REPORT TO THE TWENTY-SEVENTH HAWAII STATE LEGISLATURE 2014

IN ACCORDANCE WITH THE PROVISIONS OF HOUSE CONCURRENT RESOLUTION 118, H.D.1, ADOPTED BY THE 2013 HAWAII STATE LEGISLATURE

DEPARTMENT OF HUMAN SERVICES
SOCIAL SERVICES DIVISION
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REPORT SUBMITTED BY THE DEPARTMENT OF HUMAN SERVICES TO THE 2013 LEGISLATURE PURUSANT TO HOUSE CONCURRENT RESOLUTION (H.C.R .) 118, H.D.1, ADOPTED BY THE 2013 HAWAII STATE LEGISLATURE

H.C.R. 118, H.D. 1, requested that the Department of Human Services provide a progress report to the Legislature detailing efforts to improve and restructure processing for Adult Protective Services. The Department of Human Services was directed to submit a preliminary and a final report of its progress and future plans to the Legislature no later than 20 days prior to the convening of the Regular Sessions of 2014 and 2015, respectively.

The DHS contracted with the University of Hawai`i Center on Aging (COA) to conduct a needs assessment and process evaluation of the state Adult Protective Services (APS) program, and to research and recommend a model for APS based on findings from the needs assessment and best practices research. COA was awarded the contract on August 1, 2013 and began formal work on the on September 3, 2013. This interim report provides background on the project and its primary objectives, describes the status of major project activities as of November 11, 2013, summarizes key considerations for the evaluation, presents the project timeline, and identifies preliminarily what will be require for a reorganization of APS and the implementation of the best practices for service delivery.[1] The project is on schedule.

The interim report includes an evaluation to date and is part of a larger effort to restructure APS, and is complemented by a concurrent examination of best practices in adult protection.

I. Introduction

Adults in Hawaii who are vulnerable to abuse, neglect, and exploitation constitute a significant and identifiable segment of the population, and is the concern and focus of the State's effort to protect its residents. The State of Hawaii Department of Human Services (DHS), Social Services Division (SSD) contracted the University of Hawai'i Center on Aging (COA) to conduct a needs assessment and process evaluation of the State Adult Protective Services (APS) program, and to recommend the restructuring of APS from a policy, operational, structural/programmatic, and systems perspective. The evaluation is underway by the COA and is being complemented by a concurrent examination of best practices in adult protection.

The COA was awarded the contract on August 1, 2013. After undergoing necessary hiring, work on the project formally began on September 3, 2013. This report provides background on the project and its primary objectives, describes the status of major project activities, summarizes key considerations for the evaluation, to date, and presents the project timeline. (Please see attached Project Logic Model and Project Timeline.)

[1] This report was prepared in collaboration with the DHS by Christy Nishita, Ph.D., Co-Principal Investigator and Leanne Clark-Shirley, Ph.D from the University of Hawai'i Center on Aging and Colette Brown, Ph.D. , Co-Principal Investigator and Cynthia Moore, B.A. from the Myron B. Thompson School of Social Work.

II. Summary of Preliminary Findings

The COA has gathered rich information and data to begin constructing the framework for feasible, practical recommendations. A discussion of preliminary findings based on early interview data follows.

It must be noted that these findings are based on a number of interviews with staff (45) and an analysis of one internal staff survey (31 respondents) fielded by the Adult Protective and Community Services Branch (APCSB) in July, 2013. Much work remains to be done to explore and identify other concepts to guide the restructuring of APS. Completion and analysis of all APS section interviews, as well as interviews with community partners will likely modify, refine, or expand the findings presented below.

First, interviews with leadership have revealed an openness and commitment to change and innovation, and strong desire to improve not only the services that vulnerable adults receive through APS, but also in strengthening the APCSB. Having leadership buy-in from the beginning of the project has been vital in establishing legitimacy with staff and community partners and creating a climate where interviewees feel comfortable putting forth ideas.

Second, five domains have emerged thus far from completed project meetings, formal interviews, informal conversations, and staff survey results. These domains reflect potential areas where change and innovation might be focused, and are guiding the best practices review. They also redesign future interviews with staff to gain more information about current strengths, weaknesses, and opportunities for each—as well as to identify other areas for potential change.

1. Policies and Procedures: Hawaii's APS Policies and Procedures, as currently written, are general and broad. As such, there is not highly-detailed, specific instruction for performing day-to-day activities (e.g., investigations, documentation). Further, there are no explicit quality assurance policies and procedures in place, which may be a potential target area for improvement.

2. Protocols and Tools: There are dissimilarities across Sections in the tools and information resources that workers use in daily activities. While all Sections use the standard required forms, there may be additional templates, tools, or protocols that could be implemented to improve the information staff have available, and standardize the types of information that are collected across cases.

3. Infrastructure and organization: The current APS program operates through separate intake channels for each Section (e.g., persons in need of services on Maui must call the Maui APS number), and each intake channel is only open during certain hours of operation. A more centralized, statewide intake unit with extended hours or 24/7 capacity may be beneficial. The current APS program also lacks a formalized, general case management program and that some type of follow-up after investigations are complete may be beneficial.

4. Staffing and Staff Training: Currently, there is not a core training curriculum in place for APS staff. There is also a need for orientation and refresher trainings on daily operations as well as special topics, such as financial exploitation or dementia. The APS and Child Welfare Services may also want to consider cross-training.

5. Interagency Relationships: Although there are current Memoranda of Understanding between APS and agencies such as the Adult Mental Health and Developmental Disabilities Divisions of the Department of Health, further exploration of collaboration is needed to determine if there are potential areas of improvement. Relationships with other agencies such as the Executive Office on Aging are developing, and more work needs to be done to determine possibilities for partnerships with agencies such as the Aging and Disability Resource Centers (which are in various stages of operation) focused on case management, streamlining referrals and strengthening collaboration to improve services.

Third, Financial exploitation of vulnerable adults is a growing and serious problem. Specialized training for APS staff on this complex subject may be appropriate in addition to identifying other inter-agency opportunities for training as well as enhanced collaboration with financial institutions.

III. Project Description, Objectives, Timelines and Deliverables

Project Description

The primary objectives of the process evaluation are to understand the context and environment in which APS operates, and identify challenges and opportunities for improvement within the APS system as well as areas of success. Findings from the evaluation will inform the restructuring of APS with regards to: (1) population profiles of vulnerable adults in Hawai'i and the nature of abuse among these populations, and (2) identification of gaps and needs of Hawaii's current APS system.

To further assist in the restructuring of APS, an environmental scan of best practices in adult protection on the local, national, and international levels is under way. This work has two distinct phases: Phase One, which consists of three extensive systematic literature reviews of "best practices" and evidence-based practices in elder abuse and neglect; and Phase Two, during which expert interviews with administrators from three to five evidence-based programs will be conducted, with a focus on their programmatic and operational structures that result in program successes.

Results from this environmental scan will be coordinated with findings from the process evaluation to formulate recommendations for the restructuring of APS from a policy, operational, structural/programmatic, and systems perspective. These recommendations will be included in the final report.

The guiding philosophy of this project is to engage in fact-finding that will produce feasible, practical, and on-the-ground recommendations to strengthen the APS system and better serve Hawaii's vulnerable adults.

Project Objectives and Timeline

To inform the restructuring of APS, the primary objectives of this evaluation project are:

1. Demographic Profile (Sept.-Dec. 2013)

   Understand the context and State and local environment within which APS provides services to vulnerable adults including population profiles of vulnerable adults in Hawaii and the nature of abuse among these populations;

2. Needs Assessment of APS (Sept. 2013 – April 2014)

   Learn how Hawaii's APS is succeeding and how it can be improved and identify challenges and opportunities for improvement within the APS program, as well as, areas of success. This will be accomplished through focus groups and structured interviews with Department of Human Services Adult Protective Services (APS) staff, key stakeholders, mandated reporters, consumers and other state and county and public agencies from the vulnerable adult network. The assessment will include but not limited to current services and available resources, gaps in services, etc.

3. Best Practices Review (Sept. 2013 – March 2014)

   Research best practices in adult protective services locally, nationally and internationally to identify evidence-based best practices to be considered in the restructuring design. From this research, three to four best practice models will be analyzed and compared based upon criteria including feasibility of implementation and cultural appropriateness with a final model or hybrid model recommended to APS.

4. Recommendations to the DHS (March – June 2014)

   Develop recommendations to the DHS based on findings from Objectives 1-3. The recommendations will align APS' policies with national evidence-informed best practices and restructure services as needed for vulnerable adults including: improve assessment of victims' circumstances to better ascertain the protective response; increase consistency and accuracy in assessment, investigation and case management; improve the delivery of appropriate services; increase the efficiency of APS' operations by making the best use of available resources; reduce the rate of subsequent reports and incidents of confirmed abuse, neglect, exploitation or self-neglect; and increase the use of case-level and agency wide data for program administration, planning, evaluation and budgeting.

Project Deliverables

COA will provide the following project deliverables:

1. Report of Demographic Profile of vulnerable adults in Hawaii and compilation of available services;

2. Report of Needs Assessment: Data collected from interviews and focus groups with APS staff and community stakeholders;

3. Identified Best Practices Models: Based on demographic profile, needs assessment, and research of best practices models, three to four viable models will be recommended; and

4. Recommendations based on findings: Interim Report on activities, progress and findings to date and Final Report at conclusion of project.

Project Deliverables in Decision Making

The above Project Deliverables will be utilized in making decisions regarding the identification of proposed best practice adult protection models and in the final selection of the best practice model to be implemented by APS in Hawaii:

1. Demographic profile will provide data on Hawaii's current vulnerable adult population and future projections of the number of groups and population size of vulnerable individuals likely to be served by APS. In addition, programs and services that are currently available in specific communities throughout Hawaii will be identified. This data will be utilized to determine the projected number of vulnerable adults who will require services; resources currently available and will be required; type and level of services needed and location; current and potential community agencies that APS should collaborate with; and additional data that may emerge from the research.

2. Needs Assessment of APS will identify gaps, areas of need, and successful components of current APS system. This information will assist in determining the selection criteria for the APS best practice model (e.g. organizational structure, required services/interventions, provision of service delivery, staff allocation, internal and external resources, funding requirements, required policies and procedures/training, generating stakeholders' support and participation, etc.). Successful APS components and the reason for their effectiveness should be incorporated in the proposed APS model or at a minimum, included in the deliberation of the new APS model.

3. Best Practice Models: Data and information obtained in the Demographic Profile and the Needs Assessment will assist in identifying and evaluating three to four APS models that may be feasible and culturally appropriate for Hawaii. These proposed models will initiate and frame the selection process, and identify any

policy, procedural, structural, organizational changes that may be required.

4. Final recommendations: Data and information from Objectives 1-3 will be utilized in the determining the existing environment that APS must operate in, establishing the criteria for determining the best practice APS model and ultimately the Final recommendations. All this will be taken into consideration in the selection of the new APS model for Hawaii.

IV. Status of Project Activities

This section describes the status of each activity associated with the four Project Objectives.

Objective 1: Demographic Profile

Task 1.1 Population, adult abuse, and available services in Hawaii.

- Current data and future projections have been obtained for a number of groups of Hawaii's vulnerable populations likely to be served by APS, including older adults, adults with disabilities, adults with mental health issues, and persons with dementia. National and State-level data on incidence and types of abuse of vulnerable adults have been obtained as well.

- To understand what programs and services are available across the State to assist APS in their work and provide needed services to vulnerable adults, a web-based scan of health care, financial, legal, psychological, spiritual/religious, and long-term care services has begun.

Next steps: Compile information into an organized report that helps the DHS understand the current and future population needs for APS. Create a compendium of available social and health care programs and services appropriate for APS clients, and identify areas in which gaps exist.

Objective 2: Needs Assessment:

Task 2.1 Gain an overall understanding of current APS program.

- COA led a project kick-off meeting with leadership from the Social Services Division and Adult Protective and Community Services Branch, during which project priorities and APS activities were discussed.

- COA has received and reviewed current APS policies and procedures, organizational charts, forms, and job descriptions.

- COA has become familiarized with APS staff, through attending a two-day

training session with APS staff and leadership, and two Section Administrator meetings.

- COA has conducted interviews statewide with DHS-SSD and the APCSB leadership staff, discussing APS structure, function, services, needs/challenges, and community resources.

- COA analyzed 31 written surveys from APCSB staff and supervisors, and presented findings to Branch leadership and Section Administrators.

Task 2.2 Conduct interviews with staff and community partner organizations.

- COA developed interview guides to use in collecting qualitative data from APS and APCSB staff and leadership, as well as from representatives of community organizations with whom APS interacts.

- Interview guides are focused on strengths and weaknesses of the APS program, challenges faced in providing services, environmental/contextual challenges such as funding/resource issues, lack of service availability, cultural issues, lack of coordination with other agencies, ideas for improvements to the APS program, and other concepts related to restructuring.

- COA has conducted 45 interviews statewide with APS staff/leadership:

Section	Number of Complete Interviews	Number of Remaining Interviews	Comments
Branch	4	2	Staff interviews pending
East Hawaii	7	0	Completed
West Hawaii	6	0	Completed
Maui	6	0	Completed
Oahu AIU	4	0	Completed
Oahu Unit 1	8	0	Completed
Oahu Unit 2	6	0	Completed
Kauai	4	0	Completed
TOTAL	45	2	

- COA received lists of key community partner organizations from the APS sections. Given the large number of organizations, a strategy has been developed to maximize the amount of information collected from this group:

  - Starting in mid-January - conduct in-depth interviews with key partner organizations for each section (as identified by each section administrator).

  - February-March - develop and send out a brief electronic survey to all partner organizations to gather additional information.

- Based on general findings from community agency interviews, COA will develop and distribute a web-based survey to a comprehensive list of community partner agencies, to ensure fullest participation possible.

Task 2.3 Prepare report of findings from needs assessment.

All interviews will be transcribed and analyzed for thematic concepts related to APS policy, operations, resources, community relationships, and other categories that emerge from the data. Results from the community partner survey will be tabulated. A report will be prepared that consolidates findings from all sources and builds a framework for recommendations.

Next steps: COA will continue scheduling and conducting interviews with APS staff and leadership and commence interviews with community partner agencies statewide.

Objective 3: Best Practices Review

The evidence-based/best practices review consists of two phases.

Task 3.1 Phase One Review: Three extensive systematic literature reviews of "best practices" and evidence-based practices in elder abuse and neglect. The following electronic databases are used for all searches:

- CINAHL (Cumulative Index to Nursing and Allied Health Literature),
- Psych INFO,
- PubMed,
- Social Work,
- Sociological Abstracts,
- EBSCO Host, and
- Science Direct

Searches are performed using the following keywords: elder abuse, elder neglect, financial abuse of the elderly, and adult protection services.

Systematic Review #1: Inclusive criteria for Phase One data: literature on elder abuse and neglect authored and/or published in English since 1980. The first systematic review will provide summary descriptions of programs and policies that are identified as "innovative practices" and "best practices" in elder abuse and neglect in the United States. This review includes a scan of relevant national and State reports and studies, peer reviewed literature, and reports from national organizations, clearing houses and websites. This summary is currently being compiled.

Systematic Review #2: Examines those programs and policies that are evidence-based; and those for which there is credible research that supports the use of these interventions. Initial review finds that there are more "best practice" data compared to evidence-based programming.

Systematic Review #3: A broad review of international programs and policies that are identified as both "best practices" and are evidence-based whose findings may be helpful to incorporate in Hawaii.

Next steps: Synthesis and integration of common key themes and components from the findings in Phase One that are most often described in evidence-based programs. For example, a number of very preliminary themes in successful programs have been identified to-date: the use of multidisciplinary teams, the use of technical assistance and measurement tools, and the training of staff, victim, and perpetrator, as appropriate.

Task 3.2: Phase Two Reviews: Expert interviews

Conduct interviews with administrators from three to five evidence-based programs with a focus on their programmatic and operational structures that result in program successes. Specifically, identify the programs':

- Desired goals,
- Statutes or policies,
- Protocols or tools,
- Staffing, and
- Interagency relationships.

These areas were identified as potential components of "best practices" in a meeting with Department of Human Services, Adult Protective Service staff, and the COA project staff based on initial interviews. The focus for this review will ultimately examine programs for their feasibility and cultural appropriateness in Hawaii.

Objective 4: Develop Recommendations Report

Findings from the Hawaii demographics and trends, needs assessment and best practices review will inform a set of recommendations to the DHS regarding APS policy, operations, structure, and overall program. Recommendations will be based on:

- Collaborative meetings between DHS and COA staff,
- Feasible, implementable options for addressing areas identified as gaps in the current program and appreciating successful aspects of the current program,
- The existing environment of services available across the State, and current and projected populations of vulnerable adults in Hawaii, and
- Evidence-based best practices.

Upon the completion of the needs assessment and best practices review, COA staff will coordinate regular meetings with the SSD, APCSB, and staff leadership to discuss what was uncovered during each activity. Specifically, COA will present findings from needs assessment activities pertaining to strengths and weaknesses of the current APS program,

and ideas for improvement discussed by interviewees, and a select number of "best" models or aspects of successful programs identified nationally or internationally. Meetings will focus on discussion of specific changes, innovations, strategies, or programs that can be implemented in Hawaii's APS program across the State, with recognition of the demographic context and available resources to support these changes.

The recommendations will align APS' policies with national evidence-informed best practices and restructure services as needed for vulnerable adults including: improve assessment of victims' circumstances to better ascertain the protective response; increase consistency and accuracy in assessment, investigation and case management; improve the delivery of appropriate services; increase the efficiency of APS' operations by making the best use of available resources; reduce the rate of subsequent reports and incidents of confirmed abuse, neglect, exploitation or self-neglect; and increase the use of case-level and agency wide date for program administration, planning, evaluation and budgeting.

V. Department's Recommendation for the Proposed Project Implementation for FY15

To continue the successful restructuring of APS, the DHS proposes to build on the needs assessment and examination of best practices recommended by COA and in Year 2 to begin the process of implementing needed changes that support the best practices model adopted by APS. The best practices model refers to a range of refinements and changes, both incremental and broad-based. These changes will include: new protocols and assessment tools, development of a core training curriculum and quality assurance protocols, centralized processes, and adoption of interdisciplinary team and case management models.

In Year 2, APS proposes to:

1. Implement, coordinate, monitor, and evaluate plan and system components (protocols, trainings, communications, etc.);

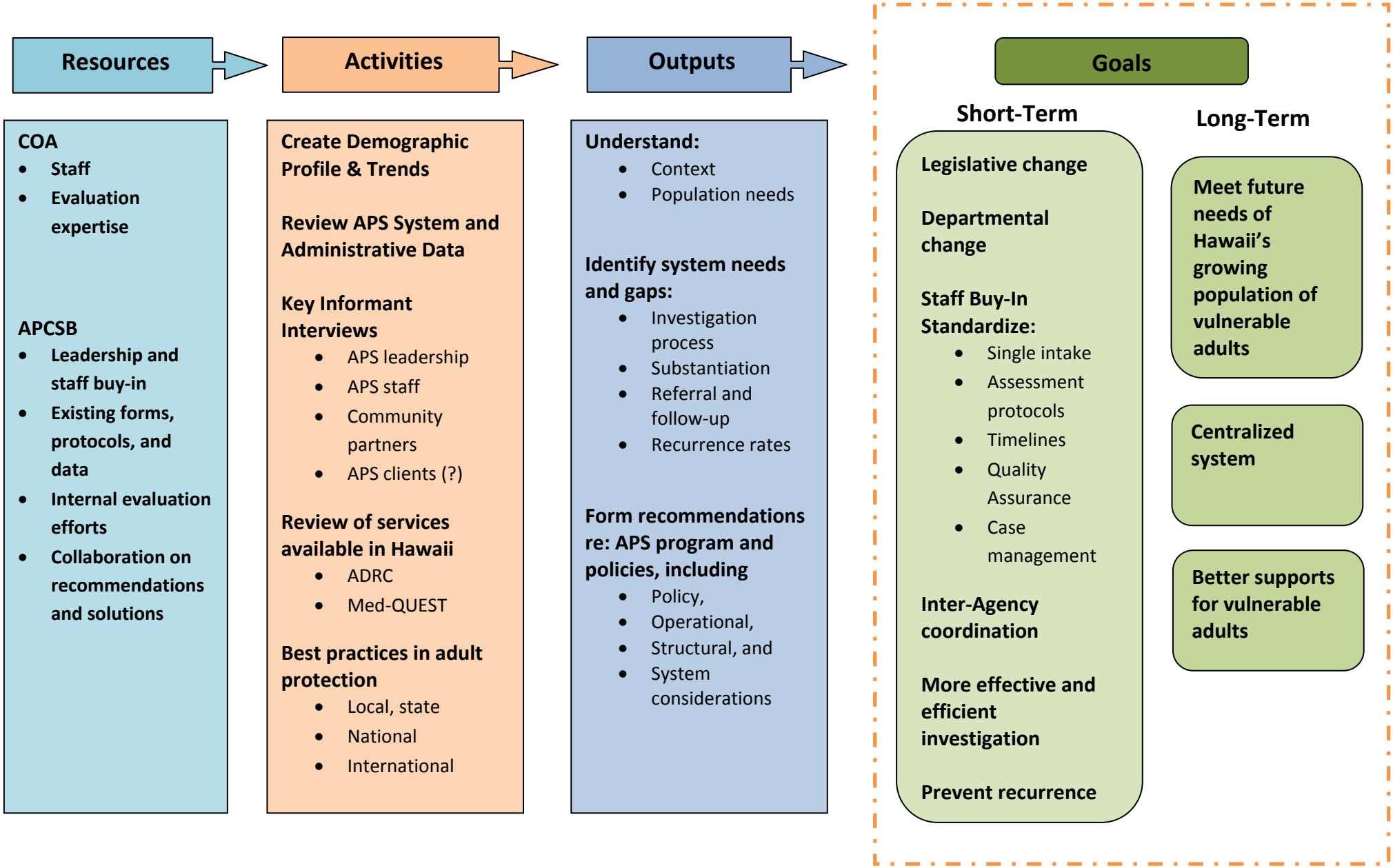
2. Identify APS processes that may be appropriate for centralization;

3. Identify and develop/implement new protocols and assessment tools, a case management model, policies and procedures, quality assurance including criteria, tools, data collection, and core training curriculum;

4. Educate community partners and other stakeholders on the changes to the APS system and the rationale for these choices; and

5. Monitor fidelity to the new model and examine implementation challenges.

Appendix A: Project Logic Model



Appendix B: Project Timeline: August 1, 2013 – July 31, 2014

	Objectives	Key Activities	Lead	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
	Plan the evaluation	Kick-off meeting at DHS	COA/ APCSB	X										
1	**Determine the context within which APS operates**	Prepare population profile of vulnerable adults in Hawaii	COA	X	X									
		Prepare profile of abuse of vulnerable adults		X	X									
		Compile report of services available to vulnerable adults in Hawaii			X	X	X							
		Obtain APS administrative data from APCSB and analyze	COA/ APSCB	X	X									
2	**Identify gaps, areas of need, and successful components of current APS**	Obtain APS system information from APCSB	APSCB	X	X									
		Conduct interviews/focus groups with key informants	COA		X	X	X	X	X	X				
		Conduct interviews/focus groups with community partners			X	X	X	X	X	X				
		Prepare report on interview findings							X	X	X			
3	**Examine local, national, and international best practices in adult protection**	Review relevant U.S. adult protection reports, policies, and regulations	COA	X	X	X	X	X						
		Review best practice and evidence-based practice literature on elder abuse and adult protection		X	X	X	X	X	X	X				
		Identify and evaluate best practice models for implementation (this will be dependent on obj 1 and 2)						X	X	X	X	X	X	
4	**Provide recommendations report to DHS based on findings of Objectives 1-3**	Submit interim report to DHS on activities, progress, and findings to date	COA/ APSCB			Nov 11th								
		Hold meetings to discuss findings and prepare draft report to DHS								X	X	X		
		Revise report based on DHS feedback									X	X	X	
		Submit final report												Jul 31st