to other regions and exploring opportunities with other institutions of higher education in the state.

**APS has robust training requirements for the agency and provider staff, but does not have its own job classifications in the state personnel system.** A 2013 report from the National Association of States United for Aging and Disabilities indicates that only two-thirds of states require training through state policy and less than one-half require training through state statute. APS requires ongoing training for both APS and provider staff. All new provider staff must complete 16 hours of training on service delivery and all staff must complete 8 hours of training per year. Staff must prove competency through a New Mexico Home Association for Home Care certification examination.

While case workers in CYFD's Child Protective Services program are classified by themselves in the State Personnel Office system, APS case workers are classified as Community and Social Services Coordinator – Operational and case worker supervisors are classified as Community and Social Service Coordinator Supervisors. As of April 16, 2015, there were five open postings within the Community and Social Services Coordinator – Operational classification, including two APS case workers. The others included a Family Support Services Worker position in CYFD and two positions in the Department of Health.

Job postings for New Mexico APS case workers reference duties that are specific to APS functions in the "Purpose of Position" section of the posting, but the minimum qualifications are shared by all other job postings within the same classification. These minimum requirements include a bachelor's degree in social work, psychology, guidance and counseling, education, sociology, criminal justice, criminology, or family studies or services and two years of any combination of experience including working with communities, working on health or social service related matters, social work/case management experience, behavioral health and/or health care.

The minimum qualifications and pay ranges for New Mexico's APS workers are generally comparable to other states that have APS-specific classifications. Missouri, Oklahoma, and Texas have APS-specific positions in their state personnel classification systems and comparable pay to New Mexico. Of these selected states, only Texas does not specifically require a college degree, although its APS job postings state that a degree is preferred and experience and education can be substituted for each other.

**Table 9. APS Case Worker Classifications in New Mexico and Other States**

State	Position Classification	Approximate Pay Range	Degree Required
Missouri	Adult Protective and Community Worker I and II	\$30,000 - \$46,000	Yes
	Adult Protective and Community Supervisor	\$39,000 - \$55,000	Yes
New Mexico	<b>Community and Social Service Coordinator – Operational</b>	<b>\$32,000 - \$55,000</b>	<b>Yes</b>
	<b>Community and Social Service Coordinator Supervisor</b>	<b>\$35,000 - \$62,000</b>	<b>Yes</b>
Oklahoma	Adult Protective Services Specialist I through III	\$27,000 - \$58,000	Yes
	Adult Protective Services Specialist IV (Supervisor level)	\$35,000 - \$64,000	Yes
Texas	Adult Protective Services Specialist I through III	\$31,000 - \$54,000	No
	Adult Protective Services Specialist IV and V (Supervisor level)	\$37,000 - \$63,000	No

Source: LFC Analysis

***New Mexico APS does not require any employees to have specialized experience in financial abuse and exploitation, and other states may provide models to follow in this area.*** While APS's core training program includes instruction on assessing financial exploitation, there are no positions among APS case workers that are specifically dedicated to handling these cases. Additionally, APS has not dedicated any multidisciplinary teams to

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focus on the issue. Programs in other states provide examples of multidisciplinary approaches to financial exploitation that could be employed in New Mexico. For example, Santa Clara County, California's Financial Abuse Specialist Team (FAST) is a multidisciplinary team that comprises APS and other local stakeholders including law enforcement and the District Attorney, and which responds to financial abuse and exploitation allegations and prescribes interventions. The Massachusetts Bank Reporting Project is a partnership between that state's Attorney General, Executive Office of Elder Affairs (which houses APS), and financial institutions that provides training to banks on financial exploitation of individuals over the age of 60 and helps them develop protocols for addressing financial abuse.

## **Recommendations**

ALTSD should:

- Monitor APS caseloads to ensure that certain regions are not disproportionately overworked and consider reallocating case workers as needed.
- Consider engaging NMSU and other New Mexico colleges and universities to expand the Southwest region's social work internship program into other areas around the state.



## MORE ACCOUNTABILITY IS NEEDED WITH REGARD TO FUNDING AND CLIENT OUTCOMES IN POST INVESTIGATION SERVICES

**From FY12 through FY15 YTD, APS spent nearly \$12 million for social services to an annual average of 1,700 victims of abuse, neglect, or exploitation.** Once an investigation substantiates abuse, neglect, or exploitation, the client may be referred to a contracted service provider. Home care services and adult day care are the most common services provided to clients, and providers are selected through a request for proposal process.

Individuals, 18 years of age or older, screened for services must pass need and institutional Medicaid financial eligibility criteria. The allowable income limit is \$2,199 per month with a resource limit of no more than \$2,000. The resource limit refers to bank balances, trusts, regular dividends, rental or other property in which they do not reside. Eligibility determination is not required prior to the implementation of emergency shelter or caregiver services. In addition to eligibility screening, providers are directed to assist clients in applying for long-term care programs, meals, nutritional programs, community mental health services, transportation services, and other community services for which they may be eligible.

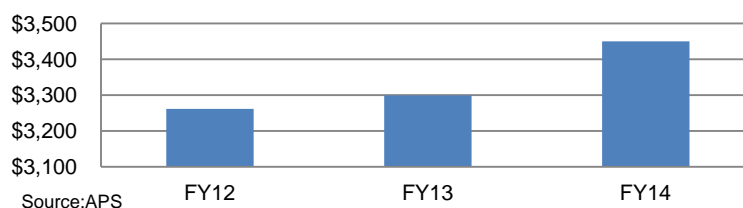
Individuals meeting the requirements are eligible for a limited array of services. Table 10 lists services eligible for reimbursement. Chart 16 shows expenditures on care and adult day care, which are the primary services provided to clients.

**Table 10. APS Funded Services**

Service	Description
Emergency Shelter/Caregiver Services	These services are only utilized in an emergency situation until a permanent safe environment is located. Placement is provided in a caregiver's home or an appropriately licensed facility. The intent is to protect the individual who has continued risk of abuse, neglect, or exploitation.
Attendant Care	Provision of temporary, non-medical personal care to a functionally impaired adult in the client's own home by a caregiver when no other service options exist.
Home Care Services	Provision of non-medical personal care and light housekeeping by APS or contracted providers for adults who have physical or mental disabilities that cause a functional disability to meet their basic care or home maintenance needs
Adult Day Care	Provision of services in a licensed facility where the client receives supervision and structure to aid in meeting their established goals. Frequency of attendance is dictated by the client needs for services and ability to attend.
Chore Services	The provision of periodic, labor intensive work necessary to maintain a safe and hygienic living environment or to restore homes to a more safe and habitable condition. Chore Services may include tasks that support persons residing in homes without indoor plumbing and/or electricity or those heated solely by wood, coal or other sources. The Chore component may also involve contracting for or providing pest control services or the removal of materials that could constitute a health or safety hazard.

Source: APS Rules and Regulations

**Chart 16: FY12-FY14 APS Primary Service Expenditures**  
(in thousands)

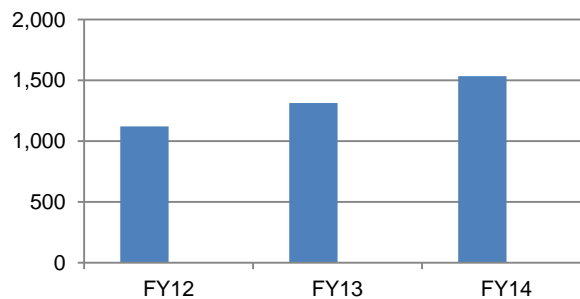


APS recommends a limit of ten hours per week for day care and three hours per week for home care. It also recommends that services begin within two weeks of the APS referral, but per quarterly reports, most all providers consistently start service within a shorter time period.

In addition to the services referenced in Table 10, providers are able to bill for service management, the time spent managing the case.

***The number of clients receiving services has increased by over one-third since FY12, exceeding performance targets.*** Just over 1,500 clients received in-home or adult day care services as a result of an APS investigation in FY14, up 37 percent from about 1,100 in FY12. The volume of clients served is included as a performance measure in the General Appropriation Act. The target for FY15 is 1,250 clients, and the target for FY16 is 1,500 clients.

**Chart 17: FY12-FY14  
Number of Service Recipients**

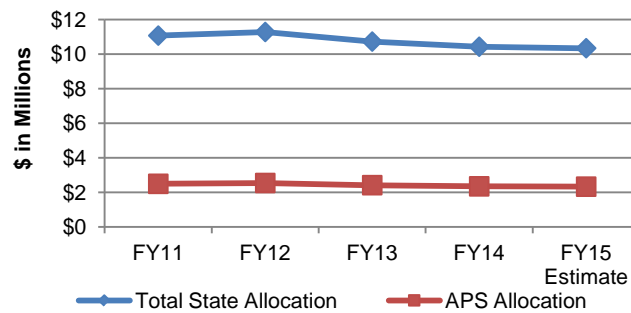


Source: APS

***General fund spending on service providers is increasing, while the amount of federal funding used by New Mexico's APS system has not increased since FY12.*** APS uses federal Social Services Block Grant (SSBG) Title XX funds for contractual home and adult day care services provided to victims deemed to require care upon a determination of substantiated abuse, neglect, or exploitation. ALTSD receives this funding via interagency transfer from CYFD through a series of Joint Powers Agreements (JPAs) dating back to 2005, when the APS program was transferred from CYFD to ALTSD. CYFD is the state agency that applies for and administers New Mexico's Title XX funding. The most recent JPA was effective beginning in FY14 and will expire at the end of FY16. Under these agreements, ALTSD receives 22.54 percent of the state's Title XX allocation for use by the APS program.

The amount of Title XX funding transferred to APS has decreased or remained stagnant for the past several years, as seen in Chart 18. Meanwhile, state general fund spending on APS service providers increased by 46 percent between FY12 and FY14, from \$886 thousand to \$1.1 million. Based on the 22.54 percent allocation to ALTSD under the JPA, the final FY15 Title XX allocation is estimated to be approximately 2.3 million, or about 8 percent below the roughly \$2.5 million allocation for FY12, which marked the recent high in New Mexico's Title XX funding. New Mexico's total allocation in that year was \$11.3 million. The Administration for Children and Families' revised third-quarter allocations for FY15 will bring the state's total for this fiscal year to \$10.3 million, or 8 percent below the FY12 level.

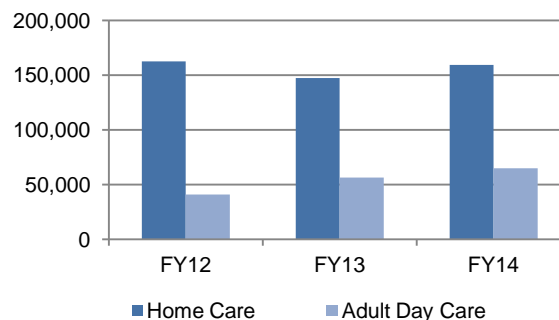
**Chart 18. Federal Social Services Block Grant Title XX Allocations for New Mexico, FY11-FY15**



Source: LFC Analysis

ALTSD prioritizes the use of SSBG Title XX funds over state general funds for services. Providers are reimbursed for actual units of service provided at specific rates for each type of service, up to the contracted amount. Funds may be reallocated among providers based on the pace of home care spending. For instance, if a provider exceeds its contract amount, ALTSD may execute change orders to increase the contract using funds available due to other contractors coming in below their expected spending.

**Chart 19. Units of Service, FY12-FY14**



Source: APS

***Other states leverage other sources of federal funds for APS, including Older Americans Act and Medicaid funding, that New Mexico does not.*** In the 2012 NASUAD survey of state APS agencies, New Mexico was one of 18 states that used SSBG Title XX funds for adult protective services either at the state or county level. Ten states used Older Americans Act (OAA) funding, either through Title III funding for aging services or Title VII funding for adult abuse, neglect, and exploitation prevention. In New Mexico, Title VII funding is allocated to the Office of the Long-Term Care Ombudsman, which advocates for the rights of residents of residential long-term care facilities, which are generally not covered by APS investigations or services. Four states (Arizona, Minnesota, Missouri, and New Hampshire) used a combination of SSBG Title XX and OAA funding. Additionally, five states used Medicaid targeted case management (TCM) funds to assist APS clients with access to services, three of which (Alabama, Georgia, and Maryland) also used SSBG Title XX funds.

***Efforts to increase federal funding to states for adult protective services and elder abuse prevention have not been successful, and current opportunities for federal funding are limited.*** The federal Elder Justice Act (EJA) was passed by Congress as part of the Affordable Care Act in 2010 and authorized new programs to provide grants to states for APS and elder justice programs for federal FY11 through federal FY14. However, none of these funds were ever appropriated by Congress. These included \$26 million over this four-year period for elder abuse, neglect, and exploitation forensic centers, \$400 million for APS enhancement grants and \$100 million over the same period for APS demonstration grants, \$22.5 million for long-term care ombudsman capacity-building grants, and \$40 million for long-term care ombudsman training grants.

**APS does not track and providers do not consistently report client outcome data.**

Contracts with APS service providers do not direct a performance driven, service delivery system. Although the RFP for home and adult day care contractors suggests a robust performance monitoring program with the statement that “The Aging and Long-Term Services Department has implemented an Outcome Management System”, resulting provider contracts do not require monitoring and reporting individual client functional or social status changes. Mandated quarterly provider reports are inconsistent and may often lack requested information. More comprehensive practices for collecting and reporting this information are in place in other states. As examples, APS entities in Virginia and Oregon require reporting of risk factor reductions or improvements in overall living situations after three months of interventions.

APS has yet to fully capitalize on opportunities to collect a wealth of information which would aid in preparing the system for the projected increases in need for services. Without consistently tracked service delivery information or client outcome data, the state cannot assure global or individual interventions actually improved situations leading to abuse and neglect.

***Limited information exchange between APS and providers may compromise client outcomes.*** Despite serving as the funding agent, once APS closes a case, providers are not required to provide any client-specific information to APS. From this point forward APS will have information available through invoice billing, quarterly reports, and annual audits. Invoices serve only as reimbursement requests, listing number of services provided without relating the services to specific clients. Quarterly reports, although guided by a template, are not consistently completed. Annual on-site provider audits offer an opportunity for APS to review individual client records, but data from any client admitted and discharged within the year would be absent from the audit.

***The aging of New Mexico’s population will significantly impact the need for services to adult victims of abuse, neglect, or exploitation.*** In November, 2014, an ALTSD report to the LFC identified approximately 60 percent of individuals receiving APS-funded services were aged 70 or older. This trend will continue with 2030 projections placing New Mexico as fourth in the nation for population age 65 or older. As previously stated, federal funding has remained stagnant over time, increasing the reliance on state general funds to meet service needs. There is no reason to predict increases in the federal funding in the upcoming years.

***Institutional placement may not reduce risk of harm as much as in-home services.*** The purpose of the New Mexico Adult Protective Services Act, in compliance with federal law, is to establish a system of protective services and protective placement and to ensure the availability of those services or placement to all adults in need of them. The law requires that any authorization for services and placement impose the least possible restriction on the exercise of personal and civil rights and religious beliefs consistent with the adult’s need, and requires that due process be followed in imposing those restrictions.

***Medicaid Targeted Case Management for APS Clients in Alabama***

Alabama uses Medicaid Targeted Case Management funds to assist Medicaid-eligible APS clients with obtaining needed services. The 2015 Alabama Medicaid Provider Manual designates APS clients as one of eight target groups for TCM funds, and targeted case managers who work with Alabama APS clients must demonstrate experience in investigating abuse, neglect, or exploitation in domestic settings and in providing follow-up services to victims.

Source: Alabama Medicaid Agency

**Table 11: Service Requirements in New Mexico's Adult Protective Services Act**

<ul style="list-style-type: none"> <li>• A process for the collection and analysis of data relating to adult protective services or protective placement and for the provision of an annual findings and recommendations report to the governor and the appropriate interim committee;</li> </ul>
<ul style="list-style-type: none"> <li>• The establishment and use of multidisciplinary teams to develop treatment strategies, ensure maximum coordination with existing community resources and provide comprehensive assessment and case consultation on difficult or complex cases, provided that the adults' privacy and confidentiality rights in such cases are protected;</li> </ul>
<ul style="list-style-type: none"> <li>• Coordination among the various state or local agencies that serve incapacitated or protected adults;</li> </ul>
<ul style="list-style-type: none"> <li>• Adopt rules necessary to implement and operate the system and to monitor and evaluate the effectiveness of the system, and</li> </ul>
<ul style="list-style-type: none"> <li>• Emphasize the need for prevention of abuse, neglect or exploitation of adults.</li> </ul>

Source: NM state statute

In compliance with this mandate, APS focuses on the delivery of home-based services in lieu of institutional placement. Nursing home and other like placements may expose clients to greater risks as demonstrated by the 2013 Centers for Medicare and Medicaid Services Nursing Home Compendium.

**Table 12: 2012 Nursing Home Health Deficiencies  
All Size Facilities**

Nursing Home Surveys Resulting in a Health Deficiency of Actual Harm or Immediate Jeopardy	
Nation	11.2%
New Mexico	26.7%
Nursing Home Survey Resulting in a Citation for Substandard Quality of Care	
Nation	8.3%
New Mexico	12%

Source: CMS Nursing Home Compendium 2013

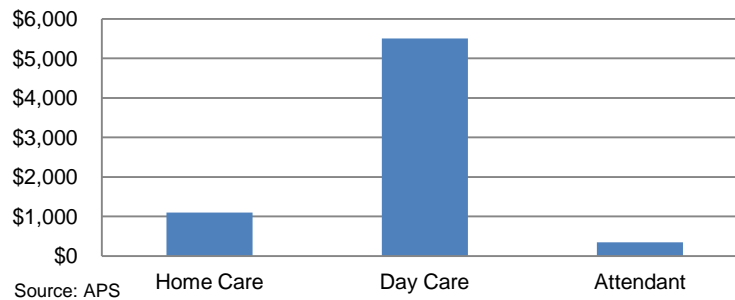
*Family members or other care givers willing to provide attendant services save the state millions of dollars, but lack supports to maintain the constancy of the needed care.* The department estimates that over 400 thousand individuals in New Mexico are providing care to adult relatives or friends, equating to over 270 million care hours in a year, at an estimated monetary value of over \$3 billion. In return for services delivered, attendants receive minimal compensation. In comparison to nursing home care and other APS services, attendant care is a financial advantage to the state. The cost of nursing home care was nearly \$80 thousand per year, according to a 2013 Genworth Financial report. Chart 20 showing APS projected costs for attendant care compared to other APS services is also cost favorable to the state.

**Table 13: Attendant Care Rates**

Hours per Day	Daily Rate	Monthly Rate
6	\$5.00	\$150
12	\$8.33	\$250
18	\$11.67	\$350
24	\$15.00	\$450

Source: APS

**Chart 20: APS Annual Average Cost Per Client**



Studies have shown that care givers are subject to sleep deprivation and depression, which is exacerbated when respite services are not available. In 2014, the Legislature, in recognition of the number of family members providing care to elderly family members, passed House Joint Memorial 4, directing a task force to study the role of family care givers, identify policies and resources available to family caregivers and identify policies and programs to support family caregivers. The Memorial directs ALTSD to produce a final report on the work of the task force by November 1, 2015.

***APS has not taken a leadership role in coordinating services and programs among various state and local agencies that serve protected or incapacitated adults.*** By statute, ALTSD is directed to develop a coordinated system of protective services or protective placement. However, APS has not assumed the role to better coordinate services and programs across the broader system serving this population.

Although APS claims 28 active multidisciplinary teams across the five regions, the division has not initiated teams which could address larger-scale issues. Other states, including California, Colorado, Florida, Iowa, Minnesota, Montana, Nevada, and South Carolina, have convened teams to improve coordination statewide with individuals from the disciplines of medicine, public health, mental health, social work, law, and law enforcement. As examples, these teams provide cross discipline education to the public and other professionals, improvement involvement of geriatric medicine providers, assist with the development and operation of specialty courts, or assist in data collection and research. Many opportunities for improvement exist, especially for the elder population.

Research from fatality review teams for child abuse and domestic violence have proven to have an impact on improving system responses to victims. Based upon the success of those teams, many states have implemented elder abuse fatality review teams. Through reviews of those deaths, the teams can identify social patterns contributing to fatal outcomes, identify service gaps, develop intervention strategies, educate the public, and prevent deaths. According to the National Association of States United for Aging and Disabilities, elder fatality reviews exist in 20 states. New Mexico does not have a fatality review team.

Another approach to improving the adult abuse service system is the establishment of elder courts such as the one in Contra Costa County, California. Elder courts are relevant to the system given the incidence of abuse to senior citizens. This required collaboration from the local aging network, the district attorney and public defender offices, law enforcement, mental health providers, and local law schools. The court hears any case involving an elderly victim: civil, probate, conservatorships and guardianships, restraining orders, and landlord/tenant issues, centralizing functions to simplify the system which may otherwise overwhelm elder adults.

***APS and other state entities have made strides improving the service delivery system.*** New Mexico was a leader in implementing change to better protect vulnerable adults. In 2005, before many other states, New Mexico took steps to ensure safety of victims through legislation requiring an employee abuse registry. Providers are required to report to the registry any individuals employed by or on contract to provide direct care that have substantiated abuse, neglect, or exploitation charges. Before a provider hires or contracts with an employee, the provider will



inquire to determine if the individual is included in the registry. Providers will not hire or contract with these individuals. A provider's failure to comply with the law is subject to a corrective action plan or civil monetary penalty.

The Second Judicial District Court in Bernalillo County has created a Special Master position to better monitor guardianship and conservatorship programs. Currently there are over 8,000 guardianships and conservatorships, with nearly 200 new cases filed annually. The Uniform Probate Code requires the court to reviews each case at least every 10 years. To better inform the court on the case status, the Special Master conducts home visits giving the courts a truer perspective of the status of the protected person. The implementation is in the beginning phase and expansion to other legal issues is not being considered at this time.

## **Recommendations**

The Legislature should:

- Consider dedicating other sources of federal funding, such as OAA Title VII, to APS for service delivery.
- Consider leveraging state general fund dollars for Medicaid case management.

APS should:

- Explore federal funding opportunities to improve the service delivery system through interagency collaborations.
- Establish client outcome performance measures and require providers to routinely report outcomes.
- Complete the response to the House Joint Memorial on family caregivers so policy makers can work with APS to meet caregiver needs.
- Expedite the rollout of new audit requirements and consider update of quarterly reporting so APS has more access to client specific outcomes.
- Investigate what opportunity exists to incorporate outcome data in the Harmony information system.
- Pursue interagency collaborations within the state to strengthen the service delivery system.

## APS COULD IMPROVE DATA TRANSPARENCY AND OUTREACH EFFORTS

**New Mexico reports key APS data to the public, but other states publish much more comprehensive information.** New Mexico's Adult Protective Services Act requires ALTSD to collect and analyze APS data and submit an annual findings and recommendations report to the Governor and the appropriate interim legislative committee. The most recent annual report published by New Mexico's APS program, for FY13, includes aggregated data on reports and investigations statewide, by region, and by county; graphs that break down reporting sources and types of substantiated investigations; and aggregated data on the types of post-investigation services received and the age of those receiving them. However, there is room for New Mexico to expand and enhance its reporting of APS data to the public, as illustrated by examples from Texas and Arizona.

**Table 14. Data Included in APS Annual Reports**

New Mexico	Texas	Arizona
<ul style="list-style-type: none"> <li>• Total reports and reports screened in and out by region and county</li> <li>• Total reports by month for the year of the report</li> <li>• Total investigations and screened out reports annually (last 7 years)</li> <li>• Percent of investigations requiring 24-hour response annually for (last 6 years)</li> <li>• Percent of reports by reporting source (6 sources)</li> <li>• Percent of substantiated allegations by type of allegation (4 types)</li> <li>• Total victims by age range</li> <li>• Total victims by gender</li> <li>• Services provided to clients by type of service (last 5 years)</li> <li>• Number of clients receiving contracted home care (last 5 years)</li> <li>• Clients in home care by age range</li> <li>• Breakout of clients receiving home care services by type</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing information (average FTE, tenure, turnover rates, salary levels, and staff and supervisor demographics)</li> <li>• Total expenditures for APS in-home staff and purchased services</li> <li>• Flowchart showing process from investigation assignment to case closing</li> <li>• Maps of target populations (65+ and 18-64 disabled populations) by county</li> <li>• Intake by priority, region, and source (22 sources)</li> <li>• Intake, completed, and validated (substantiated) investigations for last 3 years</li> <li>• Incidence of maltreatment per 1,000 adults by region</li> <li>• Validated investigations by county</li> <li>• Validated, invalid, and unknown-outcome investigations by region</li> <li>• Daily caseload by region</li> <li>• Investigations by region, with average length and disposition</li> <li>• Recidivism statewide (last 5 years) and by region (last year)</li> <li>• Characteristics of validated victims (age, sex, race, disability status)</li> <li>• Perpetrator information (age, sex, race, marital status, relationship to victim)</li> <li>• Referrals to law enforcement by region</li> <li>• Victims of family violence in validated investigations by region</li> <li>• Validated allegations by region by type of abuse/neglect/exploitation</li> <li>• Duration of service delivery stages for victims</li> <li>• Completed service delivery stages by region</li> <li>• Non-purchased client services delivered by region</li> </ul>	<p><b>Statewide:</b></p> <ul style="list-style-type: none"> <li>• Total reports received statewide and by district by type of allegation (3 types)</li> <li>• Total number of inquiries and reports statewide (last 5 years)</li> <li>• Number and percent of allegations investigated (3 types, last 5 years)</li> <li>• Number and percent of clients by age group (last 5 years)</li> <li>• Number and percent of clients by gender (last 5 years)</li> <li>• Number of clients by race (last 5 years)</li> <li>• Number of clients by living arrangement (6 living arrangement categories, last 5 years)</li> <li>• Number and percent of perpetrators by relationship to client (5 relationship categories, last 5 years)</li> <li>• Number and percent of reports by relationship to client (10 relationship categories, last 5 years)</li> </ul> <p><b>For each county:</b></p> <ul style="list-style-type: none"> <li>• Total, substantiated, and unsubstantiated investigations by type of allegation</li> <li>• Number and percent of clients by age group</li> <li>• Number and percent of clients by race</li> <li>• Number and percent of clients by monthly income</li> <li>• Number and percent of clients by gender</li> <li>• Number and percent of clients by living arrangement</li> <li>• Number and percent of clients by dwelling facility type</li> <li>• Number and percent of reporting sources by relationship to client</li> <li>• Number and percent of perpetrators by relationship to client</li> </ul>

Sources: FY13 New Mexico APS Annual Report; Texas Department of Family and Protective Services 2014 Annual Report and Data Book; Arizona Department of Economic Security FY14 APS Annual Activity Report

Compared to New Mexico, both of those states more consistently publish historical data, generally from the five preceding years, for many APS data items. They also include more detail on the sources of reports and provide data about perpetrators. Texas also reports on program staffing, while Arizona's report contains information on

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caseloads, APS partnerships with other agencies and law enforcement, and individual reports for each county (Appendix D).

*The Harmony system collects data that is not currently, but could be, reported to the public on an aggregate level.* APS staff use a database developed under a contract with Harmony Information Systems to manage its case data. APS's Harmony database is divided into two components, one for intake and one for investigations. Data entered into the system is compiled into several "canned" reports, which APS management uses to monitor the progress and status of cases. These are generally summary reports that in some cases can be further drilled down to get further information. The system also includes an ad hoc reporting function which allows case workers to search for specific information on alleged victims, alleged perpetrators, records of specific allegations, and records of specific documentation of milestones in the investigation process.

**Figure 1. Canned Reports Generated by the APS Harmony Database**

**Intake canned reports**

Intakes Outstanding by Screening Queue (Admin)	Administrative - Specify the report parameters by Date range, Region and County. The summary report displays a list of screening queue(s) and an unduplicated total count of intakes that are outstanding. Drill down to display additional information.
Screened Out Intakes by Intake Worker (Admin)	Administrative - Specify the report parameters by Date Range and Region. The summary report displays an unduplicated count of screened out intakes, total intakes received and a percentage screened out. Drill down to display additional information.
Intakes by Screening Queue by Screening Priority (Admin)	Administrative - Specify the report parameters by Region, County, Date Range and Report Status and displays information about the alleged victim broken out by Screening Queue and then by Screening Priority with a total count for each screening priority.

**Investigation canned reports**

Investigations By Investigator and Supervisor (Admin)	Administrative - Specify the report parameters by Date Range. The summary report displays a list by investigator and provides an unduplicated count by status. View additional information about the Alleged Victim.
Dormant Investigations by Investigator and Supervisor (Admin)	Administrative - Displays by Date Range and supervisor and provides information about the number days, hours and minutes the investigation has remained in a "New" status and the elapsed time from the report date and time and the current date and time.
Investigations by Determination by Investigator and Supervisor (Admin)	Administrative - Specify the report parameters by Date Range. The summary report will show a list of investigators and the number of cases broken out by determination and total number of closed cases. Drill down to get additional information.

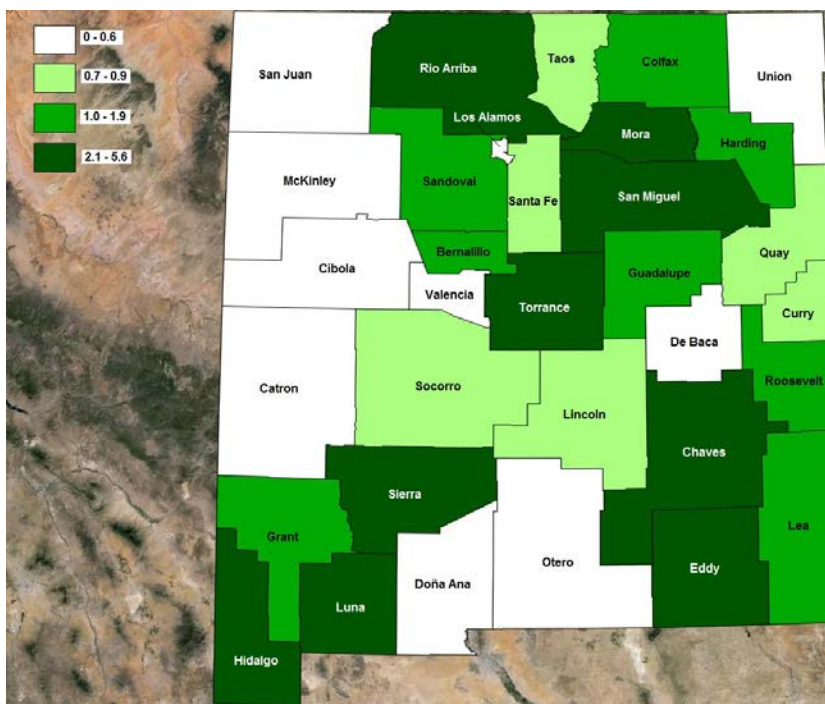
Source: APS

In addition to the data in the canned reports, APS intake and investigation workers record information on the type of incapacitation of an alleged victim, alleged perpetrators and their relationship to the alleged victim, information on law enforcement involvement and the specific law enforcement agency involved, and outcomes of the alleged maltreatment including options such as minor medical care, hospitalization, or death. While personal information about alleged victims and perpetrators is required to be kept confidential by law, reporting on certain data in the aggregate, such as client incapacitation, perpetrator relationships, law enforcement involvement, and outcomes of abuse could be used to develop a more complete picture of vulnerable adults in New Mexico and the outcomes of APS services.

**Geographic analysis of data could provide insight into the areas with the most need for APS services.** APS currently reports on aggregate reports and investigations by region, but does not report on the details of per-population substantiation rates or other data that could be useful to assess APS performance and needs.

Luna County has had by far the highest substantiation rate in the state since FY12, reaching a rate of 5.6 substantiations per one thousand adults in FY14. The statewide rate in FY14 was 1.2 substantiations per one thousand adults. Other counties with consistently high substantiation rates include Chaves, Eddy, Hidalgo, Mora, and Torrance (Appendix C). Map 2 below shows that the counties with the highest substantiation rates in FY14 tended to be clustered in the Northeast, Southeast, and Southwest APS regions. The Northwest region had the lowest substantiation rates, likely due in part to that area of the state having the fewest total reports and investigations and a smaller concentration of older adults compared to all other APS regions in FY14.

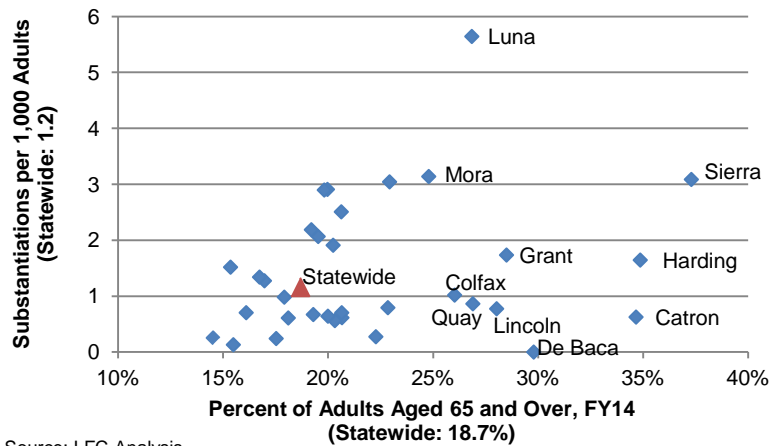
**Map 2. Substantiations per 1,000 Adults Aged 18 and Over, FY14**  
(Statewide: 1.2)



Source: LFC Analysis

*Although older adults make up the majority of allegations substantiated by APS, the counties with the highest substantiation rates are not necessarily those with the oldest populations.* As seen in Chart 21, while there is some correlation between substantiation rates and the percentage of a county's population that is aged 65 or over, seven of the nine counties where older adults make up more than one quarter of the population have substantiation rates near or below the statewide rate. With the exceptions of Luna County, which has the highest substantiation rate in the state, and Sierra County, which has the highest percentage of adults 65 and over in the state, the remaining counties with high concentrations of older adults (Harding, Catron, De Baca, Grant, Lincoln, Quay, and Colfax) all have substantiation rates below two per thousand adults. Similarly, investigations in these counties are not necessarily more likely to be substantiated than in others, suggesting that abuse, neglect, and exploitation may be over-reported or under-substantiated in these locations.

**Chart 21. Substantiation Rate versus Percent of Adults Aged 65 and Over by County, FY14**

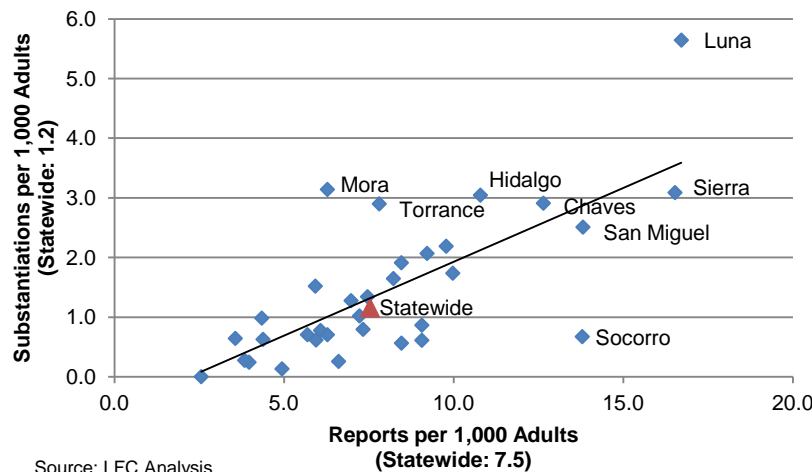


Source: LFC Analysis

*County substantiation rates generally increase with reporting rates, but data from outlier counties suggests that more information is needed about APS's impact in certain areas.* As shown in Chart 22, in FY14, counties with higher reporting rates generally had higher substantiation rates. The rate of reporting allegations to APS ranged from 2.6 per thousand adults in De Baca County to 16.7 per thousand adults in Luna County (Appendix E). The statewide rate was 7.5 per thousand adults.

While the relationship between reporting and substantiation rates generally indicates that APS investigates and substantiates reports on a consistent basis, a few counties appeared to have either much higher or much lower incidence of maltreatment relative to the rate of reporting. Luna, Mora, Torrance, and Hidalgo counties had higher substantiation rates than would be expected based on their reporting rates, while Socorro County had a much lower substantiation rate than its reporting rate would suggest. More information about trends at the county level could be used to determine what factors may affect reporting rates and whether or not certain areas may be under-reporting or under-substantiating cases of adult maltreatment.

**Chart 22. Reporting Rate versus Substantiation Rate by County, FY14**

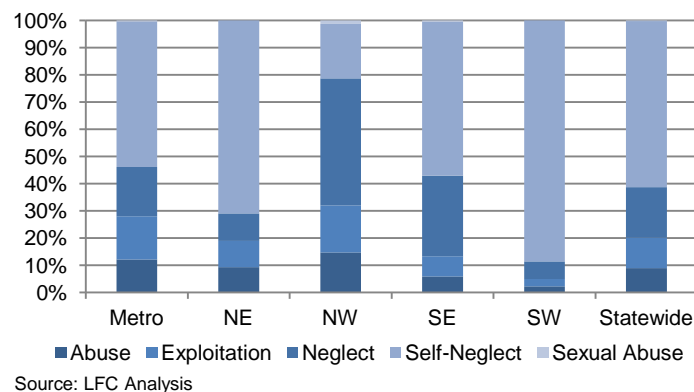


Source: LFC Analysis

**Reporting variations in neglect and self-neglect allegations across regions can illustrate differing needs among vulnerable populations.** As shown in Chart 23 below, the percentages of each type of allegation in the Metro, Northeast, and Southeast regions were relatively close to the statewide average in FY14. However, the Northwest and Southwest regions have markedly different distribution. Self-neglect comprised 89 percent of substantiated allegations in the Southwest APS region, compared to 20 percent in the Northwest region. APS attributes the higher volume of self-neglect determinations in the Southwest to a large population of “snowbirds” who have relocated to the Las Cruces and Silver City regions and have fewer nearby support systems to assist them.

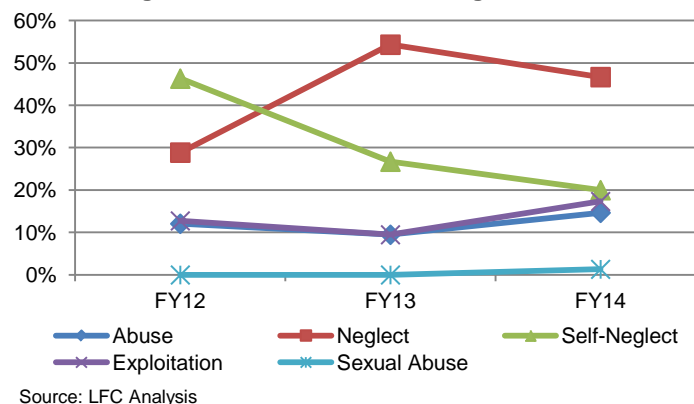
Neglect, distinguished from self-neglect in that it is defined as the failure of a caretaker to provide for the adult’s basic needs, was much more prevalent in the Northwest, comprising 47 percent of substantiations in that region, compared to 30 percent in the Southeast, 7 percent in the Southwest, and 18 percent statewide. Exploitation and abuse were both most prevalent in the Metro and Northwest regions.

**Chart 23. Percentage of Substantiated Allegations by Region, FY14**



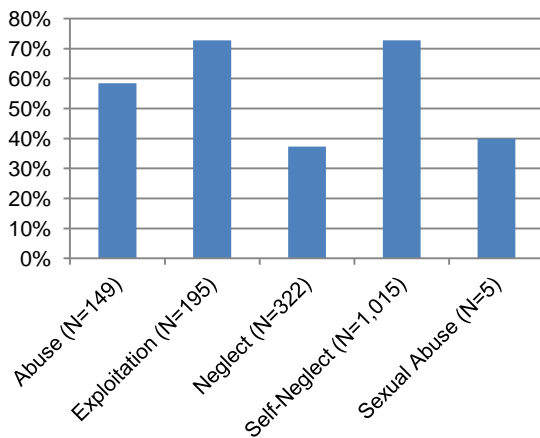
In the Northwest region, the percentage of substantiated cases attributed to self-neglect dropped from 46 percent to 27 percent between FY12 and FY13, while the percentage of cases attributed to neglect increased from 29 percent to 54 percent. This trend is the opposite of the trend in other regions. According to APS, this is due to a higher volume of reports involving adults residing in group homes or receiving day care services for the developmentally disabled in Gallup, Farmington and Los Lunas.

**Chart 24. Percentage of Substantiated Allegations, Northwest APS Region, FY12-FY14**



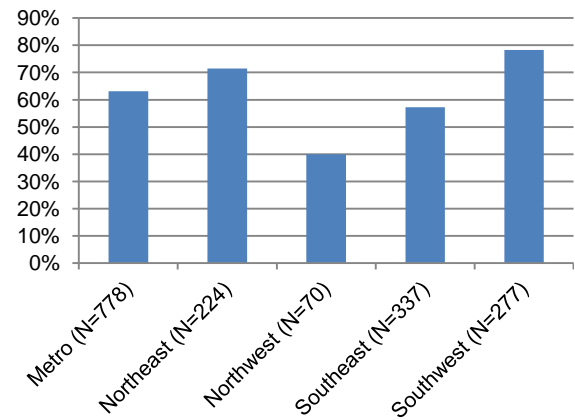
*Older adults tend to be more vulnerable to certain types of maltreatment and in certain geographic areas than younger adults.* As shown in Chart 25, about 73 percent of APS-substantiated victims of both exploitation and self-neglect were aged 60 or over in FY14, compared to 58 percent of substantiated abuse victims. By contrast, fewer than half of substantiated victims of neglect and sexual abuse were 60 or older. Geographically, the Southwest region had the highest percentage of substantiated victims aged 60 or over in FY14, at roughly 78 percent. This region contains four counties in which over 25 percent of the population is at least age 65, including two of the three oldest counties in the state in Sierra and Catron counties. By contrast, only 40 percent of substantiated victims in the Northwest region were 60 or older. The Northwest region has several counties with among the youngest populations in the state, including San Juan, McKinley, Cibola, Sandoval, and Valencia. This factor likely contributes to the Northwest having the lowest investigation volume of any APS region.

**Chart 25. Percent of Substantiated Victims Aged 60 or Over by Type of Maltreatment, FY14**



Source: LFC Analysis

**Chart 26. Percent of Substantiated Victims Aged 60 or Over by Region, FY14**



Source: LFC Analysis

Correspondingly, the average ages of substantiated victims of exploitation and self-neglect were the highest of any type of alleged maltreatment during the period from FY12 through February of FY15, at about 68 years old for each. Substantiated victims of neglect and sexual abuse tended to be much younger, at about 55 and 49 years old, respectively. Victims of abuse were in the middle with an average age of about 62. As New Mexico's population ages, APS will likely need to devote increasing resources to the areas of abuse, self-neglect, and exploitation.

**Table 15. Average Age of Substantiated Victims by Type of Allegation, FY12-FY15 YTD**

Type of Maltreatment	Average Victim Age
Abuse	62.3
Exploitation	68.3
Neglect	55.2
Self-Neglect	67.8
Sexual Abuse	49.2

Source: LFC Analysis

**Table 16. Average Age of Substantiated Victims by Region, FY12-FY15 YTD**

Region	Average Victim Age
Metro	63.9
Northeast	66.5
Northwest	59.0
Southeast	64.1
Southwest	70.8

Source: LFC Analysis

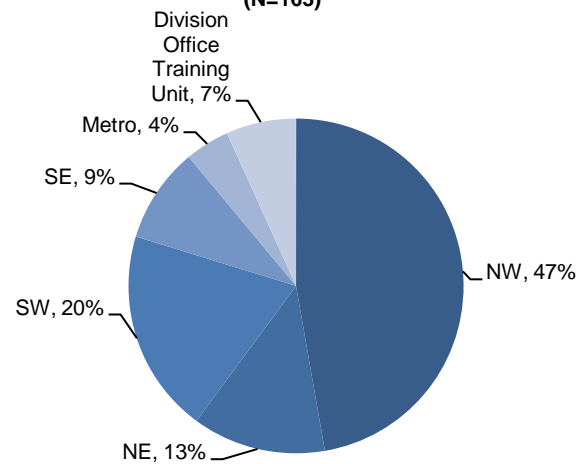
**APS does not currently have a way to directly track the costs of investigations.** Based on average salaries for filled positions, the personal services and benefits costs of APS field personnel totaled about \$6.4 million in FY14. This equates to \$967 for each of the 6,665 investigations conducted in that year. However, this figure does not include costs such as mileage or administrative expenses that also factor into the cost of an investigation.

While APS does incorporate certain components of investigation costs, such as case worker pay and benefits, travel costs, and other costs, into its budget planning, it does so on an aggregate basis without the ability to attribute them to particular investigations. APS also indicates that requiring case workers to track their hours spent on individual investigation tasks would impose a burden that would take time away from performing investigations.

**APS outreach activities vary widely by region and more information is needed on their effectiveness.** APS conducts outreach activities to increase awareness of adult maltreatment and APS services. These activities may include giving presentations and providing information to senior centers, nursing homes, community events, and state and local agencies that interact with vulnerable populations. In FY14, APS conducted 163 outreach activities, which were carried out by the staff of all five regions, as well as the central APS training unit.

While the Metro region and the central training unit engaged in relatively few outreach activities, by virtue of their location in Albuquerque, they may be able to reach more people with fewer events, such as the New Mexico Conference on Aging. However, outreach activities in predominantly rural regions in FY14 appear to have little relationship to the incidence of adult maltreatment. The Northwest region had by far the largest amount of outreach in FY14, comprising 47 percent of all APS outreach activities, but these were concentrated in counties with younger populations and lower substantiation rates. Conversely, outreach in the Southwest region, which conducted the second most outreach events in FY14, took place in areas with among the oldest populations and highest substantiation rates.

**Chart 27. APS Outreach Activities, FY14**  
(N=163)



Source: APS

***APS is not always consistent in tracking its outreach activities, hindering the ability to directly assess changes over time.*** APS keeps information on each outreach activity it conducts, including the date, location, type of outreach, entity receiving the outreach, and the APS staffer conducting the outreach. However, APS has not standardized a format for tracking these activities, making direct year-to-year comparisons difficult. For example, APS counted the leaving of posters and brochures at multiple home health care providers as a single event in FY13, but they were listed separately in FY14.

The percentage of senior centers within APS jurisdiction receiving outreach visits became a performance measure in the FY15 LFC budget recommendation, although it is not included in the General Appropriation Act. The target



for FY15 was 25 percent, and the target for FY16 is 30 percent. More information is necessary to determine if outreach activities have any bearing on reports and incidence of abuse, neglect, and exploitation.

*APS has a strong history of outreach efforts to other programs serving seniors while efforts to educate and collaborate with other entities are limited.* To further collaboration in the service delivery system, APS has not invested time directing educational efforts towards the courts system, law enforcement, and financial institutions.

### **Recommendations**

ALTSD should:

- Use the planned advanced reporting function of the Harmony system to produce more comprehensive data that can be reported to the public and stakeholders.
- Track outreach activities using a consistent format and develop a plan to systematically monitor and analyze who is receiving outreach and its effects on APS utilization and outcomes.

## OPPORTUNITIES EXIST FOR IMPROVING THE USE OF STATE RESOURCES IN MANAGING APS FACILITIES

**Rental costs vary greatly between several field offices, indicating that APS has excess space in certain locations, and one field office is not currently staffed full-time.** As of March 2015, APS pays an average of \$19.79 per square foot of office space for each of its 21 field offices statewide, including the division's main administrative office in Albuquerque. The monthly rent per full-time equivalent employee (FTE) at APS field offices is \$346, with an average of 205 square feet of space per FTE, including filled positions and funded vacancies. However, four field offices appear to have significant excess space, a high rent per employee compared to the majority of APS facilities, or both: Albuquerque, Portales, Socorro, and Silver City. The Albuquerque office is unique in that it houses a total of 42 FTE between its Metro region field office as well as APS's main administrative office.

Although APS is renting space in Socorro that is co-located with CYFD for \$302 per month, the Socorro field office is not permanently staffed. It is only used on an as-needed basis by a Northwest region case worker who is normally based out of the Los Lunas office. The Silver City office has the highest amount of both space and rent per employee, housing three FTE in nearly 1,800 square feet of space, or almost 600 square feet per employee, at over \$3,100 per month, or \$1,045 per employee. In addition, while most APS field offices are co-located with other state agencies, either CYFD or HSD, the Albuquerque and Silver City offices are not. The Silver City office is located in a building with CYFD and other state and federal agencies, but has its own suite and does not share space (Appendix F).

**Table 17. APS Offices with Excess Space or Rent Per Employee**

	FTE	Total Square Feet	Monthly Rent	Average Square Feet per FTE	Average Monthly Rent per FTE
Albuquerque	42	16,059	\$29,019	382	\$691
Portales	1	364	\$369	364	\$369
Silver City	3	1,794	\$3,136	598	\$1,045
Socorro	0*	290	\$302	*	*
<b>All APS Offices</b>	<b>132</b>	<b>31,572</b>	<b>\$55,398</b>	<b>205</b>	<b>\$346</b>

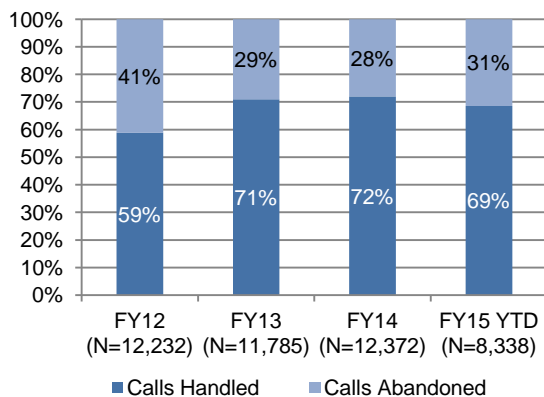
\* Socorro field office is staffed as needed  
Source: LFC Analysis of ALTSD Data

**Disparities exist in how English and Spanish calls to APS are handled.** APS intake is handled through a call center operated by ALTSD's Aging and Disability Resource Center. Callers wishing to report adult maltreatment dial a toll-free number to reach APS intake, and an automated system offers prompts for service in English or Spanish. Calls are then queued to be answered by an appropriate intake worker.

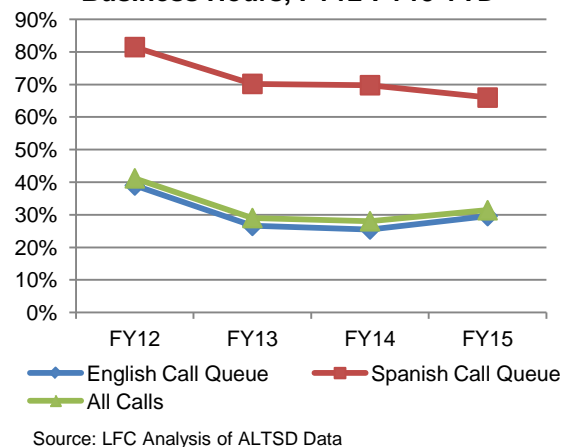
Calls to APS's Spanish-language call queue are answered and resolved quicker than calls in the English-language queue, but are also abandoned quicker and at much higher rates. Since FY12, calls placed in APS's Spanish-language queue spend about a minute less, on average, in the queue waiting for an answer than calls to the English-language queue. Calls in the Spanish queue also spend less time actively being handled by APS intake staff, with an average call length of about nine minutes compared to 16 minutes for English calls. However, Spanish calls are also more quickly abandoned before any contact with APS staff occurs, usually in less than three minutes, compared to less than four minutes for English calls. Calls to the Spanish queue made up only about five percent of the total number of calls to APS from FY12 through February of FY15, and about two percent of all the calls handled during that period, which may partially account for the quicker handling of those calls. However, calls to the Spanish queue constituted nearly 12 percent of the total number of abandoned calls in that timeframe (Appendix G).

In FY12, 41 percent of all calls to APS made during regular business hours (7:00 AM through 6:00 PM) were abandoned before contact with APS intake staff. The rate of abandoned calls decreased in FY13 and FY14 before increasing slightly in the first eight months of FY15, to 31 percent. Calls to the Spanish queue are abandoned at significantly higher rates than calls to the English queue, which track closely with the overall rate of abandoned calls. Through the first eight months of FY15, 66 percent of the calls to the Spanish queue were abandoned, compared with 30 percent of calls to the English queue and 31 percent of calls overall. While this is down from 81 percent in FY12, there is still a substantial gap between abandoned calls to the Spanish and English queues.

**Chart 28. Calls to APS Handled and Abandoned During Regular Business Hours, FY12-FY15 YTD**



**Chart 29. Percent of Calls to APS Abandoned During Regular Business Hours, FY12-FY15 YTD**



According to ALTSD, as of late March 2015, just one out of five intake agents was a bilingual agent with the necessary skill level to handle calls in Spanish, compared to three in FY14. If this individual is handling many calls or particularly lengthy calls, it may cause the Spanish queue to back up, leading to call abandonment. ALTSD does not collect specific data on why calls are abandoned, but speculates that some of the abandoned calls to the Spanish queue could be due to callers unintentionally pressing the button for the Spanish queue after the system prompt, causing them to hang up and call back.

**APS does not collect data on calls received after regular business hours.** Calls received to the toll free APS intake number during normal business hours are recorded and logged by the Cisco telephone system, and intake information is entered into the Harmony database and directly sent to the appropriate field office. Calls after 5:00 PM are greeted with a recording directing callers to leave a voice message, call the after-hours number, or dial 911 in the case of an emergency. The APS after-hours number is a cell phone handled by a staff member from the Metro regional office in Albuquerque. Calls received to the after-hours line are not recorded by the Cisco telephone system used by the APS call center. APS and ADRC do not maintain regular information on how many after-hours calls are received or how long they take, although APS believes it to be a very small percentage of the overall call volume.

## Recommendations

ALTSD should:

- Consider closing the Socorro field office if it cannot be staffed on a full-time basis.
- Pursue additional bilingual intake agents to ensure minimal disparities between English and Spanish calls.



**Susana Martinez, Governor**  
Gino Rinaldi, Cabinet Secretary

Myles Copeland, Deputy Secretary

May 8, 2015

Mr. David Abbey  
Director, Legislative Finance Committee  
325 Don Gaspar, Suite 101  
Santa Fe, NM 87505

Dear Mr. Abbey,

The Legislative Finance Committee's evaluation of Adult Protective Services in draft form has been received and reviewed. Attached are comments related to the report's sixteen recommendations.

The comments are offered to provide information about the Aging and Long-Term Services Department and Adult Protective Services' current operations and improvement initiatives within the context of its mission to provide a system of protective services to persons over the age of 18 who are unable to protect themselves from abuse, neglect, or exploitation.

I want to thank the LFC evaluation team for giving us an opportunity to review the draft report and discuss the feedback in an exit meeting. We are especially appreciative of the time and effort devoted to this project by the staff of the Department and its contractors.

Sincerely,

Gino Rinaldi  
Cabinet Secretary

## **LFC Evaluation Report Recommendations for the Aging and Long-Term Services Department and Responses of the Department (LFC Recommendations in bold):**

- **Consider including emotional abuse as a separate allegation type for purposes of APS reports and investigations.**

APS will evaluate the inclusion of a separate emotional abuse category. Presently, APS considers emotional abuse to be included in the definition of abuse under the APS Act, item #1: “Abuse” means: (1) knowingly, intentionally or negligently and without justifiable cause inflicting physical pain, injury or mental anguish.” APS investigates reports accordingly.

- **Clarify the definitions of neglect and self-neglect in regulatory language to ensure there is no duplication in reporting.**

APS will evaluate clarification of definitions in regulatory language to best carry out its mission. Although self-neglect is referenced in the neglect definition, self-neglect reports are included in their own reporting category, separate from neglect reports, and there is no duplication in the count for each category.

- **Work with the Legislative Finance Committee and the Department of Finance and Administration to develop an updated performance measure for repeat adult maltreatment.**

APS is working with Harmony, its database provider, to explore development of a recidivism report. APS is also looking at how states which report recidivism have structured their measures. APS will continue to collaborate with the Legislative Finance Committee (LFC) and the Department of Finance and Administration (DFA) in refining its performance measures.

- **Seek independent validation of its client risk assessment tools.**

APS has been conducting a review of its assessment tools. Independent validation of these tools will be evaluated once this process is complete, and any necessary updates to these tools have been made.

- **Monitor APS caseloads to ensure that certain regions are not disproportionately overworked and consider reallocating case workers as needed.**

APS monitors caseloads, as well as other relevant factors, and adjusts locations of case worker positions on an ongoing basis to maximize effective use APS resources in service of its mission.

- **Consider engaging NMSU and other New Mexico colleges and universities to expand the Southwest region's social work internship program into other areas around the state.**

APS will continue to explore opportunities to expand the social work internship program. In addition to its relationship with NMSU in the Southwest Region, APS works with New Mexico Highlands University (NMHU) and Eastern New Mexico University (ENMU) to offer internships in other regions throughout the state.

- **Explore federal funding opportunities to improve the service delivery system through interagency collaborations.**

ALTSD has reached out to the New Mexico Human Services Department (HSD) and other states to explore federal funding opportunities to improve the service delivery system through interagency collaborations.

- **Establish client outcome performance measures and require providers to routinely report outcomes.**

APS is reviewing its current performance measures and researching measures utilized by other programs to report outcomes.

- **Complete the response to the House Joint Memorial on family caregivers so policy makers can work with APS to meet caregiver needs.**

The work of this task force is proceeding according to established timelines. As noted in the report, House Joint Memorial 4 resolves that the ALTSD report on the work of the Family Caregiver Task Force to the legislative health and human services committee no later than Nov. 1, 2015.

- **Expedite the rollout of new audit requirements and consider update of quarterly reporting so APS has more access to client specific outcomes.**

APS will continue to evaluate possible adjustments to these tools which would provide more access to client-specific outcomes. The revised audit tool was introduced in Spring of 2015. Also, the quarterly report required from providers has been revised to capture additional information.

- **Investigate what opportunity exists to incorporate outcome data in the Harmony information system.**

APS is working with Harmony on the Advanced Reporting module, which will provide additional capacity to create customized reports specific to the needs of APS. This will allow APS to explore additional opportunities for incorporation of outcome data.

- **Pursue interagency collaborations within the state to strengthen the service delivery system.**

ALTSD will continue to pursue interagency collaboration to strengthen the service delivery system. APS communicates and collaborates with other agencies, including the Department Of Health, the Children Youth and Families Department, HSD, the Attorney General's office and the Office of Guardianship, to ensure effective coordination of services for APS clients.

- **Use the planned advanced reporting function of the Harmony system to produce more comprehensive data that can be reported to the public and stakeholders.**

APS is currently working with IT staff and Harmony to expand capability utilizing the Advanced Reporting function to produce more comprehensive data.

- **Track outreach activities using a consistent format and develop a plan to systematically monitor and analyze who is receiving outreach and its effects on APS utilization and outcomes.**

APS will continue to utilize the most recently-revised reporting format, which will facilitate consistency in both tracking and analysis of outreach.

- **Consider closing the Socorro field office if it cannot be staffed on a full-time basis.**

APS will continue to monitor utilization of its offices, and to consider adjustments that best allocate resources in support of its mission.

- **Pursue additional bilingual intake agents to ensure minimal disparities between English and Spanish calls.**

APS will continue to monitor disparities between English and Spanish calls, and make adjustments that best allocate resources in support of its mission, including hiring bilingual intake workers.

### **Evaluation Objectives.**

- Review budget and administration of the APS program at ALTSD, including state and federal funding trends and staffing levels
- Review processes, procedures, and management of the reporting and investigation functions of APS, including report, investigation, and substantiation data
- Review processes, procedures, and management of the post-investigative home care and other services of APS (e.g. outreach) and determine if outcomes are being met.

### **Scope and Methodology.**

- Reviewed applicable laws and regulations
- Reviewed prior LFC reports
- Reviewed external program evaluations, reports, and other literature
- Analyzed Adult Protective Services data
- Interviewed key APS and service provider personnel
- Met with LFC staff, including analysts and LFC staff leadership

### **Evaluation Team.**

Brian Hoffmeister, Program Evaluator

Pamela Galbraith, Program Evaluator

**Authority for Evaluation.** LFC is authorized under the provisions of Section 2-5-3 NMSA 1978 to examine laws governing the finances and operations of departments, agencies, and institutions of New Mexico and all of its political subdivisions; the effects of laws on the proper functioning of these governmental units; and the policies and costs. LFC is also authorized to make recommendations for change to the Legislature. In furtherance of its statutory responsibility, LFC may conduct inquiries into specific transactions affecting the operating policies and cost of governmental units and their compliance with state laws.

**Exit Conferences.** The contents of this report were discussed with ALTSD on May 4, 2015.

**Report Distribution.** This report is intended for the information of the Office of the Governor; the Aging and Long-Term Services Department; Office of the State Auditor; and the Legislative Finance Committee. This restriction is not intended to limit distribution of this report, which is a matter of public record.



Charles Sallee

Deputy Director for Program Evaluation



## APPENDIX B: Reports Screened In by Region, FY12-FY14

### Reports Screened In by Region, FY12-FY14

Region	FY12	FY13	FY14
Metro	2,218	2,268	2,515
Northeast	836	923	1,034
Northwest	741	836	870
Southeast	903	899	896
Southwest	1,126	1,166	1,350
<b>Statewide</b>	<b>5,824</b>	<b>6,092</b>	<b>6,665</b>

Source: ALTSD

## APPENDIX C: Substantiation Rates by County, FY12-FY15 Estimate

**Substantiations per 1,000 Adults Aged 18+ by  
County, FY12-FY15 Estimate**

<b>County</b>	<b>FY12</b>	<b>FY13</b>	<b>FY14</b>	<b>FY15 Est.</b>
Bernalillo	1.2	1.3	1.3	1.0
Catron	0.0	0.0	0.6	0.5
Chaves	3.1	2.5	2.9	1.7
Cibola	0.4	0.0	0.2	0.2
Colfax	0.8	1.3	1.0	1.7
Curry	0.6	0.5	0.7	0.7
DeBaca	0.0	0.6	0.0	2.2
Dona Ana	0.4	0.5	0.6	0.6
Eddy	2.2	2.2	2.2	2.0
Grant	1.5	1.3	1.7	1.1
Guadalupe	0.5	1.4	1.9	1.4
Harding	0.0	0.0	1.6	0.0
Hidalgo	2.5	2.5	3.0	0.9
Lea	1.8	1.5	1.5	1.8
Lincoln	1.2	1.3	0.8	1.4
Los Alamos	0.4	0.1	0.6	0.9
Luna	4.7	4.0	5.6	2.9
McKinley	0.3	0.2	0.3	0.1
Mora	3.4	3.1	3.1	2.2
Otero	0.5	0.5	0.6	0.5
Quay	0.4	0.7	0.9	0.7
Rio Arriba	1.0	1.7	2.1	1.1
Roosevelt	0.5	1.2	1.3	0.7
San Juan	0.3	0.2	0.1	0.1
San Miguel	1.7	2.9	2.5	1.4
Sandoval	0.6	0.5	1.0	0.7
Santa Fe	0.5	0.4	0.7	0.4
Sierra	0.7	2.1	3.1	2.2
Socorro	2.9	1.2	0.7	0.6
Taos	0.7	0.4	0.8	0.3
Torrance	3.6	1.3	2.9	2.3
Union	0.5	0.8	0.3	0.0
Valencia	1.0	1.2	0.6	0.6
<b>Statewide</b>	<b>1.1</b>	<b>1.0</b>	<b>1.2</b>	<b>0.9</b>

Source: LFC Analysis

## APPENDIX D: Example of County Data from Arizona APS Annual Report



### ADULT PROTECTIVE SERVICES

7/1/2013 thru 6/30/2014

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ACTIVITY SUMMARY - COCHISE																
ALLEGATIONS INVESTIGATED - a case may have multiple allegations																
ABUSE			63		19.33%		Abuse		Neglect		Exploitation					
Not Substantiated			62		98.41%											
Substantiated			1		1.59%											
NEGLECT			257		78.83%											
Not Substantiated			213		82.88%											
Substantiated			44		17.12%											
EXPLOITATION			94		28.83%											
Not Substantiated			94		100.00%											
Substantiated			0		0.00%											
TOTAL CASES			326													
DEMOGRAPHICS																
CLIENT AGE GROUP			CLIENT LIVING ARRANGEMENT													
18 - 29 years			9		2.76%		Alone - No Assistance		109		33.44%					
30 - 39 years			6		1.84%		Alone - Some Asst		10		3.07%					
40 - 49 years			16		4.91%		With Family		85		26.07%					
50 - 59 years			37		11.35%		With Non-Family		14		4.29%					
60 - 64 years			36		11.04%		CLIENT DWELLING / FACILITY TYPE									
65 - 69 years			29		8.90%		Private Residence		31		9.51%					
70 - 74 years			38		11.66%		Adult Foster Care		0		0.00%					
75 - 79 years			40		12.27%		Assisted Living		21		6.44%					
80 - 84 years			48		14.72%		AZ State Hospital		0		0.00%					
85 years and older			66		20.25%		Board & Care		1		0.31%					
Unknown			1		0.31%		DDD Placement		2		0.61%					
CLIENT RACE							Homeless		1		0.31%					
Amer Ind/AK Native			2		0.61%		Nursing Facility		19		5.83%					
Asian			2		0.61%		Residential Care		1		0.31%					
Black/African Amer			4		1.23%		Supervisory Care		2		0.61%					
Caucasian/White			207		63.50%		Unlicensed		0		0.00%					
Hispanic			61		18.71%		VA		0		0.00%					
Pacific Islander			0		0.00%		Unknown		30		9.20%					
Unknown/Other			50		15.34%		RELATION TO CLIENT		Reporting Source		Perpetrator					
CLIENT MONTHLY INCOME							Caregiver/Res Mgr		34		8.61%		30		8.50%	
\$300 or Less			1		0.31%		Conserv/Guardian		3		0.76%		5		1.42%	
\$301 - \$500			3		0.92%		Family Member		65		16.46%		92		26.06%	
\$501 - \$750			25		7.67%		Financial Service		21		5.32%		1		0.28%	
\$751 - \$1,000			18		5.52%		Friend/Neighbor		44		11.14%		17		4.82%	
Over \$1,000			61		18.71%		Law Enforcement		19		4.81%		0		0.00%	
Unknown			218		66.87%		Legal Service		2		0.51%		0		0.00%	
CLIENT GENDER							Medical Service		81		20.51%		2		0.57%	
Female			192		58.90%		Other		31		7.85%		35		9.92%	
Male			132		40.49%		Other Public Service		17		4.30%		0		0.00%	
Unknown			2		0.61%		Self		14		3.54%		170		48.16%	
							Social Service		62		15.70%		0		0.00%	
							Unknown		2		0.51%		1		0.28%	
							TOTAL		395		100.00%		353		100.00%	

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## APPENDIX E: Reporting, Investigation, and Substantiation Rates by County, FY14

### APS Reporting, Investigation, and Substantiation Rates by County, FY14

County	Reports per 1,000 Adults 18+	Investigations per 1,000 Adults 18+	Substantiations per 1,000 Adults 18+	Percent of Investigations Substantiated
Bernalillo	7.5	4.3	1.3	31.5%
Catron	4.4	2.2	0.6	28.6%
Chaves	12.6	6.2	2.9	46.6%
Cibola	4.0	2.1	0.2	11.6%
Colfax	7.2	5.0	1.0	20.4%
Curry	5.7	2.4	0.7	29.8%
De Baca	2.6	1.3	-	-
Dona Ana	8.5	4.5	0.6	12.5%
Eddy	9.8	5.5	2.2	39.7%
Grant	10.0	6.5	1.7	26.7%
Guadalupe	8.5	6.8	1.9	28.0%
Harding	.2	8.2	1.6	20.0%
Hidalgo	10.8	7.7	3.0	39.3%
Lea	5.9	3.6	1.5	42.5%
Lincoln	6.1	3.0	0.8	25.5%
Los Alamos	3.6	2.0	0.6	32.1%
Luna	16.7	10.5	5.6	53.8%
McKinley	6.6	3.2	0.3	8.1%
Mora	6.3	5.8	3.1	54.5%
Otero	5.9	3.1	0.6	20.1%
Quay	9.1	3.5	0.9	25.0%
Rio Arriba	9.2	6.4	2.1	32.1%
Roosevelt	7.0	3.2	1.3	39.6%
San Juan	4.9	2.5	0.1	5.3%
San Miguel	13.8	9.8	2.5	25.7%
Sandoval	4.3	2.4	1.0	41.3%
Santa Fe	6.3	3.4	0.7	20.7%
Sierra	16.5	10.9	3.1	28.4%
Socorro	13.8	7.7	0.7	8.7%
Taos	7.3	4.0	0.8	19.8%
Torrance	7.8	5.2	2.9	55.4%
Union	3.8	2.5	0.3	11.1%
Valencia	9.1	5.8	0.6	10.5%
<b>Statewide</b>	<b>7.5</b>	<b>4.2</b>	<b>1.2</b>	<b>27.5%</b>

Source: LFC Analysis

## APPENDIX F: APS Regions and Field Offices

**APS Regions and Field Offices**

Region	Field Office	Co-Located Agency
1 – Northwest	Farmington	CYFD
	Grants	HSD
	Gallup	HSD
	Los Lunas	CYFD
	Socorro	CYFD
2 – Northeast	Espanola	CYFD
	Taos	CYFD
	Santa Fe	CYFD
	Las Vegas	CYFD
3 – Metro	Albuquerque	-
	Estancia	CYFD
4 – Southeast	Roswell	CYFD
	Clovis	CYFD
	Portales	CYFD
	Artesia	CYFD
	Carlsbad	CYFD
	Hobbs	CYFD
5 – Southwest	Alamogordo	CYFD
	Silver City	-
	Deming	CYFD
	Las Cruces	CYFD

Source: ALTSD

## APPENDIX G: APS Call Volumes and Wait Times

**Number of Calls to APS, FY12-FY15 YTD**

Calls Presented						
APS Call Queue	FY12	FY13	FY14	FY15 YTD	Total FY12-FY15 YTD	Cumulative Percent
English	11,611	11,134	11,667	7,932	42,344	95%
Spanish	621	651	705	406	2,383	5%
<b>Total</b>	<b>12,232</b>	<b>11,785</b>	<b>12,372</b>	<b>8,338</b>	<b>44,727</b>	<b>100%</b>
Calls Handled						
English	7,076	8,172	8,691	5,581	29,520	98%
Spanish	115	194	213	138	660	2%
<b>Total</b>	<b>7,191</b>	<b>8,366</b>	<b>8,904</b>	<b>5,719</b>	<b>30,180</b>	<b>100%</b>
Calls Abandoned						
English	4,534	2,962	2,976	2,351	12,823	88%
Spanish	506	457	492	268	1,723	12%
<b>Total</b>	<b>5,040</b>	<b>3,419</b>	<b>3,468</b>	<b>2,619</b>	<b>14,546</b>	<b>100%</b>

Source: LFC Analysis

**APS Call and Wait Times, FY12-FY15 YTD**

Average Time in Queue (in Minutes)					
APS Call Queue	FY12	FY13	FY14	FY15 YTD	FY12-FY15 YTD Average
English	4.5	3.5	3	4.2	3.7
Spanish	3.4	2.7	2.4	2.8	2.8
<b>Average*</b>	<b>4.4</b>	<b>3.4</b>	<b>3</b>	<b>4.1</b>	<b>3.7</b>
Average Time to Answer (in Minutes)					
English	4.5	3.2	3	4.4	3.7
Spanish	2.2	2.6	2.4	3.3	2.6
<b>Average*</b>	<b>4.4</b>	<b>3.2</b>	<b>2.9</b>	<b>4.4</b>	<b>3.6</b>
Average Handle Time (in Minutes)					
English	17.5	17.2	14.6	14.2	16
Spanish	9.3	10.9	8.7	7	9.2
<b>Average*</b>	<b>17.4</b>	<b>17</b>	<b>14.4</b>	<b>14.1</b>	<b>15.9</b>
Average Time to Abandon (in Minutes)					
English	4.5	4.1	3.4	4.2	4
Spanish	3.5	2.8	2.4	2.6	2.8
<b>Average*</b>	<b>4.4</b>	<b>4</b>	<b>3.2</b>	<b>4</b>	<b>3.9</b>

\* Weighted average  
Source: LFC Analysis

