# *Under the Radar: New York State Elder Abuse Prevalence Study*

## SELF-REPORTED PREVALENCE AND DOCUMENTED CASE SURVEYS

FINAL REPORT

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Prepared by:
Lifespan of Greater Rochester, Inc.
Weill Cornell Medical Center
of Cornell University
New York City Department for the Aging

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William B. Hoyt Memorial New York State Children and Family Trust Fund
New York State Office of Children and Family Services

## RESEARCH PROJECT PARTICIPANTS

**Principal Investigators**

Mark Lachs, MD, MPH
Irene F. and I. Roy Psaty
Distinguished Professor of Medicine
Weill Cornell Medical College
Director of Geriatrics
New York Presbyterian Healthcare System

Jacquelin Berman, PhD
Director of Research
New York City Department for the Aging

**Project Team**

Paul L. Caccamise, LMSW, ACSW
Project Director
Vice President for Program
Lifespan of Greater Rochester

Ann Marie Cook, MPA
President/CEO
Lifespan of Greater Rochester

Art Mason, LMSW
Assistant Project Director
Program Manager
Elder Abuse Prevention Program
Lifespan of Greater Rochester

Aurora Salamone, MPS
Director, Elderly Crime Victims Resource Center
New York City Department for the Aging

Denise Shukoff, JD
Project Coordinator
Special Projects Coordinator
Lifespan of Greater Rochester

**Research Consultants**

Patricia Brownell, PhD, LMSW
Research Consultant
Associate Professor Emerita of Social Service
Fordham University

Charles Henderson, PhD
Senior Research Associate
College of Human Ecology
Cornell University

Yasamin Miller, MS
Director
Cornell Survey Research Institute
Cornell University

**Research Assistants**

Mikelle Damassia, MPA
Research Assistant
Fordham University

Mebane Powell, MSW
Research Associate
New York City Department for the Aging

## PROJECT ADVISORY COMMITTEE

Amy Barasch, *New York State Office for the Prevention of Domestic Violence*

Patricia Bomba, *Excellus BlueCross BlueShield; MedAmerica Insurance Co. of NY*

Risa Breckman, *Weill Cornell Medical College*

Andrea Hoffman, *New York State Office for the Aging*

Patricia Jennings, *New York City Adult Protective Services*

Gavin Kasper, *Erie County Department of Social Services*

Gary Kelly, *New York State Police*

Karen Kissinger, *New York State Office of Children & Family Services, Children & Family Trust Fund*

Alan Lawitz, *New York State Office of Children & Family Services, Bureau of Adult Services*

Elizabeth Loewy, *New York County District Attorney's Office*

Ken Onaitis, *Carter Burden Center for the Aging*

Karl Pillemer, *Cornell University*

Judy Richards, *New York State Office of Children & Family Services, Children & Family Trust Fund*

Elizabeth Santos, *University of Rochester Medical Center*

Marcie Serber, *New York State Unified Court System*

Joy Solomon, *Weinberg Center for Elder Abuse Prevention at the Hebrew Home*

Kim Spoonhower, *New York State Office of Victim Services*

Gwen Wright, *New York State Office for the Prevention of Domestic Violence*

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# EXECUTIVE SUMMARY

The New York State Elder Abuse Prevalence Study is one of the most ambitious and comprehensive studies to quantify the extent of elder abuse in a discrete jurisdiction ever attempted, and certainly the largest in any single American state. With funding from the New York State William B. Hoyt Memorial Children and Family Trust Fund, a program administered under NYS Office of Children and Family Services, three community, governmental, and academic partners (Lifespan of Greater Rochester, the New York City Department for the Aging and the Weill Cornell Medical College) formed a collaborative partnership to conduct the study.

## AIMS OF THE STUDY

The study had three central aims achieved through two separate study components:

- To estimate the prevalence and incidence of various forms of elder abuse in a large, representative, statewide sample of older New Yorkers over 60 years of age through direct interviews (hereafter referred to as *the Self-Reported Prevalence Study*)
- To estimate the number of elder abuse cases coming to the attention of all agencies and programs responsible for serving elder abuse victims in New York State in a one-year period (*the Documented Case Study*), and
- To compare rates of elder abuse in the two component studies, permitting a comparison of "known" to "hidden" cases, and thereby determining an estimate of the rate of elder abuse underreporting in New York State.

**Prevalence** refers to the number of older adults who have ever experienced elder mistreatment since turning 60. **Incidence** refers to the number of new cases of elder abuse in the year prior to the survey interview.

## METHODOLOGY

At the completion of the study, 4,156 older New Yorkers or their proxies had been interviewed directly and 292 agencies reported on documented cases from all corners of the state. Through the collaborative efforts of the three research partners, the study employed "cutting edge" methodologies to accomplish the goals of the study. These included (1) improvement of existing survey instruments to make them "state of the art" using the combined field knowledge of academics and direct service providers; separate surveys were created for the Self-Reported Prevalence Survey and the Documented Case Study, (2) utilization of the Cornell Research Survey Institute in Ithaca to assemble a representative state sample of older adults and to conduct the interviews by telephone, (3) administration of a survey to all major service systems, agencies and programs in the state that receive reports of elder abuse and provide investigation and intervention to older adult victims.

### Methodology - Self-Reported Prevalence Study

In the Self-Reported Prevalence Study, the research team assembled a representative sample of all residents of New York State age 60 and older representing a broad cross section of the older population in the state. The sample was created using a random digit dialing strategy derived from census tracts targeting adults over 60. The study was limited to older adults living in the community, that is, not living in licensed facilities such as nursing homes and adult care facilities. The actual surveys were conducted by telephone by trained interviewers at the Cornell Survey Research Institute. The survey instrument used for this component of the study captured elder mistreatment in four general domains: (1) Neglect by a responsible caregiver (2) Financial Exploitation (3) Emotional Abuse and (4) Physical Elder Abuse (including Sexual Abuse).

### Methodology - Documented Case Study

The Documented Case Study contacted programs and agencies responsible for specifically serving victims of elder abuse and older victims of domestic violence in New York State and requested that they complete a survey about cases served in calendar year 2008. The survey included questions on elder abuse cases that mirrored the questions used for the statewide Self-Reported Prevalence Study. Programs surveyed included Adult Protective Services, law enforcement, area agencies on aging, domestic violence programs, elder abuse programs, programs funded by the Office of Victim Services (previously known as the Crime Victims Board), elder abuse coalitions, and District Attorney (DA) offices. While the amount of data supplied varied by county and organization, at least some data was collected for each of the 62 counties in New York State.

## MAJOR FINDINGS

- **The findings of the study point to a dramatic gap between the rate of elder abuse events reported by older New Yorkers and the number of cases referred to and served in the formal elder abuse service system.**
- **Overall the study found an elder abuse incidence rate in New York State that was nearly 24 times greater than the number of cases referred to social service, law enforcement or legal authorities who have the capacity as well as the responsibility to assist older adult victims.**
- **Psychological abuse was the most common form of mistreatment reported by agencies providing data on elder abuse victims in the Documented Case Study. This finding stands in contrast to the results of the Self-Reported Study in which financial exploitation was the most prevalent form of mistreatment reported by respondents as having taken place in the year preceding the survey.**
- **Applying the incidence rate estimated by the study to the general population of older New Yorkers, an estimated 260,000 older adults in the state had been victims of at least one form of elder abuse in the preceding year (a span of 12 months between 2008-2009).**

Caution must be exercised in interpreting the large gap between prevalence reported directly by older adults and the number of cases served. The adequacy of some documentation systems to provide elder abuse case data may have played a role in the results. The inability of some service systems and individual programs to report on their involvement in elder abuse cases may have affected the final tally of documented cases. As a

result, an undetermined number of cases may not be accounted for from agencies and programs that could not access some data about elder abuse victims served. However, the study received comprehensive data from the largest programs serving elder abuse victims: Adult Protective Services, law enforcement and community-based elder abuse programs.

**Table A**

Rates of Elder Abuse in New York State:
Comparison of Self-Reported One-Year Incidence and Documented Case Data

| | Documented Rate per 1,000 | Self-reported Rate per 1,000 | Ratio of Self-Reported to Documented |
|---|---|---|---|
| New York State - All forms of abuse | 3.24 | 76.0 | 23.5 |
| Financial | .96 | 42.1 | 43.9 |
| Physical and Sexual | 1.13* | 22.4* | 19.8 |
| Neglect | .32 | 18.3 | 57.2 |
| Emotional | 1.37 | 16.4 | 12.0 |

*The Documented Case rate includes physical abuse cases only. Physical and sexual abuse data were combined in the Self-Reported Study. The sexual abuse rate for the Documented Case Study was 0.03 per 1,000.

It should be noted that the sum of the rates exceeds the total rates in both the Documented Case and Self-Reported Studies because some victims experienced more than one type of abuse.

## SELF-REPORTED PREVALENCE STUDY

**Major findings of the Self-Reported Study include:**

- **A total one-year incidence rate of 76 per 1,000 older residents** of New York State for any form of elder abuse was found.
- The cumulative prevalence of any form of **non-financial elder mistreatment was 46.2 per thousand subjects studied** in the year preceding the survey.
- The highest rate of mistreatment occurred for **major financial exploitation** (theft of money or property, using items without permission, impersonation to get access, forcing or misleading to get items such as money, bank cards, accounts, power of attorney) with **a rate of 41 per 1,000 surveyed**. This rate reflects respondent reports of financial abuse that occured in the year preceding the survey. (The rate for moderate financial exploitation, i.e. discontinuing contributions to household finances in spite of agreement to do so, constituted another 1 per 1,000 surveyed.)
- The study also found that **141 out of 1,000 older New Yorkers have experienced an elder abuse event since turning age 60.**

## DOCUMENTED CASE STUDY

**Major findings of the Documented Case Study include:**

- Adjusting for possible duplication of victims served by more than one program, the study determined that in a one-year period **11,432 victims were served throughout New York State, yielding a rate of 3.24 elder abuse victims served per 1,000 older adults.**
- Rates of documented elder abuse varied by region. The highest rate was in New York City (3.79 reported cases per 1,000 older adult residents) compared to the region with the lowest rate of documented cases, Central New York /Southern Tier (2.30 cases per 1,000).
- Variability in data collection across service systems contributed to the large gap uncovered between the number of cases reported through the Documented Case Study and the prevalence rates found in the Self-Reported Study. The extent to which the gap can be attributed to data collection issues among service systems has not been established.
- While there was little difference among urban, suburban and rural counties in types of abuse reported in the Documented Case Survey (for all regions, emotional abuse is the most common abuse category reported), urban areas tend to have higher documented case rates than rural counties.

**Table B**

## Victim Demographic Information
## Comparison of Documented Case Data and Self Reported Data

| Information about victims | Documented Case Study Percent of Victims | Self-Reported Study Percent of Victims |
|---|---|---|
| **Age groups** | | |
| 60-64 | 17.0 | 20.3 |
| 65-74 | 41.9 | 38.0 |
| 75-84 | 28.1 | 29.1 |
| 85+ | 13.0 | 12.7 |
| (Missing) | 14.9 | 0.0 |
| **Gender** | | |
| Male | 32.8 | 35.8 |
| Female | 67.2 | 64.2 |
| (Missing) | 13.8 | 0.0 |
| **Race/Ethnicity** | | |
| African American | 27.9 | 26.3 |
| Asian/Pacific Islander | 3.0 | 1.6 |
| Caucasian | 69.3 | 65.5 |
| Hispanic/Latino | 16.4 | 7.6 |
| Native American/Aleut Eskimo | 0.8 | 1.9 |
| Race, other | 10.5 | 2.9 |
| (Missing) | 50.8 | 1.9 |

Under Race/Ethnicity, it should be noted that in the Documented Case Study, some agencies permitted elder abuse victims to declare more than one ethnic category; as a result the sum of percentages exceeds 100. In the Self-Reported Study column, respondents who self identified as Hispanic/Latino in addition to another category are reported in a separate statistic (7.6%). As a result, the sum of all categories again exceeds 100 percent.

Note that in Table B, "Missing" in the Documented Case Study column indicates the percentage of cases in which responding organizations were unable to supply the data requested. In the Self-Reported Study column, "Missing" indicates the percentage of telephone survey respondents who declined to supply the requested information.

The comparison of demographic data in Table B reveals similar trends in both the Self-Reported and Documented Case data except in the area of Race/Ethnicity. The percentage of Hispanic/Latino and Asian/Pacific Islander victims served by Documented Case Study respondent organizations was approximately twice the percentage of Self-Reported Study respondents who self-identified as Hispanic/Latino or Asian/Pacific Islander. On the other hand, Native Americans/Aleut Eskimos were represented in the Documented Case findings at less than half the rate they were found in the Self-Reported Study. It should also be noted, however, that responding organizations in the Documented Case Study were as a whole unable to provide racial/ethnic data in half of the cases.

## CONCLUSIONS

While the Prevalence Study did not attempt to analyze the reasons for the disparity in self-reported versus documented elder abuse, some possible explanations can be offered. Considerable variability in documentation systems may play a role in the results. The Documented Case Study found a great deal of variability in the way service systems and individual organizations collect data in elder abuse cases. Some service systems and some regions may lack the resources to integrate elder abuse elements in data collection systems or may simply not have an adequate elder abuse focus in their data collection. Population density, the visibility of older adults in the community and, conversely, social isolation in rural areas may contribute to differences in referral rate trends based on geography. Greater awareness by individuals, both lay and professional, who have contact with older adults and might observe the signs and symptoms of elder abuse, may also explain higher referral rates in some areas.

**The New York State Elder Abuse Prevalence Study uncovered a large number of older adults for whom elder abuse is a reality but who remain "under the radar" of the community response system set up to assist them.**

The findings of the New York State Elder Abuse Prevalence Study suggest that attention should be paid to the following issues in elder abuse services:

- Consistency and adequacy in the collection of data regarding elder abuse cases across service systems. Sound and complete data sets regarding elder abuse cases are essential for case planning and program planning, reliable program evaluation and resource allocation.
- Emphasis on cross-system collaboration to ensure that limited resources are used wisely to identify and serve elder abuse victims.
- Greater focus on prevention and intervention in those forms of elder abuse reported by elders to be most prevalent, in particular, financial exploitation.
- Promotion of public and professional awareness through education campaigns and training concerning the signs of elder abuse and the resources available to assist older adults who are being mistreated by trusted individuals.

## IMPLICATIONS FOR FOLLOW UP AND FURTHER STUDY

For the first time, a scientifically rigorous estimate of the prevalence of elder abuse in New York State has been established. The study also provides an estimate of the number of cases that receive intervention in a one-year period throughout the state. The study raises many questions about differences in rates of abuse in various regions, about referral rates by region and about how elder abuse data is recorded. Further exploration of these issues in future research studies is warranted.

The findings also serve as a platform for more informed decision making about policy, use of limited resources and models of service provision for the thousands of older New Yorkers whose safety, quality of life and dignity are compromised each year by elder mistreatment.

# INTRODUCTION

This report describes one of the most ambitious and comprehensive studies to quantify the extent of elder abuse in a discrete jurisdiction ever attempted, and certainly the largest in any single American state. With funding from the New York State Children and Family Trust Fund, three community, governmental, and academic partners — Lifespan of Greater Rochester, the New York City Department for the Aging, and the Weill Cornell Medical College — entered into a unique collaborative partnership to understand the magnitude and impact of elder abuse in New York State, aided by countless other dedicated state agencies, non-governmental organizations, universities, and individuals.

The study had three central aims achieved through two separate study components:

1. To estimate the prevalence of various forms of elder abuse in a large, representative, statewide sample of community-dwelling, older New Yorkers through direct subject interviews (hereafter referred to as *the Self-Reported Prevalence Study*)

2. To estimate the number of elder abuse cases coming to the attention of all agencies and programs responsible for serving elder abuse victims in New York State in a one-year period (hereafter referred to as *the Documented Case Study*), and

3. To compare rates of elder abuse in the two component studies, permitting a comparison of "known" to "hidden" cases, and thereby determining an estimate of the rate of elder abuse underreporting in New York State.

This report describes the state of elder abuse services in New York State, the methodology applied in both components of the study, the findings of the study and the extent to which the findings address the original research goals of the study. The report also draws conclusions based on the data and offers some implications for future elder abuse research and for services for maltreated elders in New York State.

## BACKGROUND

Elder abuse and neglect (also known as elder mistreatment) is an insidious and tragic social problem that affects a significant number of older adults. Often a hidden and unreported phenomenon, over the past twenty years elder abuse has been increasingly recognized, both nationally and internationally, as a serious social problem. Mistreatment of older adults has joined economic insecurity, chronic disease and cognitive impairment as recognized major threats to the health and general welfare of individuals in the second half of life.

Several factors have prompted the increased attention to elder mistreatment by gerontologists, public health specialists and social service planners. Rapidly changing demographics in the US and in many other

countries have led to the realization that aging issues, including elder mistreatment, must figure prominently in social planning. In many societies, including the US, the number of older adults is steadily increasing and in the next few decades will surpass the number of minor youth in the population. The absolute number of mistreated individuals is thus expected to increase, challenging health and social service systems that are often unprepared to respond to their needs adequately. Professionals who work with abused older adults and researchers who specialize in gerontological issues have also highlighted the dramatic ways in which elder mistreatment can affect the health, safety and quality of life of older people.

Elder abuse can have potentially devastating effects on the lives of older adults. Injuries sustained by a frail older adult can have much more tragic consequences than similar injuries inflicted on a younger person. Physical abuse can result in nursing home placement, permanent disability or even death.

Financial exploitation can deprive older adults of resources needed for the necessities of life. Unlike younger people who lose assets or resources, older adults have less time and opportunity to recover from financial losses. An unexpected finding of a longitudinal study published in 1998 was that older adults who have been subjected to any form of mistreatment are three times more likely to die within three years than elders of similar age and medical and social circumstances who have not been mistreated (Lachs & Pillemer, 1998). Advocacy by those committed to preserving the health, safety and independence of older adults has also served to focus attention on the issue of elder abuse.

## ELDER ABUSE DEFINED

While historically definitions of elder mistreatment have varied widely, there has recently been more consensus, promulgated by a National Academy of Sciences Panel, on a definition that includes the notion of a trusting relationship in which the trust of the older victim is violated (Bonnie, R.J., Wallace, R.B., 2002). The goal of the New York State Elder Abuse Prevalence Study was to capture data on elder mistreatment subsuming this idea in four general domains: (1) Neglect of a responsible caretaker in meeting ADL (Activities of Daily Living) and/or IADL (Instrumental Activities of Daily Living) assistance, (2) Financial Exploitation, (3) Psychological and (4) Physical Elder Abuse (including Sexual Abuse). (It should be noted that psychological abuse is also sometimes referred to as "emotional" or "verbal" abuse.)

New York State Social Services Law also contains a definition of adult abuse which guides Adult Protective Services (APS) practice throughout the state. For purposes of APS, the definition applies to persons over 18 and does not require a "trusted" person to be the perpetrator in every case. Since the study population was confined to older residents of New York State, the research team applied the definitions contained in the law in its operational definition of elder mistreatment in the survey instruments for both the Self-Reported and Documented Case studies; however, inclusion in the study was limited to those situations in which a "trusted individual" was the perpetrator of elder abuse. Respondents were asked to apply the definitions to situations in which victims were over age 60 and in which the elder abuse victim was in a "trusting relationship" with the perpetrator. It should be noted, however, that the data submitted for the Documented Case Study from the database used to collect case data by Adult Protective Services in New York State included cases of mistreatment perpetrated by third parties not considered "trusted" persons. There was no way to disaggregate data about

"trusted" perpetrators and those that did not meet this definition. Following are the definitions for each category of abuse contained in New York State Social Services Law, Article 9B, Adult Protective Services, Section 473(6) Definitions.

### Physical Abuse

The non-accidental use of force that results in bodily injury, pain or impairment, including but not limited to, being slapped, burned, cut, bruised or improperly restrained.

### Sexual Abuse

Non-consensual contact of any kind, including but not limited to, forcing sexual contact or forcing sex with a third party.

### Emotional Abuse

Willful infliction of mental or emotional anguish by threat, humiliation, intimidation or other abusive conduct, including but not limited to, frightening or intimidating an adult.

### Active Neglect

Active neglect means willful failure by the caregiver to fulfill the care-taking function and responsibilities assumed by the caregiver, including but not limited to, abandonment, willful deprivation of food, water, heat, clean clothing and bedding, eyeglasses or dentures, or health-related services.

### Passive Neglect

Passive neglect means the non-willful failure of a caregiver to fulfill care-taking functions and responsibilities assumed by the caregiver, including but not limited to, abandonment or denial of food or health-related services because of inadequate caregiver knowledge, infirmity or disputing the value of prescribed services.

### Financial Exploitation

Improper use of an older adult's funds, property or resources by another individual, including but not limited to, fraud, false pretense, embezzlement, conspiracy, forgery, falsifying records, coerced property transfers or denial of access to assets.

Self neglect, also defined in the statute, was not included in the scope of this study. It should also be noted that the study was limited to older adults residing in the community and did not include residents of licensed care facilities such as Adult Care Homes and Skilled Nursing Facilities.

## IMPETUS FOR THE STUDY

In 2004 Lifespan of Greater Rochester, a not-for-profit social agency serving older adults in upstate New York, convened the first comprehensive statewide summit on elder abuse in the nation. In collaboration with state agencies and a private health insurer, Lifespan organized the summit event which brought over 100 experts in elder abuse and aging services to the state capital, Albany, to discuss the state of elder abuse services in New York State and to forge a prioritized set of recommendations regarding elder abuse policy and services for the state. The 2004 New York Elder Abuse Summit resulted in the formulation of a statewide Action Agenda. The first priority recommendation focused on changing laws around elder abuse. The second priority read "Conduct a statewide research study to define the nature and scope of elder abuse, establish the baseline of prevalence and incidence, and develop a methodology for ongoing data collection and analysis for purposes of policy, planning, program development and evaluation." There was general consensus among Summit participants that the true extent of the problem in New York was unknown owing to several factors, including:

- inconsistent requirements for some agencies to keep and report statistics on elder abuse
- inconsistency among organizations that serve elder abuse victims in the collection and tracking of data concerning elder abuse cases throughout the state
- the conviction, based on professional work experience, that elder abuse is underreported and under prosecuted
- reluctance of victims to seek help out of shame, fear and lack of awareness of avenues for assistance and support.

There was also consensus that true change in systems and in policy can only be effected if hard data about the number of older adults who have fallen victim to elder mistreatment was determined in a scientifically valid way.

In 2007 the New York State Children and Family Trust Fund, a program of the New York State Office of Children and Family Services, offered funding to conduct a study on the prevalence of elder abuse in New York State. For over two decades this fund has provided start up resources for programs to prevent child abuse; the Trust Fund is unique among such funds in the nation in also supporting elder abuse initiatives. Lifespan of Greater Rochester was selected by the Trust Fund to act as the lead agency in a collaborative partnership to conduct a comprehensive study of the prevalence of elder abuse in New York. The partnership involved a unique research collaboration between a community agency, academia and a government department (Lifespan, Weill Cornell Medical Center and New York City Department for the Aging).

## THE SIGNIFICANCE OF THE STUDY

The New York State Elder Abuse Prevalence Study is groundbreaking in several ways. It is the first scientifically rigorous survey of prevalence rates of elder mistreatment of community-dwelling older adults in an entire state that includes older adults age 60 years and above and focuses specifically on abuse, neglect and financial exploitation by family members and trusted others. It also concurrently utilizes statewide elder abuse data at the

county level, ascertained through multiple service systems across the state that may come into contact with and provide services to elder abuse victims and their families. Unlike some national studies, it does not include self-neglect. It provides information on elder abuse on a statewide basis as well as by region, and by rural, suburban and urban areas.

Finally, it is the first statewide study that compares self-reported data to documented case data over the same secular period; data was collected from multiple service systems statewide for cases of mistreatment occurring during a recent one-year period (2008), ensuring that findings are both timely and concurrent with the self-reported prevalence component of the study. This, therefore, allows a comparison of mistreatment rates reported by subjects themselves and those represented by cases that became known to official entities. The findings also permit quantification of the gap between cases "reported to agencies" and self-identified cases. Both components of the study are also among the largest to date in terms of sample size.

Both the self-reported and officially documented components of the study serve as baselines for future policy and funding decisions, service development and for future research into this significant social and public health problem.

## PREVIOUS STUDIES AND SURVEYS OF PREVALENCE AND DOCUMENTED CASES

### National Studies

Several significant studies have attempted to estimate prevalence rates of elder abuse in the US or in selected regions. Prior estimates of the prevalence of elder abuse range from 2% to 10% of all adults over 60 years of age based on various sampling, survey methods and case definitions (Lachs & Pillemer, 2004).

In 1988 Karl Pillemer and David Finkelhor conducted a seminal study of the prevalence of mistreatment of older adults living in the Boston area. Using a random digit dialing sampling strategy, the investigators determined an overall prevalence rate of 32 older adults per thousand individuals interviewed since turning 65 years of age. The study covered physical violence, verbal aggression and neglect but did not address financial exploitation (Pillemer & Finkelhor, 1988).

A national study conducted in 2008 estimated prevalence and assessed correlates of emotional, physical, sexual and financial mistreatment and potential neglect (defined as an identified need for assistance that no one was actively addressing) of adults aged 60 years or older in a randomly selected national sample (Acierno, Hernandez, et al., 2010). The researchers compiled a representative sample by random digit dialing across geographic strata. Using computer-assisted telephone interviewing to standardize collection of demographic, risk factor and mistreatment information, data from 5,777 respondents was analyzed. A one-year incidence rate of 4.6% was established for emotional abuse, 1.6% for physical abuse, 0.6% for sexual abuse, 5.1% for potential neglect and 5.2% for current financial abuse by a family member.

In 2009 the MetLife Mature Market Institute published the results of a study focusing on financial exploitation of older adults in the US. The study concluded that a conservative estimate of the personal cost to victims was $2.6 billion annually. The study also estimated that only one in five cases of financial exploitation is actually reported. MetLife found that elder financial abuse accounts for 30 to 50 percent of all forms of elder abuse and that financial exploitation also occurs with other forms of abuse (MetLife Mature Market Institute, 2009).

In 1998 the National Center on Elder Abuse at the American Public Human Services Association published the results of an innovative national study of elder abuse. The National Elder Abuse Incidence Study confirmed what elder abuse experts had long believed: reported elder abuse cases make up only the "tip of the iceberg." The study estimated that 450,000 older adults in domestic settings in the US were newly abused, neglected, and/or exploited in 1996. The study also found that for every reported incident of elder abuse, neglect, exploitation or self-neglect, approximately five go unreported. (National Center on Elder Abuse, 1998).

The 2004 Survey of State Adult Protective Services was conducted by the National Center on Elder Abuse, with oversight by the National Committee for the Prevention of Elder Abuse and the National Adult Protective Services Association. The 2004 survey collected 2003 fiscal year data from all 50 states, Guam and the District of Columbia. Of the states sampled, at least 2/3 were able to separate out reports of elder abuse from vulnerable adult abuse. From the 32 states that responded, there were 253,426 incidents involving elder abuse. This represented 8.3 reports of abuse for every 1,000 older adults in America. The study included self-neglect as a type of elder abuse, which was the most prevalent type of abuse reported by the study (Teaster & Otto, 2006).

## Studies in New York State

Prior to the New York State Elder Abuse Prevalence Study there had been no rigorous statewide research studies of the extent of elder abuse in the state; however, some regional studies and needs assessments had been conducted. A study of elder abuse using case record data from the New York State Adult Protective Services system was undertaken by Abelman in 1997. A random sample of 250 cases was drawn from case listings of cases served during 1995. The sample represented approximately 10% of the cases initially authorized for APS during the study period. For this age group, 65 and over, financial exploitation was identified as the most prevalent form of abuse (62% of cases), followed by caregiver neglect (56%), emotional abuse (34%), and physical abuse (22%) (Abelman,1997).

Within New York City, a study of all incidents of elder abuse perpetrated by adult children against older adult parents reported to the New York City Police Department (NYPD) in Manhattan in 1992 was completed by Brownell in 1998. As part of this study, utilizing secondary data provided by the NYPD, crimes defined by the New York Penal Law were recoded into elder abuse categories. A total of 314 complaint reports were analyzed, with 295 reports reflecting elder abuse as defined by the criteria that a person aged 60 years or older was the victim of physical, psychological or financial abuse by an offspring. Alleged crimes reflecting psychological abuse were the most prevalent (35.7%), compared to alleged crimes reflecting financial abuse (33.6%) and physical abuse (30.7%) (Brownell,1998).

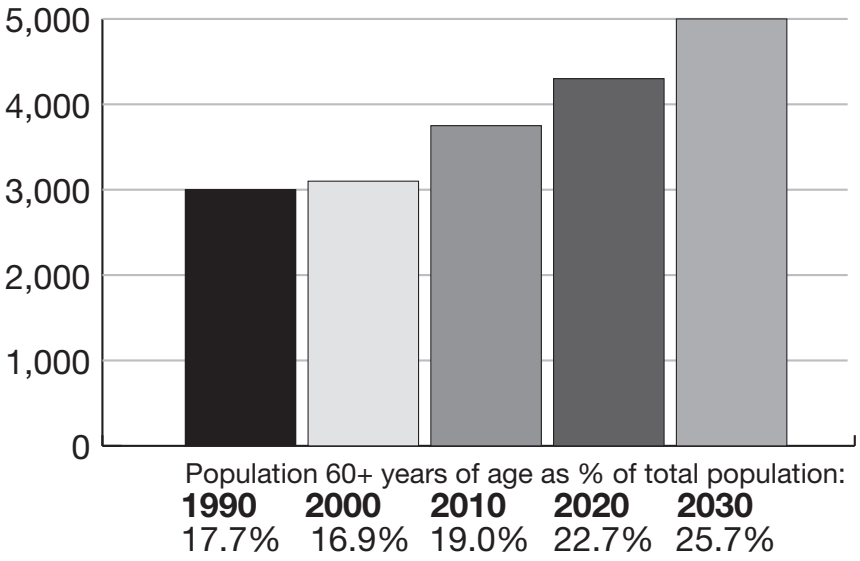
A survey conducted by the Monroe County Department of Health for the Older Adult and Adult Health Report Card in the Rochester, New York area in September 2008 found that 8% of older adults in Monroe County reported having been a victim of abuse since turning 60 (Monroe County, 2008).

## NEW YORK STATE DEMOGRAPHICS

To fully appreciate the findings of the study and their implications for elder abuse services in New York, it is important to understand the nature of the population of older adults who currently make their home in the state. New York State is the third most populous state in the nation with a 2009-estimated population of 19,541,453 (US Census, American Fact Finder). In 2008, 18.2% of the total population of the state was over 60 (over 3.5 million individuals); 13.2% were over 65. New York's older population is growing both in percentage of the population and in absolute number. It is anticipated that by 2020, over 22% of the population of the state will be over 60 (cf. Figure 1). Within the next 25 years the number of elders in the state (over 62) will surpass the number of minor youth (under 18) following the trend of other areas in the US and other developed nations (US Census Bureau, US Population Projections). New York's older adult population is currently the third largest in the US, surpassed only by California and Florida.

**Figure 1**

New York State
Resident Population – 60+ years of age
Population 1990-2030
Numbers in thousands (US Census Bureau-American Fact Finder)



The state is large geographically and ethnically diverse. The major population center is the New York City region, the largest metropolitan and economic center in the state as well as in the nation. New York alone is home to over eight million people. Over 1.3 million New York City residents are age 60 or older. By 2030, this age group will increase by nearly a half million people to 1.8 million (New York City Department of Planning, 2006). Nearly half of today's older New Yorker City residents are members of racial and ethnic minority groups (New York Academy of Medicine, 2008).

Some counties are affected more than others by rapid growth among the state's minority elderly population. Minority elderly reside disproportionately in New York City and other metropolitan counties of the State. According to the 2000 Census, of the state's minority age 60 and older population:

- 77.2% live in the five counties of New York City, comprising 46.6 percent of the city's age 60 and older population; and,
- 17.9% live in the seven counties of Erie, Monroe, Nassau, Orange, Rockland, Suffolk and Westchester, comprising 10 percent or more of each county's age 60 and older population.

In total, 95.1 percent of the State's minority elderly live in the aforementioned twelve counties while only 4.9 percent live in the other fifty counties of the State (New York State Office for the Aging, 2000). There are also seven federally-recognized Native American nations scattered across New York State with a total population in excess of 50,000 (US Census Bureau, 2006-2008 American Community Survey, Selected Population Profile in the US: New York).

The unique demographic patterns in the state as well the tremendous cultural diversity represented in the elder population pose special research challenges in any attempt to determine the true prevalence of mistreatment in the state's older adult population.

## RESEARCH PARTNERS

The Prevalence Study was accomplished through the collaboration of three organizations representing academia, government and the not-for profit aging services sector.

### Lifespan of Greater Rochester Inc.

Lifespan of Greater Rochester is a not-for-profit social agency that provides a full continuum of non-medical aging services to support older adults in taking on the challenges and opportunities of longer life. Lifespan was founded in 1971; for 40 years, the agency has been a leader in planning and delivering aging services in Monroe County, New York and the surrounding Finger Lakes counties. The agency currently operates 30+ programs including the Elder Abuse Prevention Program (EAPP). In 2010 Lifespan served over 25,000 clients. The agency has had extensive experience serving elder abuse victims in New York and is recognized as a leader in the field of elder abuse. The EAPP program, initiated in 1987, was one of the first non-governmental agencies to specialize in elder abuse. Lifespan also coordinates the New York State Coalition on Elder Abuse.

### Weill Cornell Medical College

Founded in 1898, Weill Cornell Medical College is affiliated with what is now New York-Presbyterian Hospital. Weill Cornell Medical College is among the top-ranked medical schools in the country and New York Presbyterian Hospital is consistently ranked as among the top ten in the nation by US News and World Report. In 2009 New York-Presbyterian Hospital/Weill Cornell Medical Center launched the New York City Elder Abuse Center in order to improve identification and treatment of elder abuse victims in the New York City area. This is the first such center in the New York area to focus on coordinating elder abuse intervention.

### New York City Department for the Aging

The New York City Department for the Aging (DFTA) is the only New York City municipal agency dedicated solely to representing and serving New York City's elderly. It is also the largest Area Agency on Aging in the nation. The Department provides an array of services to older New Yorkers directly and through a network of community partners. DFTA's Elderly Crime Victims Resource Center, funded by the New York State Office of Victim Services, has been providing direct services to elder abuse victims to break the pattern of domestic violence and financial and emotional abuse since 1986. The Center also offers case consultation, technical assistance and workshops to community agencies and law enforcement. DFTA was instrumental in the creation and development of the New York City Elder Abuse Network (NYCEAN); the agency remains an active member of NYCEAN through participation by the Center.

The research partners also convened an Advisory Committee comprised of experts in elder abuse and aging services in New York State as well as key representatives from each of the service systems surveyed in the study. The Advisory Committee provided consultation on the design and conduct of the study as well as guidance in obtaining access to entities serving elder abuse victims.

## RESEARCH CHALLENGES

Each of the two components of the study had unique challenges.

**Self-Reported Prevalence Study:** For the Self-Reported Prevalence Study to be a valid measure of the experience of older adults with elder mistreatment, the researchers needed to:

- Devise a survey instrument that would adequately cover all forms of elder mistreatment (with the exception of self neglect), that would encourage respondents to respond truthfully and that would not be an excessive burden on the respondent.
- Reach a sufficient sample of older adults willing to consent to respond to a lengthy questionnaire.
- Obtain a cross section of people in all geographic areas of the state to be able to determine elder abuse data for each region and make comparisons between regions.
- Take into account the ethnic and linguistic diversity in the state.

- Take into consideration the reality that some older adult respondents might have cognitive impairments that would prevent them from accurately responding to inquiries about personal history.
- Include a protocol to protect the safety of respondents and offer referrals for assistance if researchers uncovered cases of active mistreatment.

**Documented Case Study:** The Documented Case Study component of the New York State Elder Abuse Study successfully addressed a number of similar challenges as well. These included the need to:

- Create a survey instrument that, as in the Self-Reported Prevalence Study, would adequately cover all forms of elder mistreatment (other than self-neglect) and that would capture the data elements required to describe elder mistreatment service activity in New York State.
- Design an instrument that would elicit information that could be meaningfully compared to the Self-Reported Prevalence Study findings without being onerous to the survey respondents.
- Find ways to elicit the cooperation of busy executives to complete a lengthy questionnaire requiring them to first obtain data from their own data systems. (The length of the final survey instrument was 17 pages covering 33 questions.)
- Develop a sampling frame that would comprise the total universe of programs serving elder abuse victims in New York State.
- Finally, take into account the differences that each service system has in terms of definitions of mistreatment, as well as differences in computer systems and administrative capacity to respond to what was being asked of them.

In spite of the obstacles, the researchers were able to conduct a comprehensive survey of elder abuse cases referred to agencies and programs known to serve elder abuse victims in all quarters of the state.

The research partners were able to address all of these concerns in the final survey instruments and in the protocol for administration of the telephone survey questionnaire. Copies of survey instruments used in both components of the study are contained in Appendices A and B.

## ELDER ABUSE SERVICES IN NEW YORK STATE

One of the primary challenges in conducting the study was identifying the numerous agencies responsible for serving older adults who have been victims of elder abuse. New York State is not a mandatory reporting state for elder abuse; there is no central, statewide repository of data on cases of elder mistreatment. Elder abuse cases can come to the attention of several agencies capable of providing investigation and intervention services. In addition to Adult Protective Services, which operates in every county in the state, New York State also has several not-for-profit programs that specialize in investigating cases of elder abuse and responding to the needs of elder abuse victims. Nine such programs that specialize in serving elder abuse victims operate in New York City. In upstate New York, Lifespan's Elder Abuse Prevention Program in Rochester provides elder abuse services in a ten county region. In addition, cases may enter the community's response system through calls to law

enforcement, District Attorney Offices, domestic violence programs, county-based programs funded by the NYS Office of Victim Services and/or programs administered directly or under contract by local area agencies on aging.

Each service system has its own data collection system. Without a central statewide database for elder abuse cases, the task of the researchers was to track down data on elder abuse cases in all relevant service organizations throughout the state. Excluded were agencies such as home health agencies, senior centers, and other community-based programs that may identify cases of elder abuse and refer to other service entities but do not directly provide elder abuse intervention services.

The system offers multiple portals through which cases of elder abuse may be reported and for victims to access help; however, the number and variety of service providers presented a formidable task for the study partners to obtain an accurate estimate of the number of cases served in a one-year period.

## METHODOLOGY: PREVALENCE (SELF-REPORTED) STUDY

### Study Population

The research team assembled a population-weighted sample of all residents of New York State aged 60 and older. Age 60 was selected as the cutoff for the study because many official service systems that serve elder abuse victims (e.g., Adult Protective Services) use the same age criterion, and in subsequent analyses the aim of the study was to compare self-reported and officially reported cases meaningfully.

The sample was created using a random digit dialing strategy derived from census tracts targeting the older than 60 demographic. To assure adequate representation of minority populations, Hispanics and African-American subjects were intentionally oversampled; similarly, the sample was augmented with older subjects (age greater than 80) to assure adequate representation of the oldest elders. Subsequent weighted analyses adjusted for this sampling strategy.

Eligible subjects were those that were (1) at least 60 years of age, (2) living in a community residence (not a long term care facility) in New York State, (3) English or Spanish-speaking (all instruments were translated into and conducted in Spanish when this was the primary language of the respondent) and (4) who had enough cognitive ability to participate in the full interview. With regard to the latter, the investigators considered several protocols to assess cognition ranging from brief screening to formal mental status testing. Formal mental status testing was deemed as either too onerous given the overall length of the interview or potentially off-putting to subjects given the already sensitive nature of the study topic. Ultimately, a simple cognitive screening procedure was employed consisting of three questions: marital status, date or year of birth and age. If the subject was unable to provide answers to any of these questions, or if their reported age differed by more than one year from their age as computed from the birth date, they were deemed cognitively impaired and therefore not eligible to participate in the interview.

The actual surveys were conducted by telephone by the Cornell Survey Research Institute (CSRI). Located at the Cornell University campus in Ithaca, NY, CSRI has been providing survey research, data collection and analysis services since 1996 to a wide range of academic, non-profit, governmental and corporate clientele. CSRI interviewers were highly diverse in age, gender and ethnic background; two of the investigators (Mark Lachs, Art Mason) conducted on-site training and education on the general topic of elder abuse with the survey staff prior to the initiation of the study. The training specifically included techniques and referral information on how to address potential situations in which a subject was deemed to be in immediate danger; Dr. Lachs made himself available by phone and pager through the self-reported study to assist interviewers and or subjects with any urgent clinical issue that might arise. Fortunately, no such situation occurred during the telephone interviews.

## Instruments

The survey instrument used for this component of the study was designed to capture elder mistreatment in four general domains: (1) Neglect by a responsible caretaker in meeting ADL (Activities of Daily Living) and/or IADL (Instrumental Activities of Daily Living) needs, (2) Financial Exploitation, (3) Emotional (Psychological or Verbal) Abuse and (4) Physical Elder Abuse (including Sexual Abuse).

Wherever possible, existing instruments were employed to measure mistreatment so as to permit comparisons to previous studies; this was a formal recommendation of the National Academy of Sciences Panel on Elder Abuse, which suggested use of instruments like the Conflict Tactics Scale to measure physical abuse (Bonnie, R.J., Wallace, R.B., 2002). However, that panel also suggested modification and adaptation of instruments for elder abuse, and the study investigative group (who collectively has many decades of experience in direct elder abuse service, administration, research and policy) found serious shortcomings in some aspects of virtually all instruments. For example, many older financial exploitation instruments fail to take into account many newer forms of "technologically-mediated" financial abuse, such as theft or misuse of an ATM card.

The Conflict Tactics Scale (and its actual preamble) assert that family violence occurs when families resolve stressful situations dysfunctionally but many cases of serious elder abuse have no such predicate (for example, a demented man who strikes a spouse with no provocation whatsoever). Additionally, although the intent of the study was to exclude stranger-mediated violence and crime, the study partners wished to capture abuse, neglect or exploitation conducted by non-family actors (such as a paid home health attendant) as situations such as this constitute a violation of an important trusting relationship and are highly relevant to victims, responders and policy makers. Accordingly, modest modifications were made to existing instruments as described below for each domain.

Additionally, following the precedent of Pillemer and Finkelhor in their adaptation of the Conflict Tactics Scale (Pillemer and Finkelhor, 1988), both a frequency and severity rating were assigned to all items. For frequency, subjects were asked if since turning age 60 they had ever experienced mistreatment; if they endorsed the mistreatment item, they were then asked how many times they had experienced the event in the past year. The possible response categories were "never, once, two to ten times, or greater than ten times." This strategy permitted a calculation of both incident events (those occurring in the past year) versus prevalence (those occurring at any time since age 60). When a subject endorsed a form of mistreatment as having occurred at least

once in the past year, he or she was also asked how serious a problem the event(s) was for them; the ordinal choices for this were: "not serious, somewhat serious, very serious."

Frequency and severity ratings of an item were then combined to determine whether abuse was deemed to be "present" or "absent." However, the criteria for individual items necessarily varied by item. For example, neglect of an ADL by a responsible caregiver on a single occasion in the course of a year (e.g., failure to provide assistance with dressing) would not be considered abuse by many, whereas kicking or hitting would be, irrespective of how many times the event occurred or how severe the victims perceived the assault.

To resolve this and establish frequency and severity criteria for each variable, the research partners conducted a consensus meeting and discussed each variable individually; there was high agreement on all items after robust discussion. The final frequency and severity criteria were then vetted with several external experts with similar experience in elder abuse. The following is a summary of the domains, variable items and criteria for positivity.

A detailed version of the final questionnaire can be found in Appendix A.

**Neglect of IADLs and ADLs Domain.** Subjects were asked if they needed assistance with any of four higher functional IADL-type activities: shopping, meal preparation, basic housework, or taking medicine, and six more basic ADL-type activities: eating, bathing, dressing, toileting, transferring or walking. When individuals said assistance was required, they were asked (1) who was responsible for providing assistance with the activity and what their relationship was with the respondent, (2) whether they had failed to provide assistance with the activity in the past year and how many times and (3) how serious a problem it was when and if the care failure occurred. An ADL or IADL was deemed to be neglected when the neglect occurred more than ten times in the previous year, and/or the subject described the neglected care need as being "somewhat" or "very serious" for them.

**Financial Exploitation Domain.** Several financial exploitation instruments were reviewed; the research team found instruments used for a Canadian study and a study in the UK to be the most salient for the purposes of our study (Podnieks, 1992; Manthorpe et al., 2007). Some items from the existing instruments were adopted; the team also drew on the collective practice experience and expertise of the research study partners in financial exploitation to update the instrument and to add items. The scale was reviewed by member agencies of the New York City Elder Abuse Network for review and to ensure that all domains were being captured.

Ultimately, the research partners arrived at five financial exploitation items, three of which were designated "high severity items" and two of which were designated "modest severity." The high severity items were: (1) whether or not someone stole or misappropriated money or property without permission, (2) whether someone forced you or misled the subject into surrendering rights or property or coerced them into signing or changing a legal document (such as a will, deed or power of attorney) and (3) whether someone impersonated the subject to obtain property or services. The modest severity items were (1) whether someone who had agreed to contribute to household finances had stopped doing so, and (2) whether someone who had been contributing to household finances had stopped doing so, even though they had the ability to continue, such that there was no money left at the end of the month for necessities such as food or rent.

The high severity items were deemed as "positive" when endorsed with any frequency, irrespective of the severity ranking. The modest severity items were deemed positive when endorsed as occurring greater than ten times annually and rated as very serious by the subject.

**Elder Mistreatment Domain (Emotional, Physical and Sexual Abuse).** The version of the Conflict Tactics Scale (CTS) as modified by Pillemer (Pillemer and Finkelhor, 1988) was adopted for use in the study, using a frequency and importance ranking for each item. Two of the CTS items were assigned to what is termed in the instrument as a "verbal" (emotional/psycholological) abuse domain (when another party either (a) insulted or swore at the respondent, or (b) threatened to hit or throw something at the respondent) while the rest were attributed to a "physical abuse domain;" the prevalence of mistreatment within those two domains is reported separately. The physical abuse items were deemed as "positive" when endorsed with any frequency, irrespective of the severity ranking. The first emotional abuse item (insulted or sworn at the respondent) was deemed "positive" when endorsed as occurring greater than ten times annually and rated as very serious by the subject, and the second emotional abuse item (threatening to throw something at the respondent) was deemed "positive" when occurring with any frequency or seriousness.

The CTS and its preamble assert that conflict occurs in all families, and that it is the way families choose to resolve those conflicts that potentially results in family violence. Because the objective of the study was to capture elder mistreatment perpetrated by any individual in a trusting relationship with the subject (e.g., paid home attendants, neighbors) in addition to family members, the preamble of the instrument was modified to include such individuals. In addition to specific categories of mistreatment, information was collected on the individuals alleged to have been the perpetrators in elder mistreatment episodes as described by the subjects. Our coding strategy permitted the classification of up to two perpetrators in mistreatment episodes.

Finally, an open-ended query was included at the completion of the CTS in which subjects were asked if they had been victims of elder mistreatment in any manner that was not ascertained in the existing instrument, so as not to miss cases of elder abuse not included in the predetermined categories chosen for the study. Subjects were also encouraged to provide qualitative detail about any and all episodes of mistreatment; these were recorded in open text fields.

The survey instrument was pilot tested with ten elder abuse victims served by the New York City Department for the Aging. The ten known victims were administered the survey in a telephone interview by the Cornell Survey Research Institute interview staff employed for the subsequent study. All but one individual endorsed elder mistreatment by at least one item in the instrument. That individual has modestly advanced cognitive impairment.

The study also captured data elements regarding individual subjects that were potential covariates of elder mistreatment. (Variables that may be predictive of risk for elder abuse.) The survey protocol collected basic demographic information about age, gender, marital status, household composition (number of individuals in household and relationship to subject) and income. Clinical variables included ADL and IADL status as well as self-reported health status. Cognition was assessed through the brief screening procedure described above.

The research instrument and the protocol for the Self-Reported Prevalence component of the study were approved by Cornell University's Institutional Review Board.

## Self-Reported Prevalence vs. Incidence

One of the primary goals of the Self-Reported Study was to estimate the prevalence and incidence rates of elder abuse in New York State. **Prevalence** refers to the number of older adults who have ever experienced elder mistreatment since turning 60. **Incidence** refers to the number of new cases of elder abuse within a specified period of time; for the purposes of this study, this was the year immediately preceding the administration of the survey interview in 2009. Thus the survey instrument was designed to capture respondent experiences with elder mistretment within two time frames: since turning 60 and also, in greater detail, in the year preceding the interview.

As described previously, some items required a positive indication of frequency and/or severity to be included in the findings as an elder abuse event. For items in which the criteria for a positive indication of incidence in the past year required a threshold to be met for severity *or* frequency, and in which the respondent affirmed a serious event but could not definitively designate it as occurring within the past year, the event was still qualified as incident. There were several rationales for this decision. First, the research team believes that for events that may have occurred more than one year ago, the ability of a respondent to report accurately both a frequency and severity for remote events is more limited than for recent events. Second, many elder mistreatment events are chronic and their impact is enduring (e.g., ongoing poverty from a single episode of financial exploitation, disability from injuries that occur from repeated or a single episode of mistreatment). Elder mistreatment may affect victims in a lifelong fashion producing new and ongoing disability with each passing year. Third, the decision to include in the incidence count those events for which there is a report of severity above the threshold for inclusion accompanied by a lack of report of any frequency creates a bias in the direction of higher incidence in the past year. However, to exclude those events in the incidence count but include them in the prevalence count because of the inability of the respondent to report on the time of occurrence would create a bias in the other direction (as some events most likely did occur in the past year because of error in time recall).

It should be understood that other biases in this study operate in the conservative direction (i.e., produce conservatively low estimates of both incidence and prevalence). For example, some categories of older New Yorkers could not be included in the study, e.g., older persons with cognitive or communication impairment or those who lacked access to a telephone. As a result, the study design and the criteria chosen for inclusion of respondent reports in incidence and prevalence data have produced the most conservative (lowest) ratio for underreporting.

The one-year incidence rate was the one used to calculate the ratio of self-reported cases to documented cases in order to present a meaningful comparison of data. The Documented Case findings were also based on case data from a one-year period, approximately contemporaneous with the one-year period Self-Reported Study respondents were asked to report on.

The decision to assign events reported as serious by respondents but for which they lacked a report of frequency does not affect prevalence rates at all. Incident cases, those occuring in the past year, are included in the prevalence count no matter when they occured because, by definition, they ocurred since the respondent reached age 60.

## METHODOLOGY: DOCUMENTED CASE STUDY

The Elder Abuse Documented Case Study utilized an on-line survey method: designated representatives of every program and agency responsible for specifically serving elder abuse and older victims of domestic violence in New York State operating at the county level were asked to complete a web-based survey on cases of elder abuse served by that program or agency in calendar year 2008. The survey included questions on elder abuse cases served that to the extent possible mirrored questions used for the statewide Self-Reported Prevalence Study.

The online survey included an invitation to participate in the research project as well as assurance that agencies could choose not to participate without penalty and that the rights of respondents were protected by the Fordham University Institutional Review Board approval process. Response to the survey constituted an informed consent to participate.

Definitions of elder abuse for the purpose of data collection were included in the survey instrument. Respondents were asked to report on case variables in the aggregate, based on availability of computerized data fields and statistical reports. Almost all agencies invited to participate were part of statewide service delivery systems and, for many, reporting on documented case data is part of their contractual requirements for their state funding or oversight agency. Although all county agencies surveyed were part of a statewide service delivery system, only a few of the state systems asked to participate were able to generate county-level demographic data for their programs.

The service delivery system approach to data collection for the Documented Case Study was recommended by the study Advisory Committee members; the service delivery systems chosen were the major service entities in the state to come into regular contact with adult abuse victims, older adult community residents, domestic violence victims and older adult crime victims.

### Development of Survey Instrument

The instrument for the Documented Case Study was developed in conjunction with the development of the Self-Reported Prevalence Study telephone survey instrument and with input from study Advisory Committee members and experts in the field of elder abuse in New York State. In addition, it incorporated findings from reviews of instruments developed or utilized in other elder abuse studies.

A consensus building process among research team members and stakeholders was then undertaken to include common definitional standards to the extent possible in the Self-Reported Prevalence Study and the Documented Case Study.

The minimum data set captured by the survey included:

Agency/ Organization: data concerning the respondent organization.

Total and Type of Cases: number of unduplicated elder abuse cases, excluding self neglect, served in the calendar year reported.

Profile of Elder Abuse Victims Served: number of victims in defined age categories; gender; race; living arrangement between victims and abusers; and poverty status of victims.

Profile of Perpetrators of Elder Abuse: unduplicated number of perpetrators by age category and relationship of perpetrators to victims.

Referrals In: Agencies/Organizations: types of case referral sources and numbers of victims referred by each type of referral source.

Referrals Out: Agencies/Organizations: types of agencies or organizations to which elder abuse clients were referred. Respondents were also asked to provide an aggregate, unduplicated number of elder abuse cases for which a Domestic Incident Report (DIR) was completed. (DIRs are completed by law enforcement in New York State when they are called out on a domestic violence case. DIRs are records of the police contact. Police jurisdictions file them with NYS Division of Criminal Justice Services. New York State Police and New York City Police Department maintain their own DIR files.)

## Development of Survey

The Elder Abuse Documented Case Survey was developed by the research team with the assistance of study Advisory Committee members, through in-person and telephone interviews with service providers in New York State at both the state and local levels, elder abuse and domestic violence experts, and through reviews of relevant studies and instruments used to collect data on elder abuse in the United States and internationally.

Once the survey design was completed, it was pilot tested with seven agencies serving elder abuse victims in New York State. These agencies volunteered to complete the survey and offer feedback on ease of use, availability of data requested and comprehension of questions and terms used.

## Development of Sampling Frame

A sampling frame of non-institutionalized settings was developed with the assistance of the study Advisory Committee members and other state and local officials. Key gatekeepers for each service system identified as relevant for survey participation as part of the study were identified and asked to serve as access points for the survey sample and distribution. Service systems identified included:

- Adult Protective Services (State and New York City databases)
- Law enforcement (State and New York City)
- Area Agencies on Aging and their contract agencies where applicable
- Domestic violence programs (both residential and non-residential)

- Elder abuse programs (county-level agencies and programs)
- Office of Victim Services (OVS) programs (including both elder abuse programs and domestic violence programs, regardless of whether free-standing or located in host agencies)
- Elder abuse coalitions in New York State (county and regional coalitions)
- District Attorney (DA) offices (county offices).

### Survey Distribution Strategy

Surveys were sent by e-mail to key contact persons at the county level. These included program directors, agency executive directors and project managers. A total of seven service systems (both local and state-wide) were included in the sampling frame. Within those systems, a total of 419 agencies, institutions and programs were included in the sampling frame and sent an invitation to participate, with a link to the on-line survey and a PDF of the survey. Participants were given the option of completing the survey on line or printing out the PDF of the survey, completing it on the printed survey and faxing it back to the study team for data input.

In most cases respondent agencies were sent a letter of introduction from the state departments providing oversight of their operations outlining the importance of the study and encouraging completion of the survey. Project staff followed up with telephone and e-mail correspondence to urge completion and address any confusion or questions regarding the survey.

The Documented Case survey instrument and administration protocol were approved by Fordham University's Institutional Review Board. The survey instrument used in the Documented Case Study may be found in Appendix B.

## RESULTS: SELF-REPORTED CASES

### Study Population

A total of 4,156 subjects were interviewed; 4,000 subjects were interviewed directly, and in 156 cases proxy respondents completed the interview. Data collection for the Self-Reported Study began on May 1, 2009 and was completed on July 22, 2009. A total of 22,359 contacts were made or attempted in order to yield 4,156 individuals who were qualified and willing to complete the survey. There were 1,368 persons contacted for whom eligibility for the study was confirmed but who refused to participate; 111 individuals for whom eligibility was not determined refused. The average interview took ten minutes; the median length was 12 minutes. The range was a minimum of six minutes to a maximum of 66 minutes.

Because segregating results by respondent type did not substantially affect the results for the purposes of this report, both proxy respondents and direct interviewees have been pooled.

## Characteristics of Self-Reported Study Sample

Of the 4,156 individuals who responded to the survey, 64.5% were female, 35.5% male. The age range was 60 to 101 years of age with a median age of 74. The mean age of the sample was 74.3 years. Tables 1, 2 and 3 describe the marital status, ethnic background and income of all respondents.

**Table 1**
Marital Status of Respondents

| Marital Status | % |
|---|---|
| Married | 47.2 |
| Widowed | 32.7 |
| Separated | 1.8 |
| Single/Divorced | 7.5 |
| Single/Never Married | 10.6 |
| Refused | 0.3 |

**Table 2**
Ethnicity of Respondents

| Ethnicity | % |
|---|---|
| African American/Black | 19.0 |
| American Indian/Aleut/ Eskimo | 0.8 |
| Asian /Pacific Islander | 1.2 |
| Caucasian | 75.5 |
| Latino/Hispanic | 6.0 |
| Something else | 2.3 |
| Do not know | 0.2 |
| Refused | 1.0 |

**Table 3**
Household Income

| Income | % |
|---|---|
| Under $10K | 5.8 |
| $10-20K | 13.3 |
| $20-30K | 13.9 |
| $30-40K | 12.5 |
| $40-50K | 15.2 |
| $50-75K | 16.9 |
| $75-100K | 6.5 |
| $100-150K | 4.9 |
| $150K + | 2.9 |
| Don't know | 2.0 |
| Refused | 6.0 |

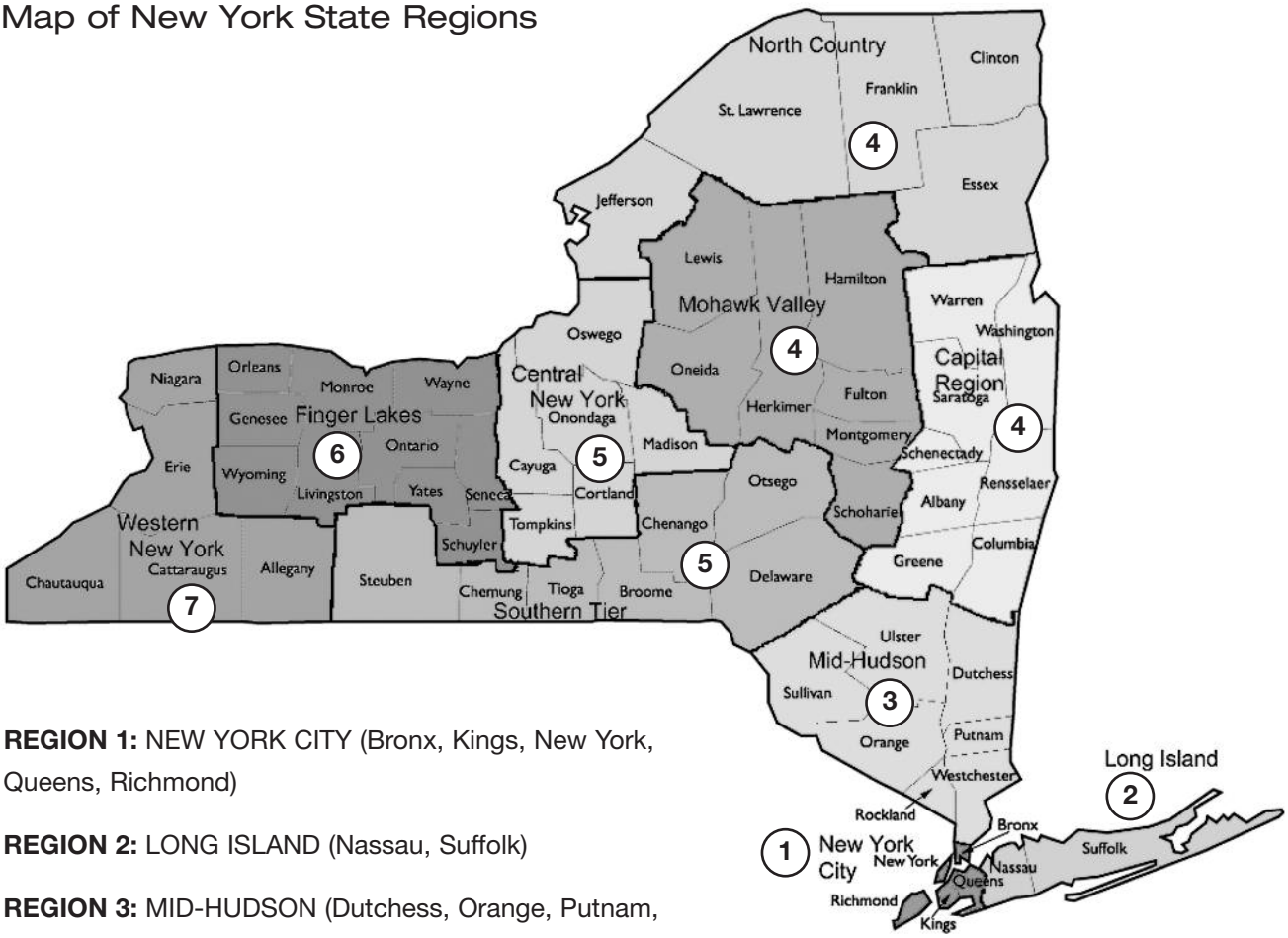
Of the surveys completed, 98.4% (4,088) were conduced in English; 1.6% of interviews (68) utilized the Spanish version of the survey.

A third of subjects had a high school diploma or GED, and nearly half had completed at least some college or beyond. Mean household income was between $30,000 and $40,000. Half the sample were married or lived with a partner. Nearly two thirds of subjects self-rated their health as "good," "very good" or "excellent." Very few subjects were IADL-impaired and even fewer were ADL-impaired, as is typical of a study that solicits information from telephone respondents who must possess enough cognitive and physical ability to use a telephone and participate in such an interview.

Subjects were drawn from all regions of New York State given the sampling strategy undertaken (Table 4). For the purpose of the study, the state was divided into seven regions (see Figure 2): Western, Finger Lakes, Central/ Southern Tier, Capital Region /North Country/Mohawk Valley, Mid-Hudson, New York City, and Long Island.

**Figure 2**

## Map of New York State Regions




**REGION 1:** NEW YORK CITY (Bronx, Kings, New York, Queens, Richmond)

**REGION 2:** LONG ISLAND (Nassau, Suffolk)

**REGION 3:** MID-HUDSON (Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester)

**REGION 4:** CAPITAL REGION, MOHAWK VALLEY, NORTH COUNTRY (Albany, Clinton, Columbia, Essex, Franklin, Fulton, Greene, Hamilton, Herkimer, Jefferson, Lewis, Montgomery, Oneida, Rensselaer, Saratoga, Schenectady, Schoharie, St. Lawrence, Warren, Washington)

**REGION 5:** CENTRAL NEW YORK AND SOUTHERN TIER (Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Madison, Onondaga, Oswego, Otsego, Steuben, Tioga, Tompkins)

**REGION 6:** FINGER LAKES (Genesee, Livingston, Monroe, Ontario, Orleans, Schuyler, Seneca, Wayne, Wyoming, Yates)

**REGION 7:** WESTERN NEW YORK (Allegany, Cattaraugus, Chautauqua, Erie, Niagara)

The regional breakdown of New York State was based on the regional areas used by New York State Office for the Aging for service planning purposes. In each case the regions represent separate geographic regions, important population clusters and distinct economic centers. The intent of the study partners was to report on each of the ten regions of state separately but some aggregation of regions became necessary in order to assure an adequate sample for the data to be useful and to allow meaningful comparison between regions.

**Table 4**

## Respondent and Elder Population Distribution by Region

| **Region** | **Region Name/** (number of counties) | **Respondents** (Self Report Study) | **% of all respondents** | **Approx. population – total region population** (2008 US census figures) | **Over 60 population in region** *using 2008 US Census population estimates* |
|---|---|---|---|---|---|
| **1** | NYC (5) | 1,378 | 33.2 | 8.4M | 1,394,486 |
| **2** | Long Island (2) | 579 | 13.9 | 2.7M | 545,512 |
| **3** | Mid- Hudson (7) | 428 | 10.3 | 2.2M | 421,949 |
| **4** | Capital Region (8)<br>Mohawk Valley (7)<br>North Country (5) | 279<br>139<br>126 | 13.0 | 1.89M | 382,339 |
| **5** | Central NY (6)<br>Southern Tier (7) | 246<br>128 | 9.0 | 1.48M | 288,053 |
| **6** | Finger Lakes (10) | 362 | 8.7 | 1.2M | 232,989 |
| **7** | Western NY (5) | 492 | 11.8 | 1.4M | 293,132 |
| **Total** | | **4,156** | | **19.27M** | **3,558,460** |

Table 5 shows the major prevalence results of the Self-Reported Case Study; rates are expressed as elder abuse events per thousand subjects interviewed and reported by domain. Data in Table 5 represent prevalence rates for elder abuse in New York State, that is, mistreatment events reported by study respondents as having occurred since turning 60.

The lowest rates of mistreatment are in the sub-domain of neglect (failing to provide IADL and ADL assistance to older adults who were identified as impaired in one or more ADLs or IADLs). The overall rate of IADL neglect was 14.9 per 1,000 individuals interviewed, and for ADL neglect it was 4.1 per thousand individuals interviewed.

The highest rate of mistreatment since a subject turned 60 years of age occurred for verbal/emotional abuse, with a reported rate of 85.4 victims per thousand subjects interviewed. The rate for major financial exploitation (theft of money or property, using items without permission, impersonation to get access, forcing or misleading to get items such as money, bank cards, accounts, power of attorney) was 41.6 per thousand; a

rate of 10.8 per thousand was reported for moderate financial exploitation (e.g., "Unwilling to contribute to household expenses to the extent that there was not enough money for food or other necessities").

The rate for physical abuse events was 22.6 per thousand. Survey subjects were also invited at the end of the survey questionnaire to report any other mistreatment experienced since turning 60. They reported other elder abuse events at the rate of 4.1 per thousand subjects interviewed.

The overall prevalence rate for any non-financial event was 109.2 per thousand interviewed. The rate for any form of financial exploitation was 47.9 per thousand. The overall prevalence rate for any form of elder abuse was 141.2 per thousand subjects interviewed.

**Table 5**

## Prevalence Rates of Self-Reported Elder Abuse in New York State by Mistreatment Domain

N=4,156

| Domain and Item | n | Rate per 1,000 (95% Confidence Interval) |
|---|---|---|
| **Neglect** | | |
| ■ IADL Assistance | 92 | 14.9 |
| ■ ADL Assistance | 17 | 4.1 |
| **Financial Exploitation** | | |
| ■ Major Activities | 173 | 41.6 |
| ■ Moderate Activities | 45 | 10.8 |
| **Verbal/Emotional Abuse** | 345 | 85.4 |
| **Physical Abuse** | 94 | 22.6 |
| Victims of other elder abuse events as reported by respondents[i] | 17 | 4.1 |
| **Cumulative Rates of Elder Abuse Within and Across Domains** | | |
| Victim of any IADL/ADL neglect, verbal/emotional elder abuse event, or physical elder abuse event at any time since turning age 60 | 454 | 109.2 |
| Victim of any major or moderate financial exploitation event since turning age 60 | 199 | 47.9 |
| **Total Cumulative Prevalence Rate** | | |
| Victim of any IADL/ADL neglect, major or moderate financial exploitation event, verbal/emotional elder abuse event or physical elder abuse event at any time since turning age 60 | 587 | 141.2 |

i This category reflects positive responses to a "catch all" question asked at the end of the survey questionnaire: "Have you ever experienced elder abuse or neglect?" Descriptions of the type of mistreatment experienced were also recorded.

Table 6 shows the self-reported financial and self-reported non-financial prevalence rates organized by type and by geographic regions of the state. The rates represent the number of survey respondents who reported having experienced various forms of mistreatment since turning 60. Rates are not mutually exclusive, as respondents may have reported having been subjected to more than one form of abuse. The total New York State rate, for example, is 141.2, which is less than the sum of the two rates shown in the table. Total prevalence rates among urban, suburban and rural counties do not vary widely; however, when differences between rates by category of abuse are examined, the data reveals a rate of financial abuse in urban counties that is nearly double that reported in rural counties. The study reveals variability in rates for the prevalence of abuse among the regions of New York State but, based on study data alone, it is difficult to account for the range of reported rates.

One should also be mindful that prevalence rates are distributed by region based on the residence of the respondent at the time of the survey. The elder abuse event reported may have occurred years or even decades previously since the respondent turned 60 and may have taken place in a different region or even outside New York State.

**Table 6**

## Prevalence Rates of Self-Reported Elder Abuse in New York State by Geographic Area

| Geographic Area | Self-reported Rate per 1,000 Non-financial | Self-reported Rate per 1,000 Financial | Total Self-reported Prevalence Rate |
|---|---|---|---|
| **New York State** | 109.2 | 49.9 | 141.2 |
| **County Types** | | | |
| Urban | 105.6 | 56.4 | 138.2 |
| Suburban | 117.3 | 40.3 | 141.5 |
| Rural | 110.2 | 29.9 | 127.6 |
| **Regions** | | | |
| New York City | 114.7 | 66.0 | 150.9 |
| Long Island | 126.1 | 44.9 | 150.3 |
| Mid-Hudson | 109.8 | 42.1 | 140.2 |
| Capital Region, Mohawk Valley, North Country | 95.8 | 29.5 | 116.0 |
| Central New York, Southern Tier | 112.3 | 40.1 | 136.4 |
| Finger Lakes | 85.6 | 38.7 | 107.7 |
| Western New York | 103.7 | 38.6 | 126.0 |

Table 7 shows incidence rates as reported by respondents in the Self-Reported Study; rates are again expressed as elder abuse events per 1,000 subjects interviewed and reported by domain. Data in Table 7 represents mistreatment events reported by respondents in the year preceding the survey. The lowest rates of mistreatment are in the sub-domain of neglect (failing to provide IADL and ADL assistance to older adults who were identified as impaired in one or more ADLs or IADLs). This is largely the result of extremely low rates of functional dependency in the sample (which creates fewer "opportunities" for neglect to occur). The overall rate of IADL neglect was 14.9 per 1,000 individuals interviewed and for ADL neglect it was 3.4 per 1,000 individuals interviewed.

Higher rates of mistreatment are seen for other elder mistreatment domains. The highest rate of mistreatment occurred for major financial exploitation (theft of money or property, using items without permission, impersonation to get access, forcing or misleading to get items such as money, bank cards, accounts, power of attorney) with a rate of 41 per 1,000 surveyed. Surprisingly, what was regarded as moderate financial exploitation (e.g., an adult child unwilling to contribute to household finances despite having agreed to do so) was less common than more egregious forms. This may result from the stringent criteria that for moderate financial exploitation to exist the respondent had to endorse it as occurring greater than ten times in the prior year and rate its impact as very serious.

Rates of any emotional abuse (being chronically cursed, insulted or threatened with being hit) were 16.4 per thousand subjects interviewed. The rate for any physical abuse episode was 22.4 per thousand subjects interviewed; the most common physical abuse type was being pushed or grabbed, followed by someone trying to slap the respondent or throwing something at them.

Overall the incidence of elder neglect (failure of a designated caregiver to provide assistance with basic or instrumental activities of daily living) was 17 per thousand individuals interviewed, while the rate for financial exploitation was 42.1 per thousand subjects interviewed. Using a modified version of the Conflicts Tactics Scale, the prevalence of verbal/emotional and physical abuse was 16.4 and 22.4 per thousand subjects studied, respectively. The cumulative incidence of any form of non-financial elder mistreatment was 46.2 per thousand subjects studied (95% confidence intervals 39.8 to 52.6), consistent with other studies conducted internationally. The total cumulative incidence for any elder abuse event in the year preceding the survey, including IADL/ADL neglect, major or moderate financial exploitation, psychological/verbal abuse or physical abuse was 76.0 per thousand respondents.

## Table 7

Incidence Rates of Self-Reported Elder Abuse in New York State by Mistreatment Domain
N=4,156

| Domain and Item | n | Rate per 1,000 (95% Confidence Interval) |
|---|---|---|
| **Neglect** | | |
| IADL Assistance | | |
| ■ Failure of designated/responsible caregiver to assist with shopping | 25 | 6.0 |
| ■ Failure of designated/responsible caregiver to assist with meal preparation | 11 | 2.6 |
| ■ Failure of designated/responsible caregiver to assist with housework | 35 | 8.4 |
| ■ Failure of designated/responsible caregiver to assist with medication admin | 0 | 0 |
| ADL Assistance | | |
| ■ Failure of designated/responsible caregiver to assist with feeding | 3 | 0.7 |
| ■ Failure of designated/responsible caregiver to assist with dressing | 2 | 0.5 |
| ■ Failure of designated/responsible caregiver to assist with ambulation | 5 | 1.2 |
| ■ Failure of designated/responsible caregiver to assist with transfers | 1 | 0.2 |
| ■ Failure of designated/responsible caregiver to assist with bathing | 3 | 0.7 |
| ■ Failure of designated/responsible caregiver to assist with toileting | 1 | 0.2 |
| ■ Failure of designated/responsible caregiver to assist with any specific task[ii] | 3 | 0.7 |
| **Financial Exploitation** | | |
| Major Activities | | |
| ■ Someone stole or used items without permission | 144 | 34.6 |
| ■ Forced or misled you to give away something that belonged to you[iii] | 27 | 6.5 |
| ■ Pretended to be you to get goods or money | 20 | 4.8 |
| Moderate Activities | | |
| ■ Stopped contributing to household finances[iv] | 2 | 0.5 |
| ■ Unwilling to contribute to household expenses[v] | 2 | 0.5 |
| **Verbal Abuse** | | |
| ■ Insulted or cursed at you | 17 | 4.1 |
| ■ Threatened to hit or throw something at you | 57 | 13.7 |
| **Physical Abuse** | | |
| ■ Touched you sexually against your will | 11 | 2.6 |
| ■ Thrown something at you | 21 | 5.1 |
| ■ Tried to slap or hit you | 21 | 5.1 |
| ■ Pushed or grabbed you | 41 | 9.9 |
| ■ Slapped you | 18 | 4.3 |
| ■ Forced you to have sex against your will | 1 | 0.2 |
| ■ Kicked, hit, or bit you with a fist | 13 | 3.1 |
| ■ Tried to hit you with something else | 12 | 2.9 |
| ■ Locked you in a room | 1 | 0.2 |
| ■ Beat you up | 5 | 1.2 |
| ■ Threatened you with a knife or gun | 5 | 1.2 |
| ■ Used a knife or gun against you | 0 | 0 |
| ■ Committed other violence against you[vi] | 11 | 2.6 |

**Table 7 (continued)**

| Domain and Item | n | Rate per 1,000 (95% Confidence Interval) |
|---|---|---|
| **Cumulative Rates of Elder Abuse Within and Across Domains** | | |
| ■ Failure of designated/responsible caregiver to assist with one or more IADLs | 62 | 14.9 |
| ■ Failure of designated/responsible caregiver to assist with one or more ADLs | 14 | 3.4 |
| ■ Victim of at least one major financial exploitation event[vii] | 171 | 41.1 |
| ■ Victim of at least one moderate financial exploitation event[viii] | 4 | 1.0 |
| ■ Victim of at least one psychological/verbal elder abuse event | 68 | 16.4 |
| ■ Victim of at least one physical elder abuse event (including sexual abuse) | 93 | 22.4 |
| Victim of any IADL/ADL neglect, psychological/verbal elder abuse event, or physical elder abuse event. | 192 | 46.1 |
| Victim of any major or moderate financial exploitation event | 175 | 42.1 |
| **Total Cumulative Incidence Rate** | | |
| Victim of any IADL/ADL neglect, major or moderate financial exploitation event, psychological/verbal elder abuse event or physical elder abuse event | 316 | 76.0 |

ii Respondents were asked to identify other areas of assistance need not covered in the standard IADL items. Examples provided included assistance with laundry, arranging transportation, driving the respondent and paying bills.

iii These could include money, a bank account, a credit card, deed to a house, personal property or legal rights such as a last will and testament or power of attorney.

iv Despite a previous agreement to do so and resources still available to do so.

v To the extent that there was not enough money at the end of the month for necessities such as food.

vi Examples provided by respondents included breaking down a bedroom door, death threats, being spit at.

vii For example, theft of money or property, using items without permission, impersonation to get access, forcing or misleading to get items such as money, bank cards, accounts, power of attorney.

viii For example, an adult child unwilling to contribute to household finances despite having agreed to do so.

Self-reported financial and self-reported non-financial incidence rates for the state as a whole and for each county type and state region are displayed in Table 8. The rates are again not mutually exclusive. The total New York State rate is 76.0, which is less than the sum of the two rates shown in the table. The data in this table points to higher rates of abuse overall in non-financial and financial categories in more populated areas (urban and suburban counties). New York City exhibits the highest incidence of elder abuse (number of respondents per 1,000 reporting elder abuse events in the year preceding the survey) of any region in non-financial abuse and financial abuse categories as well as in the overall rate. As in the table of prevalence rates (Table 6), variability in rates of abuse among the regions of New York State are evident but cannot be explained adequately using data gathered through this study alone.

**Table 8**

## Incidence Rates of Self-Reported Elder Abuse in New York State by Geographic Area

| Geographic Area | Self-reported Rate per 1,000 Non-financial | Self-reported Rate per 1,000 Financial | Total Self-reported Prevalence Rate |
|---|---|---|---|
| **New York State** | 46.2 | 42.1 | 76.0 |
| **County Types** | | | |
| Urban | 51.4 | 47.2 | 84.8 |
| Suburban | 41.2 | 35.8 | 68.9 |
| Rural | 36.2 | 29.9 | 56.7 |
| **Regions** | | | |
| New York City | 55.2 | 53.0 | 92.2 |
| Long Island | 44.9 | 38.0 | 74.3 |
| Mid-Hudson | 37.4 | 39.7 | 70.1 |
| Capital Region, Mohawk Valley, North Country | 35.0 | 29.5 | 55.2 |
| Central New York, Southern Tier | 53.5 | 34.8 | 80.2 |
| Finger Lakes | 35.9 | 35.9 | 58.0 |
| Western New York | 44.7 | 36.6 | 71.1 |

The Self-Reported Study collected basic data from respondents about their abusers. Tables 9 and 10 display data reported regarding perpetrators of mistreatment committed in the year preceding the survey. In all, 316 respondents indicated that they had been abused. They individually described having been abused by one to five perpetrators. In 74% of the cases, there was a single abuser; 17% of respondents described two abusers. In 9% of cases, respondents cited more than two abusers.

**Table 9**

## Self-Reported Study
## Number of Abusers in Individual Cases

Total Number of Respondents: 316

| Number of Reported Abusers in Individual Cases | Frequency |
|---|---|
| 1 | 235 |
| 2 | 54 |
| 3 | 24 |
| 4 | 2 |
| 5 | 1 |

Table 10 shows revealing patterns in the data collected regarding the relationship between victims and abusers organized by mistreatment domains. The survey questionnaire allowed collection of data on up to two abusers for each type of abuse described. A total of 428 abusers are included in the count as 26% of the 316 respondents described abuse by multiple perpetrators. Overall, spouses/partners and adult children were responsible for 40% of the mistreatment reported.

Other relatives were cited as perpetrators in 12% of the abuse reported; home health aides were also cited in 12% of the incidents described. Abuse by home health aides clustered around two categories of mistreatment: IADL neglect and major financial exploitation. Of the 428 reported abusers, 177 or 41.4% were involved in major financial exploitation activities. This correlates with the finding that major financial exploitation was the type of mistreatment most commonly reported by respondents as having occurred in the twelve-month period immediately preceding the survey. The most common perpetrators of major financial exploitation were adult children, grandchildren, other relatives, friends and paid home care aides.

Spouses/partners were described as the most common perpetrators of emotional abuse and physical abuse. Ninety-eight abusers or 23% of the total number cited by respondents were involved in physical abuse events. Friends were named as abusers, primarily in major financial exploitation cases, 11% of the time. It is also revealing to note that, following spouses or partners, adult children, other relatives, friends and other non-relatives were also described as the most common perpetrators of physical abuse (which includes any instances of sexual abuse.) In four cases, respondents indicated they did not know the relationship of the abuser; six respondents refused to divulge the relationship of the abuser.

The data displayed in this table reveals patterns that may be helpful in elder abuse investigations and in preventive efforts targeting particular forms of abuse.

**Table 10**

## Self-Reported Study
## Distribution of Abusers by Relationship and Type of Mistreatment

Total Number of Abusers: 428

| Abuser | IADL Neglect | ADL Neglect | Major Financial Exploitation | Moderate Financial Exploitation | Emotional Abuse | Physical Abuse | TOTAL |
|---|---|---|---|---|---|---|---|
| Spouse/ Partner | 13 | 2 | 13 | 0 | 24 | 35 | 87 |
| Adult Child | 21 | 3 | 32 | 2 | 13 | 13 | 84 |
| Son/ Daughter-in-Law | 3 | 0 | 6 | 0 | 3 | 2 | 14 |
| Grandchild | 2 | 0 | 21 | 1 | 1 | 4 | 29 |
| Other Relative | 2 | 1 | 24 | 1 | 10 | 12 | 50 |
| Neighbor | 1 | 0 | 7 | 0 | 5 | 2 | 15 |
| Friend | 4 | 0 | 25 | 0 | 5 | 11 | 45 |
| Other Non-Relative | 5 | 0 | 12 | 0 | 7 | 17 | 41 |
| Paid Home Care Aide | 14 | 9 | 29 | 0 | 0 | 1 | 53 |
| Don't Know | 1 | 0 | 3 | 0 | 0 | 0 | 4 |
| Refused | 0 | 0 | 5 | 0 | 0 | 1 | 6 |
| **Totals** | 66 | 15 | 177 | 4 | 68 | 98 | 428 |

### Self-Reported Study: Discussion

Older New Yorkers confirm, by their own responses in the Self-Reported Study, that they experience mistreatment in significant numbers in all parts of the state. Prevalence and incidence rates uncovered by the Self-Reported Study and reported in Tables 5 through 8 also demonstrate revealing patterns of mistreatment across New York State. Although financial exploitation was the most common form of abuse cited by respondents as having occurred in the 12 months preceding the administration of the survey questionnaire, when asked about any abuse event since turning age 60, the most commonly reported type of mistreatment was emotional abuse.

Nonetheless, the prevalence rate for any form of financial exploitation was still significant, 47.2 per 1,000 respondents. When compared by region and type of county, prevalence rates of mistreatment reported by respondents since turning 60 are similar in the three major categories of counties: urban, suburban and rural; however, when examined on a regional basis, prevalence data reveals some marked differences. New York City and Long Island regions have prevalence rates that are nearly 50% higher than the region with the lowest prevalence rate. On a regional basis the difference in rates for any form of financial exploitation is even more dramatic. New York City older adults reported having been financially exploited since turning 60 at a rate that was 47% higher than the region with the next lowest rate (Long Island).

By contrast, the incidence data (Tables 7 and 8) shows that the highest rate of recent elder abuse (occurring in the past 12 months) was in the major financial category. Incidence rates also show much more variability among types of counties. Older rural residents reported having been abused in the prior 12 months a third less often than urban residents. Older suburban residents also reported abuse at an incidence rate that was 19% lower than urban residents. It is beyond the scope of the study to definitively explain the difference in rates by region and type of county. The patterns that emerge from the Self-Reported Study data do suggest further investigation is warranted of the factors accounting for the vulnerability of older adults to abuse in some regions, in particular, urban areas, and in specific categories of abuse, especially financial and emotional abuse.

## RESULTS: DOCUMENTED CASES

### Documented Case Study
### Aggregate System-wide Data

Service systems surveyed through the Elder Abuse Documented Case Study included: Adult Protective Services (APS); Area Agencies on Aging (AAA); law enforcement; domestic violence programs (DV); District Attorney offices (DA); community-based agencies, most of which are funded by the New York State Office of Victim Services (OVS); and elder abuse coalition member agencies not otherwise part of the above-listed state service delivery systems. New York City (NYC) APS was surveyed separately from the NYS APS data system as New York City utilizes a different computerized data collection system from the rest of NYS. Law enforcement data outside of New York City was obtained through Domestic Incidence Reports (DIR) and exclude abuse and neglect by non-family members. Law enforcement data gathered within New York City was obtained through the New York City Police Department (NYPD) and includes both family and non-family members.

Data was collected for all 62 counties of New York State. A total of 419 individual surveys were sent out and 325 surveys were completed for a robust response rate of 78%. Of these, 78 agencies that do serve elder abuse victims had no cases during calendar year 2008; an additional 16 agencies serving elder abuse victims do not have computer systems to record and report the statistics requested. This resulted in 231 agencies reporting data on known cases of elder abuse.

Table 11 shows the response rate for the Documented Case Study organized by service system responding to the questionnaire. Community-based agencies include those programs funded by the Office of Victim Services for elder abuse or domestic violence services. Services could be located in a stand-alone agency or as part of a

District Attorney's office, a domestic violence organization or a hospital. Also included are those community-based organizations that are not funded by the Office of Victim Services but receive funding from other sources. Of the 124 OVS programs that were sent the survey, 75 completed the survey with demographic information; 49 programs did not respond. Overall data was also obtained through the statewide OVS reporting system.

The sum total of agencies within each service system exceeds the total number of unduplicated agencies (419) as some programs are counted in multiple categories. As an example, the New York City Department for the Aging receives OVS funding for elder abuse and is therefore counted under community-based agencies. It is also, however, an Area Agency on Aging (AAA) and so is also counted under AAA; therefore, its programs will be captured in both service systems, but were counted only once within the unduplicated information.

All 59 AAAs in New York State were initially sent an email asking whether they assist elder abuse victims (beyond identifying and referring to other organizations) and, if so, whether they had reporting systems in place to answer a survey on the number of victims served. Of the 59, 23 responded that they in fact serve elder abuse victims but only eight indicated that they were able to retrieve elder abuse case data necessary to respond to the survey. These eight AAA agencies were sent a survey to complete.

**Table 11**

## Documented Case Study
## Response Rate by Service System and Organization

| Organizations | Total Number of Surveys | Number Completed | % Completed |
|---|---|---|---|
| **Total Number Unduplicated** | 419 | 325 | 78% |
| Community Based Agencies | 254 | 191 | 75% |
| Adult Protective Services | 62 | 62 | 100% |
| Law Enforcement | 62 | 62 | 100% |
| Coalition Member Agencies | 42 | 9 | 21% |
| District Attorneys | 62 | 36 | 58% |
| Domestic Violence Programs and Shelters | 106 | 76 | 72% |
| Area Agencies on Aging | 8 | 2 | 25% |

### Response Rate by Region

Of the 419 agencies/programs determined qualified to respond to the survey, a total of 78% completed the survey. The response rates outlined in Table 12 varied considerably across the regions of the state ranging from 65% in Region 3 (Mid-Hudson) to 98% in Region 6 (Finger Lakes.)

**Table 12**

## Documented Case Study-Response Rate by Region

| Organizations | Total Number of Agencies | Number Completed | % Completed |
|---|---|---|---|
| **Total Number (Unduplicated)*** | 419 | 325 | 78% |
| Region 1: New York City | 111 | 105 | 95% |
| Region 2: Long Island | 16 | 15 | 94% |
| Region 3: Mid-Hudson | 60 | 39 | 65% |
| Region 4: Capital Region, Mohawk Valley, North Country | 95 | 90 | 95% |
| Region 5: Central New York, Southern Tier | 68 | 53 | 78% |
| Region 6: Finger Lakes | 56 | 55 | 98% |
| Region 7: Western New York | 32 | 25 | 78% |

*The total number of regional agencies will not add up to the total number of unduplicated agencies because some agencies serve more than one county across regions. Respondent agencies were asked to submit a separate survey for each county served.

### Rates of Documented Cases by Region

Table 13 illustrates the overall distribution of documented cases by county type and by the geographic regions of New York chosen for this study.

In total, 11,432 victims were served throughout New York State, yielding a rate of 3.24 per 1,000 older adults. The highest rate was in New York City (3.55 reported cases per 1,000 older adult residents) compared to the region with the lowest rate of documented cases, Central New York and the Southern Tier (2.30 cases per 1,000.)

Of the 325 agencies that could report numbers of victims, 78 reported serving zero victims during calendar year 2008 (24% of the agencies). It should be noted that a statistical adjustment was made in determining the final number of elder abuse victims to account for cases served by multiple organizations during the study period (e.g., APS and law enforcement.)

Agencies were asked to report demographic and service information for both victims and perpetrators. However, not all organizations were able to respond fully to all of the questions asked. In some cases, agencies were able to give information on one data element, such as type of mistreatment, but were unable to provide

information on other items, such as whether the victim and perpetrator live together. The availability of data for each question will be addressed at the end of this section.

When the results of the survey were sorted by region, in all cases at least some organizations supplied information on demographic and service information for both victims and perpetrators. Once again, in some cases agencies were able to give information on at least one or more data elements but were unable to provide information on all items.

## Adjustment for Duplication of Victims

The count used in this documented rate was adjusted for estimated duplication of victims within different service organizations. Information was received from the agencies regarding the number of cases they referred to other agencies and the number that were referred to them by other agencies. A detailed analysis of the mapping of referrals to and from all agencies, separately for each county of the state, was carried out. The patterns and proportions of duplication of cases appearing in the records of two or more agencies were then determined. The duplication was then removed from the documented case counts.

**Table 13**

### Rates of Documented Elder Abuse in New York State by Geographic Area

N=11,432

| Region | N | Rate per 1,000 |
|---|---|---|
| **New York State** | 11,432 | 3.24 |
| **County Types*** | | |
| Urban | 7,298 | 3.55 |
| Suburban | 3,190 | 3.08 |
| Rural | 944 | 2.16 |
| **Regions** | | |
| New York City | 5,303 | 3.79 |
| Long Island | 1,998 | 3.61 |
| Mid-Hudson | 1,031 | 2.52 |
| Capital Region, Mohawk Valley, North Country | 1,018 | 2.73 |
| Central New York, Southern Tier | 641 | 2.30 |
| Finger Lakes | 770 | 3.37 |
| Western New York | 671 | 2.34 |

* County types were determined by guidelines set forth by the New York State Office of Mental Health.

## Victim Information by type of reported abuse experienced

Table 14 outlines the type of abuse reported and details characteristics of victims. A small number of agencies were unable to report type of mistreatment (n = 36 or 15.9%). Among the agencies that did report this information, 47% were emotional abuse victims, 32.7% were financial abuse victims, 10.9% were neglect victims, 38.6% were physical abuse victims, and 0.99% were sexual abuse victims. (It should be noted that the sum of the percentages exceeds 100% because some victims experienced more than one type of abuse.) For those agencies that were able to report some information on type of mistreatment, in 22.6% of the cases, information about type of abuse experienced by victims was missing. A total of 15.6% of all respondent agencies could not retrieve data on type of elder abuse at all.

## Age breakdown of reported victims

A small number of agencies were unable to report an age breakdown for victims (n = 33 or 14%). Of those victims with age range reported by respondent agency/programs, 17% were in the 60-64 age category; 41.9% were in the 65-74 age category; 28.1% were in the 75-84 age category; and 13% fell into the 85+ age category. For those agencies that were able to report some information on age information, in 15% of the cases data regarding the age of victims was missing.

## Gender breakdown of reported victims

A small number of agencies were unable to report gender for victims (n = 30 or 13%). The gender breakdown for those victims whose gender was reported by respondent agency/programs was: 32.8% male and 67.2% female. For those agencies that were able to report some information on gender, in 13.8% of cases, data related to victim gender was missing.

## Race/ethnicity breakdown for reported victims

Agencies tended to collect less racial and ethnic data on their victims than other demographics; a total of 44 or 19.1% of agencies were unable to report this information. As reported by those agencies that did have racial and ethnic information on victims, 69.3% were Caucasians; 27.9% were African Americans; 3% were Asian/Pacific Islanders; 16.4% were Hispanic/Latino; 0.75% were American/Aleut Eskimos; and 10.5% "other" races. For those agencies that were able to report some information on race and ethnicity, 50.8% of the data related to victim race or ethnicity was missing. It should be noted that some agencies permitted elder abuse victims to declare more than one ethnic category; as a result the sum of percentages exceeds 100.

### Living arrangements of victim

Close to one-half of the agencies were unable to report information on living arrangements of the victims (n = 111 or 48.1%). Of victims for whom respondent agency/programs reported on living arrangements, 45.8% lived alone; 16.9% lived with spouses or partners; 17.3% lived with adult children; 7% lived with sons-in-law or daughters-in-law; 6.3% lived with grandchildren; 4.7% lived with other relatives and 8.8% lived with other non-relatives. (Percentages add up to more than 100 as some victims fell into more than one category.) For those agencies that were able to report some information on living arrangement of the victim, in 78% of cases, the data that made up victim information on living arrangements was missing.

### Lives with abuser

Almost one-half of the agencies were unable to report information on whether the victim and abuser lived together (n = 109 or 47.2%). Of those agencies that could give this information, over one-third (39.4%) of the victims lived with their abusers.

### Living in poverty

Agencies were asked to provide aggregate data regarding number of victims living below the poverty threshold (i.e., incomes below the federal poverty level for 2008). In 2008 this amount was $10,400 for one person, $14,000 for a two-person family. Only a small percentage of responding agencies were able to give information on whether elder abuse victims were living at or below the poverty threshold; 83.6% of the agencies could not report this information. However, of those that responded, 59.3% victims were identified as living at or below the poverty threshold.

**Table 14**

## Documented Case Data – All Service Systems Statewide
## Victim Information

| | |
|---|---|
| **ELDER ABUSE AGGREGATE DATA** | |
| **VICTIM INFORMATION** | |
| Total Number of Agencies submitting information on victims = 231 | |
| **Type of Mistreatment** | |
| Emotional Abuse | 47.0% |
| Financial Abuse | 32.7% |
| Neglect | 10.9% |
| Physical | 38.6% |
| Sexual | 0.99% |
| **Cases Missing Mistreatment Data** | **22.6%** |
| **Total Number of Agencies Missing All Mistreatment Information** | **15.6%** |
| **Age Groups** | |
| 60-64 | 17.0% |
| 65-74 | 41.9% |
| 75-84 | 28.1% |
| 85+ | 13.0% |
| **Cases Missing Age Data** | **14.9%** |
| **Total Number of Agencies Missing All Age Information** | **14.3%** |
| **Gender** | |
| Male | 32.8% |
| Female | 67.2% |
| **Cases Missing Gender Data** | **13.8%** |
| **Total Number of Agencies Missing All Gender Data** | **13.0%** |
| **Race/Ethnicity** | |
| African American | 27.9% |
| Asian/Pacific Islander | 3.0% |
| Hispanic/Latino | 16.4% |
| Native American/Aleut Eskimo | 0.75% |
| Caucasian | 69.3% |
| Race Other | 10.5% |
| **Cases Missing Race/Ethnicity Data** | **50.8%** |
| **Total Number of Agencies Missing All Race/Ethnicity Information** | **19.1%** |

| | |
|---|---|
| **Living Arrangement** | |
| Alone | 45.8% |
| Spouse/Partner | 16.9% |
| Children | 17.3% |
| Son/Daughter-In-Law | 7.0% |
| Grandchild | 6.3% |
| Other Relative | 4.7% |
| Other Non Relative | 8.8% |
| **Cases Missing Living Arrangement Data** | **78.0%** |
| **Total Number of Agencies Missing All Living Arrangement Information** | **48.1%** |
| **Lives with Abuser** | |
| Lives with Abuser | 39.4% |
| **Cases Missing "Lives with Abuser" Data** | **38.2%** |
| **Total Number of Agencies Missing All "Lives with Abuser" Information** | **47.2%** |
| **Poverty** | |
| Below Poverty Level | 59.3% |
| **Cases Missing Poverty Level Data** | **93.7%** |
| **Total Number of Agencies Missing All Poverty Level Information** | **83.6%** |

## Abuser information

Table 15 relates to demographics of reported abusers. A total of 187 agencies/programs reported information on abusers of elder abuse victims (80.9% of all agencies reporting cases during this period), representing 10,530 abusers in New York State during calendar year 2008.

## Age groups of abusers

Over one-third of the agencies were unable to report age information for abusers (n = 72 or 38.5%). Of those agencies that could give this information, 7.7% reported abusers were in the younger than age 18 years category; 44.8% were in the 18-45 age category; 25.6% were in the age 46-59 age category; and 22% were in the 60 years and older category. For those agencies that were able to report some information on age of the abuser, in 47.1% of cases, abuser information regarding age was missing.

## Abuser gender

A small number of agencies were unable to report gender for abusers (n = 2 or 1.1%). Respondent agency/programs that identified gender of abuser reported 66.3% male abusers and 33.7% female abusers. Among those agencies that were able to report some information on gender, in 18.3% of cases, data elements concerning abuser gender were missing.

## Abuser relationship with victim

A small number of agencies were unable to report the abuser's relationship with victim (n = 8 or 4.3%). Respondent agency/programs reported on the relationship between victim and abuser as: spouses or partners, 26%; own adult children, 39.7%; sons or daughters-in-law, 2%; grandchildren, 9.5%; friends or neighbors, 3.5%; paid home care workers, 0.65%; other relatives, 13.1%; and other non-relatives, 5.6%. For those agencies that were able to report some information on relationship, in 21.6% of cases, the relationship information was missing.

**Table 15**

### Documented Case Data – All Service Systems Statewide-Abuser Information

| **ELDER ABUSE AGGREGATE DATA** | |
|---|---|
| **ABUSER INFORMATION** | |
| Total Number of Abusers = 10,530 | |
| Total number agencies submitting information on abusers = 187 | |
| **Age Groups** | |
| 18 or younger | 7.7% |
| 18-45 | 44.8% |
| 46-59 | 25.6% |
| 60 and older | 22.0% |
| **Cases Missing Age Data** | **47.1%** |
| **Total Number of Agencies Missing All Age Information** | **38.5%** |
| **Gender** | |
| Male | 66.3% |
| Female | 33.7% |
| **Cases Missing Gender Data** | **18.3%** |
| **Total Number of Agencies Missing All Gender Information** | **1.1%** |
| **Relationship** | |
| Spouse/Partner | 26.0% |
| Own Adult Children | 39.7% |
| Son-in-law/Daughter-in-law | 2.0% |
| Grandchild | 9.5% |
| Friends/Neighbors | 3.5% |
| Paid Home Assistant | 0.65% |
| Other Relatives | 13.1% |
| Other non-relatives | 5.6% |
| **Cases Missing Abuser Relationship Data** | **21.6%** |
| **Total Number of Agencies Missing All Abuser Relationship Information** | **4.3%** |

## Information on sources of elder abuse referrals received by respondent agencies

Data presented in Table 16 and described below refers to both formal and informal system referrals. Over 40% of all respondent agencies were missing all information in this category (n=97 or 41.9%). For those agencies that were able to report some information on sources of referrals, in 51.5% of the cases the source of referral was missing.

## Formal service system referrals received by respondent agency/programs

Respondent agency/programs reported receiving elder abuse referrals from the following agencies: Adult Protective Services (1.4%), district attorneys (4.4%), domestic violence programs (0.90%), elder abuse programs (2.2%), law enforcement (22.1%), community-based agencies (8.1%), financial services (1.1%), healthcare programs (9.1%), homecare programs (4.4%) and Area Agencies on Aging (2.4%).

## Informal system referrals

Respondent agency/programs also received referrals from elder abuse victims themselves (17.6%), perpetrators (0.05%), family members (14%), friends and neighbors (3.8%), concerned citizens (0.88%), anonymous sources (4.8%) and "other information sources" (8.9%).

A number of referrals were received from "other" sources (8.9%). These included referrals from formal service programs or professionals as well as from informal sources. The most common sources described were acquaintances, landlords and courts. Referrals were also received from social workers, housing authorities, the Veterans Administration and Departments of Social Services. Further information about "other" referral sources is contained in Appendix D, Documented Case Data by Region: Discussion.

## Information on referrals of victims to respondent agencies

Table 16 below also documents referrals made by agencies on behalf of elder abuse victims. Close to one-third of all respondent agencies were missing all information in this category (n=71 or 30.7%). For those agencies that were able to report some information on where referrals of victims were made for further service, in 60% of cases, the referral information was missing. In addition, in over one-third of the cases agencies indicated that victims were not referred to any other programs or agencies (36.7%). Referrals may or may not result in a case being closed, but can be part of an overall service plan for the victim. Of the total number of victims that were referred for assistance, 17.9% of victims were referred to Adult Protective Services. Respondent agency/programs also reported referring 30.1% of victims to community-based agencies, 15.2% of the cases to District Attorney offices, 9.8% of the cases to domestic violence programs, 16% of the cases to elder abuse programs, 15.7% of the cases to Family Court, 22.6% of the cases to healthcare services, 18.2% of the cases to law enforcement, 3.3% of the cases to Area Agencies on Aging, and 21.3% of the cases to "other."

Referrals to "other" services or programs comprised 21.3% of referrals reported. Respondents provided the following examples of "other" referrals: financial assistance, housing, immigration, lock replacement, places of worship, attorneys, Medicaid unit, Veterans Administration, Family Court. Additional information about referrals made for assistance to clients in elder abuse cases can be found in Appendix D, Documented Case Data by Region: Discussion.

## Domestic Incident Reports (DIR)

Three-fifths (58%) of agency responders could not report information on whether DIRs were submitted on behalf of reported victims. Of those respondent agency/programs that did report information on DIRs, 70.2% of elder abuse victims had DIRs filed on their behalf.

A table of Documented Case Data displayed by region along with a discussion of the results by region can be found in Appendices C and D.

## Table 16

### Documented Case Data – All Service Systems Statewide Referral Information

| **ELDER ABUSE AGGREGATE DATA** | |
|---|---|
| Total Number of Agencies = 231 | |
| **Source of Referral-Formal Sources** | |
| Adult Protective Services | 1.4% |
| Community Agency | 8.1% |
| District Attorney | 4.4% |
| Domestic Violence Programs | 0.90% |
| Elder Abuse Programs | 2.2% |
| Financial Institution | 1.1% |
| Law Enforcement | 22.1% |
| Health Care Provider | 9.1% |
| Homecare | 4.4% |
| Office for the Aging | 2.4% |
| **Source of Referral-Informal Sources** | |
| Anonymous | 4.8% |
| Concerned Citizen | 0.88% |
| Family Member | 14.0% |
| Friends/Neighbors | 3.8% |
| Perpetrator | 0.05% |
| Victim | 17.6% |

| | |
|---|---|
| Other Total | 8.9% |
| **Cases Missing Data on Source of Referral** | **51.5%** |
| **Total Number of Agencies Missing All Referral Source Information** | **41.9%** |
| **Referral To** | |
| Adult Protective Services | 17.9% |
| Community Agency | 30.1% |
| District Attorney | 15.2% |
| Domestic Violence Programs | 9.8% |
| Elder Abuse Programs | 16.0% |
| Family Court | 15.7% |
| Health Care Provider | 22.6% |
| Law Enforcement | 18.2% |
| Office for the Aging | 3.3% |
| Other | 21.3% |
| **Cases Missing Information on "Referral To"** | 60.0% |
| **Number of Victims Not Referred to Other Services/Agencies (Cases in which Agencies Reported No Referrals)** | **36.7%** |
| **Total Number of Agencies Missing All "Referral To" Information** | **30.7%** |
| **Domestic Incident Reports (DIR)** | |
| Cases with DIRs Completed | 70.2% |
| Cases Missing DIR Data | **64.3%** |
| **Total Number of Agencies Missing All DIR Information** | **58.0%** |

## Overall availability of the data

Looking at the completeness of the data among the various data elements, that is, the availability of the data to provide a comprehensive look at cases reported to agencies and programs serving elder abuse victims throughout New York State, there were two aspects that were examined: 1. those agencies that were unable to give us any information on the data elements requested and 2. those agencies that could provide some information but not for every case or for all the categories surveyed. (For example, they could provide a gender or age breakdown but not for all victims served.) Factoring these two elements together, the following observations about the availability of data from agencies can be made:

**Elder abuse case information most consistently available from agencies**

- Type of mistreatment
- Gender of victims
- Age of victims
- Gender of abusers
- Relationship of abuser and victim

**Elder abuse case information less consistently available from agencies**

- Race and ethnicity of victim
- Referrals to other agencies

**Elder abuse case information most frequently not available from respondent agencies**

- Living arrangement of victim
- Age of abusers
- Whether the victim and abuser live together
- Poverty
- Source of referrals
- DIR reports

Our findings also revealed surprising gaps in data collected. For example, data on whether victims live with abusers is not collected in all systems that document serving elder abuse victims. While APS and law enforcement collect the most complete case data of all service systems at the county level, some data elements requested in the Documented Case Survey were consistently missing in all systems, even among these two.

## Ability of Organizations to Provide Victim Information by Service System

In the Documented Case Study, organizations were asked to complete demographic information based on what was determined to be a "minimum dataset" of elder abuse information. Information was collected on type of mistreatment, information on victims (age, gender, race/ethnicity, living arrangement, whether the victim lived with the abuser, poverty status) and information on the abusers (age, gender, relationship of abuser).

Table 17 displays the percentage of individual organizations within major service systems that were able to provide data about specific categories of demographic data related to type of mistreatment, victims and perpetrators of abuse. For example, 94.7% of county Adult Protective Services (APS) units were able to provide information on the type of mistreatment; all law enforcement units responding to the survey were able to provide this information, while only 61.1% of District Attorney offices and 74% of community-based organizations could report on the type of mistreatment experienced by victims.

In general, APS and law enforcement maintained the most comprehensive data systems, with the vast majority of counties able to complete most of the demographic categories. In both systems, there were a few items that were not included in their standardized data systems and, therefore, information was not available in those categories. District Attorneys and community-based organizations had data systems from which extracting quantitative information proved to be the most difficult, with significantly less information collected on the victims than on abusers.

The findings displayed in this table highlight the gaps in documentation of data about elder abuse across the service systems surveyed by the Documented Case Study. Appendix E, Documented Case Study – Aggregate Data by Service System, along with Appendix F, Documented Case Study – Service System Data: Discussion, provide a more detailed examination of the responses of each service system surveyed to the Documented Case Study request for elder abuse case information.

**Table 17**

## Documented Case Study Data
## Percent of Organizations Providing Victim Information by Service System

| Minimum data set information for elder abuse | Adult Protective Services | Law Enforcement | District Attorney | Community Based Organization |
|---|---|---|---|---|
| **Type of mistreatment** | 94.7% | 100.0% | 61.1% | 74.0% |
| **Information on victims** | | | | |
| Age | 94.7% | 100.0% | 44.4% | 78.1% |
| Gender | 94.7% | 100.0% | 50.0% | 81.2% |
| Race/ethnicity | 94.7% | 100.0% | 38.9% | 68.7% |
| Living arrangements | 94.7% | 0.0% | 16.7% | 64.6% |
| Lives with Abuser | 0.0% | 100.0% | 22.2% | 60.4% |
| Poverty Status | 0.0% | 0.0% | 5.6% | 39.6% |
| **Information on abusers** | | | | |
| Age | 9.3% | 100.0% | 80.0% | 75.0% |
| Gender | 100.0% | 100.0% | 0.0% | 96.9% |
| Relationship of abuser | 100.0% | 100.0% | 60.0% | 93.7% |

### Documented Case Study: Discussion

In addition to identifying clear issues with the way data about elder abuse cases is collected across service systems, the Documented Case component of the study demonstrates significant reporting trends in the state. Urban areas tend to have higher reported case rates than rural counties. When the data is sorted by urban versus rural counties, one finds that cases are referred to elder abuse programs and agencies 64% more often in urban counties than in rural counties.

The study does not attempt to tease out the reasons for the disparity in documented cases between urban and rural counties but some explanations can be offered for further exploration. One can speculate that population density in urban areas, in particular in New York City, may foster easier identification of mistreatment of older adults.

While there is little difference among urban, suburban and rural counties in types of abuse reported (for all regions, emotional abuse is the most common abuse category reported), rates of underreporting may be linked to social isolation of the population served. Urban counties tend to be more "service rich" than rural counties. This is evident in New York City and in Monroe County, for example, in which not-for-profit agencies sponsor programs specifically designed to aid elder abuse clients, supplementing the work of Adult Protective Service in those counties. In addition urban counties are more likely to have the critical mass of cases and the financial resources to support elder abuse specialists in law enforcement or in the District Attorney's office.

On the other hand, rural counties may lack not only the service infrastructure to identify and serve older adult victims of abuse, but also the systems needed to document cases other than in case records.

## COMPARISON OF SELF-REPORTED AND DOCUMENTED CASE DATA

Table 18 displays overall rates of self-reported abuse and documented case for the state as a whole. The data is presented for all forms of abuse and by each mistreatment category as well. The table demonstrates that although respondents in the study reported having been abused in the year preceding the survey at the rate of 76 individuals per 1,000, only 3.2 persons per 1,000 received intervention from any of the service systems surveyed during the same time period under consideration. The enormous gap between the self-reported rate and the documented case rate means that for every case in the formal service system, approximately 24 others were not referred to services. Despite the high rate of financial abuse reported by Self-Reported Study respondents, the comparison of the data demonstrates that only one out of 44 financial abuse cases received service for this form of mistreatment from agencies serving elder abuse victims. The ratio of reported neglect cases to documented neglect case was also especially high (57.2 self reported cases for every documented case). Physical abuse and emotional abuse ratios were by comparison moderate but still involved nearly 20 and 12 victims, respectively, who were not referred to elder abuse service providers for every victim who received intervention.

**Table 18**

### Rates of Elder Abuse in New York State: Comparison of Self-Reported One-Year Incidence and Documented Case Data

| | Documented Rate per 1,000 | Self-reported Rate per 1,000 | Ratio of Self-Reported to Documented |
|---|---|---|---|
| **New York State - All forms of abuse** | **3.24** | **76.0** | **23.5** |
| Financial | .96 | 42.1 | 43.9 |
| Physical and Sexual | 1.13* | 22.4* | 19.8 |
| Neglect | .32 | 18.3 | 57.2 |
| Emotional | 1.37 | 16.4 | 12.0 |

*The Documented Case rate includes physical abuse cases only. Physical and sexual abuse data were combined in the Self-Reported Study. The sexual abuse rate for the Documented Case Study was 0.03 per 1,000.

It should be noted that the sum of the rates exceeds the total rates in both the Documented Case and Self-Reported Studies because some victims experienced more than one type of abuse.

## Rates of Elder Abuse by Geographic Area

Table 19 breaks down rates of mistreatment uncovered in both the Self-Reported Study and the Documented Case Study by type of county (urban, suburban and rural) and by region of the state. It further displays data showing a comparison of rates established in each component of the study by type of county and region and also broken down by non-financial and financial abuse categories.

Rates of self-reported and documented elder abuse varied considerably by region. Residents of urban counties tend to report higher rates of mistreatment than other types of counties. Older adult residents of New York City included in the sample reported a mistreatment rate of 92.2 per 1,000, a rate 67% higher than that reported by older residents of the region with the lowest rate, Region 4 (Capital Region/Mohawk Valley/North Country). Overall urban residents surveyed reported 23% to 50% higher rates of abuse than residents in suburban and rural counties, respectively. Although rates for subcategories of abuse (non-financial vs. financial) also varied somewhat by region, the data demonstrates that financial exploitation figures prominently as a major form of mistreatment in every quarter of the state with self-reported rates ranging from a low of 29.5 per 1,000 in the Capital Region /Mohawk/North Country region to a high of 53.0 per 1,000 in New York City.

Rates of documented elder abuse also varied by region. The highest rate was in New York City (3.79 reported cases per 1,000 older adult residents) compared to the region with the lowest rate of documented cases, Central New York /Southern Tier (2.30 cases per 1,000). In spite of reaching more elders per 1,000 through its network of elder abuse programs and services, the data shows that due to the higher rate of mistreatment uncovered in New York City versus other areas of the state, for every case served, 24 other victims still remain outside the system and are potentially in need of intervention. Likewise, the lower rate of documented cases in the Central New York/Southern Tier region is juxtaposed with a higher reported rate (80 per 1,000) than the average for the state resulting in only one out of 35 older adult victims known to the elder abuse service system in that region in a one-year period.

**Table 19**

## Comparison of Self-Reported One-Year Incidence and Documented Case Rates of Elder Abuse by Geographic Area

| Region | Documented Rate per 1,000 | Self-reported Rate per 1,000 | Ratio of Self-Reported to Documented |
|---|---|---|---|
| **New York State** | 3.24 | 76.0 | 23.5 |
| **County Types** | | | |
| ■ Urban | 3.55 | 84.8 | 23.9 |
| ■ Suburban | 3.08 | 68.9 | 22.4 |
| ■ Rural | 2.16 | 56.7 | 26.3 |
| **Regional Breakdown** | | | |
| New York City | 3.79 | 92.2<br>• 55.2 non-financial<br>• 53.0 financial | 24.3 |
| Long Island | 3.61 | 74.3<br>• 44.9 non-financial<br>• 38.0 financial | 20.6 |
| Mid-Hudson | 2.52 | 70.1<br>• 37.4 non-financial<br>• 39.7 financial | 27.8 |
| Capital Region, Mohawk Valley, North Country | 2.73 | 55.2<br>• 35.0 non-financial<br>• 29.5 financial | 20.2 |
| Central New York, Southern Tier | 2.30 | 80.2<br>• 53.5 non-financial<br>• 34.8 financial | 34.9 |
| Finger Lakes | 3.37 | 58.0<br>• 35.9 non-financial<br>• 35.9 financial | 17.2 |
| Western New York | 2.34 | 71.1<br>• 44.7 non-financial<br>• 36.6 financial | 30.4 |

## Comparison of Victim Demographic Data

Table 20 displays a comparison of demographic characteristics of Self-Reported Study respondents with Documented Case Study clients. Under Race/Ethnicity, it should be noted that in the Documented Case Study, some agencies permitted elder abuse victims to declare more than one ethnic category; as a result the sum of percentages exceeds 100. In the Self-Reported Study column, respondents who self identified as Hispanic/Latino in addition to another category are reported in a separate statistic (7.6%). As a result, the sum of all categories again exceeds 100 percent. Note that in Table 20, "Missing" in the Documented Case Study column indicates the percentage of cases in which responding organizations were unable to supply the data requested. In the Self-Reported Study column, "Missing" indicates the percentage of telephone survey respondents who declined to supply the requested information. "Missing" data is not included in the total sums for each demographic category.

The comparison of demographic data in Table 20 reveals similar trends in both the Self-Reported and Documented Case data except in the area of Race/Ethnicity. The percentage of Hispanic/Latino and Asian/Pacific Islander victims served by Documented Case Study respondent organizations was approximately twice the percentage of Self-Reported Study respondents who self-identified as Hispanic/Latino or Asian/Pacific Islander. On the other hand, Native Americans/Aleut Eskimos were represented in the Documented Case findings at less than half the rate they were found in the Self-Reported Study. It should also be noted, however, that responding organizations in the Documented Case Study were as a whole unable to provide racial/ethnic data in half of the cases.

**Table 20**

### Victim Demographic Information
### Comparison of Documented Case Data and Self-Reported Data

| | Documented Case Study | Self-Reported Study |
|---|---|---|
| **Information about victims** | **Percent of victims for which data is available** | **Percent of Victims** |
| **Age groups** | | |
| 60-64 | 17.0 | 20.3 |
| 65-74 | 41.9 | 38.0 |
| 75-84 | 28.1 | 29.1 |
| 85+ | 13.0 | 12.7 |
| (Missing) | 14.9 | 0.0 |
| **Gender** | | |
| Male | 32.8 | 35.8 |
| Female | 67.2 | 64.2 |
| (Missing) | 13.8 | 0.0 |
| **Race/Ethnicity** | | |
| African American | 27.9 | 26.3 |
| Asian/Pacific Islander | 3.0 | 1.6 |
| Caucasian | 69.3 | 65.5 |
| Hispanic/Latino | 16.4 | 7.6 |
| Native American/Aleut Eskimo | 0.8 | 1.9 |
| Race, other | 10.5 | 2.9 |
| (Missing) | 50.8 | 1.9 |

## CONCLUSIONS

This study is groundbreaking in a number of ways. It is the first study that has undertaken to examine elder abuse in New York State through two different but complementary methods, by obtaining data on self-reported cases of elder abuse, by surveying the number of documented cases in the state and comparing the results to achieve a rate of underreporting. It is one of the largest studies of its kind, with over 4,100 subjects interviewed and 325 service organizations responding to the Documented Case survey. It has identified some important and unique findings that will guide not only government and agency policymaking and professional practice with older adults and their families in New York State but also provide a methodology for studying elder abuse at the state level that can be replicated and adapted by other states as well.

What follows is a summary of original goals of the study and research findings, which address the three components of the study.

1. **To estimate the prevalence of various forms of elder abuse in a large, representative, statewide sample of older New Yorkers through direct subject interview.**

One of the primary goals of the study was to obtain a prevalence rate for elder abuse events in New York State using sound research methods. The Self-Reported Elder Abuse component of the study found an overall prevalence rate of 141.2 per 1,000 and an incidence rate of 76 per 1,000 among older adult respondents across all sectors of the state.

**Applying the incidence rate to the general population of older New Yorkers, an estimated 260,000 older adults in the state were victims of at least one form of elder abuse in the year preceding the survey.**

Further analysis of the Self-Reported Study data uncovers interesting differences in patterns of abuse for prevalence (any elder abuse event experienced since turning 60) and incidence (new elder abuse events experienced in the year preceding the survey).When the Self-Reported Study incidence data is broken down further by type of abuse, it is revealing to find the predominance of financial exploitation among all elder abuse events reported by respondents in the year preceding the survey. The study findings show that 46.2 per thousand older New Yorkers ages 60 years and older have experienced neglect, emotional abuse or physical (including sexual) abuse; 41.1 per thousand have experienced major financial exploitation, while 42.1 per thousand have experienced either major or moderate financial exploitation. This stands in contrast to the findings of the prevalence data, which revealed that the most common form of elder mistreatment experienced by older New Yorkers since turning 60 was emotional abuse, which was reported at a rate of 85.4 per thousand respondents. Prevalence and incidence rates, on the other hand, for neglect and physical abuse (which includes sexual abuse) were very similar.

The mistreatment rates for both categories of abuse show decided disparity between regions and between rural/suburban counties and counties considered urban. The most marked divergence in reported abuse was between urban areas and rural, a difference of 15 to 17 cases per thousand in non-financial and financial cases respectively. New York City respondents reported a much higher rate of mistreatment than in almost all other regions of the state. In the most dramatic example, respondents from New York City reported 80% more financial exploitation than in Region 4 (Capital Region, Mohawk Valley, North Country).

The high incidence of financial exploitation across regions argues for particular attention to this category of mistreatment in elder abuse service planning.

**2. To estimate the number of elder abuse cases coming to the attention of all agencies and programs responsible for serving elder abuse victims in New York State in a one year period.**

A second focus of the study was to determine the number of elder abuse cases referred for intervention in a one-year period, in this case, calendar year 2008. A total of 11, 432 cases were identified among all the service systems charged with serving elder abuse victims. This number represents a rate of 3.24 elder abuse victims statewide per 1,000 older adult residents. Again there was significant variation in documented case rates among urban, suburban and rural counties as well as by region. At the extremes, urban counties reported documented case rates of 3.55 per 1,000 elders versus 2.16 for rural counties. Suburban counties reported a slightly lower rate than urban counties. Regional rates ranged from a high of 3.79 persons served per 1,000 in New York City to 2.30 in the Central New York/Southern Tier region.

While urban areas tend to have higher documented case rates than rural counties, there was little difference among urban, suburban and rural counties in types of abuse reported in the Documented Case Survey (for all regions, emotional abuse was the most common abuse category reported).

**3. To compare rates of elder abuse in the two component studies, permitting a comparison of "known" to "hidden" cases, and thereby determining an estimate of the rate of elder abuse underreporting in New York State.**

A third focus of the study was to determine, through the comparison of Self-Reported Study data with Documented Case Study data from service systems throughout the state, the difference, if any, between the rates of elder mistreatment reported by older adults, and the actual number of cases served by agencies and programs tasked with serving elder abuse victims.

**The findings of the study point to a dramatic gap between the rate of elder abuse events reported by older New Yorkers and the number of cases served in the formal elder abuse service system.**

Overall the study found an elder abuse incidence rate that was nearly 24 times greater than the number of cases referred to social service, law enforcement or legal authorities who have the capacity as well as the responsibility to assist older adult victims.

Caution must be used in interpreting the large gap between the extent of elder abuse reported directly by older adults and the number of cases served. Documentation systems may have played a role in the results. The inability of some service systems and individual programs to report on their involvement in elder abuse cases affected the final tally of documented cases. An undetermined number of cases are not accounted for from agencies and programs that could not access data about elder abuse victims served. The extent to which the gap between the number of cases reported through the Documented Case Study and the incidence rates found in the Self-Reported Study can be attributed to data collection issues among service systems has not been established. However, the study received comprehensive data from the largest programs serving elder abuse victims: Adult Protective Services, law enforcement and community-based elder abuse programs.

**Consequently, the study results suggest a dramatic underreporting of elder abuse in all regions of the state and all three categories of counties.**

The actual reasons for the level of underreporting of elder mistreatment apparent among respondent agencies and service systems are unclear but may be explained in two ways based on the analysis of survey data for the Documented Case part of the study. One is based on differences in available services and methods of documentation by service system and a second is based on differences among geographic regions.

The difference in rates suggests underreporting in rural areas. Referrals of elder abuse cases may be stimulated by the availability of services in urban areas such as New York City and other "service-rich" areas due to the expectation that victims will receive adequate help to stop the mistreatment. Region 1 (New York City) is relatively resource-rich with the only Area Agency on Aging that has a program funded by the Office of Victim Services and a network of specialized elder abuse service providers. Enhanced public education campaigns about elder abuse in high reporting areas may also be affecting identification and referral of cases.

Inconsistent documentation of elder abuse case activity may also be a factor. Adult Protective Services outside of New York City uses a common database that captures almost all the elements requested in the Documented Case survey. Since the completion of the Documented Case Study, New York City APS has updated its computer database and now captures data about elder abuse cases equivalent to the data elements recorded by other counties in the state. New York City Police Department also has a unique computer system that captures data at a level that not all counties in New York State can match.

Some service systems and some regions may lack the resources to integrate elder abuse elements in data collection systems or may simply not have an adequate elder abuse focus in their data collection. While each service system from which an elder abuse victim may need service has a different mission and mandate, there is a need for basic data for documentation of elder abuse events in the state for good service planning, clinical intervention and a coordinated response across systems.

Finally, population density and often greater visibility of older adults in the community in urban areas and, conversely, social isolation in rural areas may contribute to differences in reporting trends based on geography. Greater awareness by "sentinels," that is, individuals, both lay and professional, who have contact with older adults and are alert to the signs and symptoms of elder abuse, may also explain higher referral rates in some areas.

The role of local Offices for the Aging (also known as Area Agencies on Aging (AAAs)) in elder abuse cases also merits further exploration. Of the 31 AAA agencies that responded to the Documented Case Study invitation to participate in the study, 23 reported serving elder abuse victims but only a third of that number (8) reported they were able to retrieve data about elder abuse victims served. AAAs are not required to track elder abuse and thus their data systems do not consistently include questions related to elder abuse. The AAA network plays a central role in providing, making available and funding aging services on a local level. The reasons behind the findings need to be explored further as AAAs can, and in some cases already do, play a critical role in service planning in elder abuse cases and can offer a range of supportive services for victims of elder abuse identified by APS, law enforcement, District Attorneys and community-based service systems.

It should be noted that all local Offices for the Aging are engaged in certain core functions, including systems development, service coordination and filling in service gaps. However, their specific roles and activities vary to some extent from county to county in New York State due to local needs and conditions. Their organizational structures vary as well. All provide some direct services, including programs for elder abuse victims; however, what services they provide directly and the extent to which they contract with community-based agencies to provide aging services can differ in each county.

One significant finding of the Self-Reported Study was the high rate of financial abuse reported by respondents as having occurred in the year preceding the survey. This stands in contrast to the Documented Case survey in which emotional abuse was the most common form of mistreatment reported by agencies providing data on elder abuse victims. Nonetheless, in two of the seven regions surveyed for documented cases, financial abuse emerged proportionally at a higher rate. However, few referrals come from financial institutions to any of the service systems surveyed (1.1% of all referrals).

**Overall, the New York State Elder Abuse Prevalence Study uncovered a large number of older adults for whom elder abuse is a reality but who remain "under the radar" of the community response system set up to assist them.**

The findings of the New York State Elder Abuse Prevalence Study suggest that attention should be paid to the following issues in elder abuse services:

- Consistency and adequacy in **the collection of data** regarding elder abuse cases across service systems. Complete data collected consistently can be used by a broad range of elder-serving organizations to reduce elder abuse.
- Emphasis on **cross system collaboration** to foster effective use of limited resources to identify and serve more elder abuse victims. This may include ongoing dialogue and written agreements concerning collaborative efforts and cross training within and among systems serving elder abuse victims and their families at the state and county levels.
- Greater focus on **prevention and intervention** in those forms of elder abuse reported to be most common, in particular, financial exploitation. There appears to be a need for further involvement of the financial industry in training and outreach and for general education of all sectors about identification of financial abuse.
- Promotion of **public and professional** awareness through education campaigns and training around the signs of elder abuse and around resources available to assist older adults who are being mistreated by trusted individuals.

## LIMITATIONS OF STUDY

The New York State Elder Abuse Prevalence Study is one of the largest and most detailed studies of elder abuse subjects ever conducted; yet there are limitations inherent in the study design and study sample chosen. Although older adults were surveyed from every county in New York State, the size of the sample below the regional level does not allow for a statistically reliable profile of elder abuse cases on the county level in most cases. Other than populous counties with a large sample in the Self-Reported Study, individual counties must interpret the data in the context of the region in which they are located or in comparison to the overall classification of results into urban, suburban and rural county cohorts.

It should also be noted that in order to participate in the Self-Reported Survey, subjects needed to have the physical ability as well as the cognitive capability of using a telephone and answering the survey questions meaningfully. Excluded were older adults with frailties and cognitive impairments that prevented them from participating in the study. It is possible but cannot be determined with certainty that the rate of elder mistreatment would have been found to be even higher if this vulnerable group could have been included in the survey sample.

The research team believes that the Documented Case Study was successful in uncovering the vast majority of active elder abuse cases in New York State in a one-year period. Nevertheless, some agencies and organizations were unable to contribute to the study because they were unable to retrieve data about the elder abuse victims they served or, because they do not keep data on elder abuse victims, were unable to complete the study questionnaire.

## IMPLICATIONS FOR FURTHER STUDY

For the first time, a scientifically rigorous estimate of the prevalence of elder abuse in New York State has been established. The study also provides an estimate of the number of cases that received intervention in a one-year period throughout the state. The study raises many questions about differences in rates of abuse in various regions and types of counties. The study also revealed many issues about how elder abuse data is recorded by service providers. Further exploration of these topics in future research studies is warranted.

The study also uncovered a range of case reporting rates across regions in New York. It would be useful to explore the factors that lead to higher referral rates to elder abuse agencies and programs in some areas than in others. Further examination of the data produced by the study may also lead to better understanding of vulnerability profiles of victims for specific types of abuse.

The findings also serve as a platform to make more informed decisions about policy, use of limited resources and models of service provision for the thousands of older New Yorkers whose safety, quality of life and dignity are compromised each year by elder mistreatment.

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# APPENDIX A

## SELF-REPORTED STUDY QUESTIONNAIRE

(English version. Spanish version available upon request.)

## PREVALENCE OF ELDER ABUSE SURVEY FINAL QUESTIONNAIRE

>lang<

*Determine respondent language*

*<1> English*

*<2> Spanish*

**Introduction**

>intro<

Hello, I'm [fill name] calling from Cornell University. The purpose of this study is to explore the relationships of older people with their families and other people that they live with or often come in contact with. We are interested in things like who lives with you, how your general health is, and who provides help for you if and when you need it. We are also interested in when family members disagree or don't get along, and what happens in those situations.

In order to ensure that everyone we need to interview has the same chance of being included in this study, we would like to know how many adults age 60 years or older live in this household? Also, we need to make sure we reached a private residence (rather than a group home such as a nursing home).

| | |
|---|---|
| <0> No adults 60+ in household | ➜ Ineligible – End call |
| <1> 1 adult 60+ | ➜ Ask to speak with that adult |
| <2> 2 adults 60+ | ➜ Ask to speak with adult with most recent birthday |
| <3-9> 3-9 adults 60+ | ➜ Ask to speak with adult with most recent birthday |
| <n> Nursing home | ➜ Ineligible – End call |
| <d> Do not know | ➜ Call back later to talk with someone else |
| <r> Refused | ➜ End call – Eligibility unknown, but refused to go further |
| <m> Pre-interview letter requested | ➜ Flag case to mail a letter and call back later (if requested) |
| <p> Post-interview letter requested | ➜ Flag case to offer a letter after the interview (if requested) |

### >elig<

We would like to speak with the adult (who is at least 60 years of age) who has had the most recent birthday? Would that be you or someone else?

<1> Speaking with adult with most recent birthday

<2> Someone else is the adult with the most recent birthday

<d> Do not know ➜ Call back later to talk with someone else

<r> Refused ➜ Call back later to talk with someone else

### >r name<

[If speaking with the identified respondent; elig=1]

May I please ask for your name in case we get cut off?

[If someone else had most recent birthday; elig=2]

May I please have his/her name? This would be the person who is at least 60 years of age and has had the most recent birthday.

Title: Mr., Mrs., Miss

Fname: _____

Lname: _____

[If intro↑m (Did not requested pre-interview letter) and elig=1 ? Go to confblurb; Begin interview]

[If intro↑m (Did not requested pre-interview letter) and elig≠1 ? Go to newintro]

### >pre_letter<

First we need to get your name and address. Once we have your address, we'll send the letter and set up a time to do the interview in a few days – after the mail arrives to you.

Address: _____

City: _____

State: _____

Zip code: _____

[Set callback for approximately 5 days (time for USPS to deliver a letter)]

### >newintro<

May I please speak with [fill title] [fill Fname] [fill Lname]?

<1> [fill Fname] [fill Lname] comes to phone ➜ Go to confblurb; Begin interview

<2> Not home now ➜ Call back later

<3> Language problem ➜ Go to proxy

<4> Too ill or incapable of responding ➜ Go to proxy

<5> Refuses to get R on phone

### >proxy<

I understand if [fill Fname] [fill Lname] in unable to participate. We are conducting a study to ask about the relationships of older adults with their families and other people that they live with or come in contact with. Since [fill Fname] [fill Lname] is unable to speak with us, would you be willing to answer some questions on his/her behalf? If not you, is there someone who I could speak with who has regular contact with [fill Fname] [fill Lname] who might be able to speak with me?

<1> No proxy available ➜ Ineligible – End call
<2> Proxy available ➜ Go to pname
<3> Proxy not available ➜ Call back later
<d> Do not know ➜ Call back later to talk with someone else
<r> Refused ➜ Go to prefuse

### >prefuse<

Okay, I understand that you and [fill Fname] [fill Lname] do not want to speak with us. Before I go, can you please tell me why? _____

### >pname<

What is your/his/her name? This would be the name of whoever has regular contact with [fill Fname]
Title: Mr., Mrs., Miss
Fname: _____
Lname: _____

[if proxy=3 ➜ Call back later]

### >confblurb<

Before we begin, there are a few points I need to cover:
I want to assure you that all the information you give will be kept completely confidential and that none of it will be released in any way that would permit identification of you.

Your participation in this study is, of course, voluntary. Some of the questions might be upsetting to some people. If there is any question you would prefer not to answer, just tell me and we will go on to the next question. You can also stop participating at any time.

If this is a bad time to speak, I can either call you back at a time of your choosing, or I can give you a toll free 800 number to call back and we can complete the survey whenever you choose.

Would you like to participate? [If "No", ask for another respondent and go to rname]
[If "Yes", proceed to marital]

## >marital<

Some of the questions we ask depend on your marital status. Are you currently:

<1> Married or partnered

<2> Widowed

<3> Separated

<4> Single, never married

<5> Single, divorced

<d> Do not know

<r> Refused

## >dob<

We're trying to reach people in a specific age range. Just to check, what is your date of birth?

Month: _____

Day: _____

Year: _____

<d> Do not know

<r> Refused ➜ Refused – Eligibility unconfirmed

## >age<

Would you please tell me your age (just so I don't have to do the math)?

Age: ____

<d> Do not know

<r> Refused ? Refused – Eligibility unconfirmed

## >check_cog<

[if dob_age ↑ age or (dob=d and age=d and marital=d) ➜ Ineligible – Cognitive incapacity]

## >check_age<

[if age < 60 ➜ Go to intro; Ask for someone else ≥ 60 in household]

**HH relations / Health**

## >HH_relations<

Would you please tell me who currently lives with you or has lived with you in the past year in this household?

[if marital="Married or partnered" ➜ Go to 1]

[otherwise ➜ Go to 2]

| | If Yes | |
|---|---|---|
| *Response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<r> Refused* | How many?<br>_____ | How are they related to you?<br>_____ |
| 1. Are you living with your spouse/partner? | | |
| 2. Are any of your children living with you? | 2.a | |
| 3. Are any of your sons or daughters in-law living with you? | 3.a | |
| 4. Are any of your grandchildren living with you? | 4.a | |
| 5. Are any other relatives living with you? | 5.a | 5.b |
| 6. Are any of your friends living with you? | 6.a | |
| 7. Do you have any paid home care aids (attendants) who live with you? | 7.a | |
| 8. Is there anyone else living with you that we haven't already mentioned? | 8.a | 8.b |

## >health<

How would you rate your overall health at the present time? Would you say overall your health is:

<1> Excellent

<2> Very good

<3> Good

<4> Fair

<5> Poor

<6> Very poor

<d> Do not know

<r> Refused

**Duke OARS IADL**

>DukeOARS_IADL<

| | If No | | | |
|---|---|---|---|---|
| *Default response options for questions below:*<br><*0*> *No*<br><*1*> *Yes*<br><*d*> *Do not know*<br><*r*> *Refused* | Thinking about ONE person who helps you or does this for you, what is their relationship to you? (**Select up to two: i, ii**)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter-in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | Since you turned 60, has there ever been a time when this person hasn't helped you when you thought they should have helped you?<br><0> No<br><1> Yes | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it for you that this person didn't help you? Is it:<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 1. Are you able to go shopping for groceries and clothes without any help at all from someone else? | 1.i.a.<br>1.ii.a. | 1.i.b.<br>1.ii.b.<br>If No<br>➜ Go to 2. | 1.i.c.<br>1.ii.c. | 1.i.d.<br>1.ii.d. |
| 2. Are you able to prepare your own meals without any help at all from someone else? | 2.i.a.<br>2.ii.a. | 2.i.b.<br>2.ii.b.<br>If No<br>➜ Go to 3. | 2.i.c.<br>2.ii.c. | 2.i.d.<br>2.ii.d |
| 3. Are you able to do the routine housework that needs to be done in your home without any help at all from someone else? | 3.i.a.<br>3.ii.a. | 3.i.b.<br>3.ii.b.<br>If No<br>➜ Go to 4. | 3.i.c.<br>3.ii.c. | 3.i.d.<br>3.ii.d. |
| 4. Do you take any medicines on a regular basis? If No ➜ Go to Duke_ADL | | | | |
| 4.i. How many different medicines do you have to take regularly? _____ | | | | |
| 4.ii. Are you able to take your medicines in the right doses and at the right times without any help at all from someone else? | 4.ii.a.<br>4.iii.a. | 4.ii.b.<br>4.iii.b.<br>If No<br>➜ Go to IADLcheck | 4.ii.c.<br>4.iii.c. | 4.ii.d.<br>4.iii.d. |

>IADLcheck<

[If DukeOARS_IADL.1, 2, 3, 4.ii. are all "Yes" assume ADL independence

➜ Go to financial_exploitation]

**Duke ADL**

>Duke_ADL<

| | If No | | | |
|---|---|---|---|---|
| *Default response options for questions below:*<br><0> *No*<br><1> *Yes*<br><d> *Do not know*<br><r> *Refused* | Thinking about ONE person who helps you or does this for you, what is their relationship to you? (**Select up to two: i, ii**)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | Since you turned 60, has there ever been a time when this person hasn't helped you when you thought they should have helped you?<br><0> No<br><1> Yes | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it for you that this person didn't help you? Is it:<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 1. Are you able to cut and eat your food without any help at all from someone else? | 1.i.a.<br>1.ii.a. | 1.i.b.<br>1.ii.b.<br>If No<br>➜ Go to 2. | 1.i.c.<br>1.ii.c. | 1.i.d.<br>1.ii.d. |
| 2. Are you able to dress and undress yourself without any help at all from someone else? | 2.i.a.<br>2.ii.a. | 2.i.b.<br>2.ii.b.<br>If No<br>➜ Go to 3. | 2.i.c.<br>2.ii.c. | 2.i.d.<br>2.ii.d |
| 3. Are you able to walk without any help at all from someone else? | 3.i.a.<br>3.ii.a. | 3.i.b.<br>3.ii.b.<br>If No<br>➜ Go to 3.iii. | 3.i.c.<br>3.ii.c. | 3.i.d.<br>3.ii.d. |
| 3.iii. Do you use any type of assistive device to help you walk (such as a cane, crutches or a walker)? | | | | |
| 4. Are you able to get in and out of bed without any help at all from someone else?<br>If Yes ➜ Go to 5. | | | | |

>Duke_ADL (continued)<

| | If No | | | |
|---|---|---|---|---|
| *Default response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<d> Do not know*<br>*<r> Refused* | Thinking about ONE person who helps you or does this for you, what is their relationship to you? (**Select up to two: i, ii**)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | Since you turned 60, has there ever been a time when this person hasn't helped you when you thought they should have helped you?<br><0> No<br><1> Yes | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it for you that this person didn't help you? Is it:<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 4.i. Can you get in and out of bed with some help, or are you totally dependent on someone else to lift you?<br><1> With some help<br><2> Totally dependent<br>➜ Go to 4.i.a. | 4.i.a.<br>4.ii.a. | 4.i.b.<br>4.ii.b.<br>If No<br>➜ Go to 4.iii. | 4.i.c.<br>4.ii.c. | 4.i.d.<br>4.ii.d. |
| 4.iii. Do you use any special device or equipment to help you get in and out of bed? | | | | |
| 5. Are you able to take a bath or shower without any help at all from someone else?<br>If Yes ➜ Go to 6. | | | | |

| | If Yes | | | |
|---|---|---|---|---|
| *Default response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<d> Do not know*<br>*<r> Refused* | Thinking about ONE person who helps you or does this for you, what is their relationship to you? (**Select up to two: i, ii**)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | Since you turned 60, has there ever been a time when this person hasn't helped you when you thought they should have helped you?<br><0> No<br><1> Yes | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it for you that this person didn't help you? Is it:<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 5.i. Can you take a bath or shower with some help, or are you totally dependent on someone else to bathe you?<br><1> With some help<br><2> Totally dependent<br>➜ Go to 5.i.a. | 5.i.a.<br>5.ii.a. | 5.i.b.<br>5.ii.b.<br>If No<br>➜ Go to 5.iii. | 5.i.c.<br>5.ii.c. | 5.i.d.<br>5.ii.d. |
| 5.iii. Do you use any special device or equipment to help you take a bath or shower? | | | | |
| 6. How often do you have difficulty holding your urine until you can get to a toilet?<br><0> Never<br><1> Hardly ever<br><2> Some of the time<br><3> Most or all of the time | | | | |
| 6. Does anyone ever help you use the bathroom? | 6.i.a.<br>6.ii.a. | 6.i.b.<br>6.ii.b.<br>If No<br>➜ Go to 7. | 6.i.c.<br>6.ii.c. | 6.i.d.<br>6.ii.d. |
| 7. Is there anything else someone helps you with?<br>If No ➜ Go to financial_exploitation<br>If Yes ➜ Specify and continue with 7.i.a. | 7.i.a.<br>7.ii.a. | 7.i.b.<br>7.ii.b.<br>If No<br>➜ Go to financial_ exploitation | 7.i.c.<br>7.ii.c. | 7.i.d.<br>7.ii.d. |

## Financial Exploitation

### >financial_exploitation<

Since you turned 60 years old has someone you live with or spend a lot of time with ever done any of the following:

| | If Yes | | | |
|---|---|---|---|---|
| *Response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<d> Do not know*<br>*<r> Refused* | What is this person's relationship to you? (Select up to two: i, ii)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | In just a sentence or two, could you tell me what this person did?<br>_____<br>_____<br>_____ | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> 11 or more times | How serious a problem is it for you that the person did this to you?<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 1. Stolen anything from you or used things that belonged to you but without your knowledge or permission? This could include money, bank ATM or credit cards, checks, personal property or documents. | 1.i.a.<br>1.ii.a. | 1.i.b.<br>1.ii.b. | 1.i.c.<br>1.ii.c. | 1.i.d.<br>1.ii.d. |
| 2. Forced, convinced or misled you to give them something that belonged to you or to give them the legal rights to something that belonged to you? This could include money, a bank account, a credit card, a deed to a house, personal property, or documents such as a will (last will/testament) or power of attorney. | 2.i.a.<br>2.ii.a. | 2.i.b.<br>2.ii.b. | 2.i.c.<br>2.ii.c. | 2.i.d.<br>2.ii.d. |
| 3. Pretended to be you to obtain goods or money? | 3.i.a.<br>3.ii.a. | 3.i.b.<br>3.ii.b. | 3.i.c.<br>3.ii.c. | 3.i.d.<br>3.ii.d. |
| 4. Stopped contributing to household expenses such as rent or food where this arrangement had been previously agreed to, even if they were capable of still doing so? | 4.i.a.<br>4.ii.a. | 4.i.b.<br>4.ii.b. | 4.i.c.<br>4.ii.c. | 4.i.d.<br>4.ii.d. |
| 5. Unwilling to contribute to household expenses to the extent that there was not enough money for food or other necessities? | 5.i.a.<br>5.ii.a. | 5.i.b.<br>5.ii.b. | 5.i.c.<br>5.ii.c. | 5.i.d.<br>5.ii.d. |

## >elder_mistreatment_1<

No matter how well people get along, there are times when family members or other people you live with, spend time with, or count on for help or support, disagree on major decisions, get annoyed about something another person does, or just have spats or fights because someone is in a bad mood or for some other reason. They also use many different ways of trying to settle their differences. I'm going to read a list of things that family members or people you spend time with might have said or done when there was a disagreement.

Since you turned 60 years old has someone you live with or spend a lot of time with:

| | **If Yes** | | |
|---|---|---|---|
| *Response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<d> Do not know*<br>*<r> Refused* | What is this person's relationship to you? (Select up to two: i, ii)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it that the person did this?<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 1. Sulked or refused to talk about something? | 1.i.a.<br>1.ii.a. | 1.i.b.<br>1.ii.b. | 1.i.c.<br>1.ii.c. |
| 2. Done or said something to spite you? | 2.i.a.<br>2.ii.a. | 2.i.b.<br>2.ii.b. | 2.i.c.<br>2.ii.c. |
| 3. Insulted or sworn at you? | 3.i.a.<br>3.ii.a. | 3.i.b.<br>3.ii.b. | 3.i.c.<br>3.ii.c. |
| 4. Threatened to hit or throw something at you? | 4.i.a.<br>4.ii.a. | 4.i.b.<br>4.ii.b. | 4.i.c.<br>4.ii.c. |
| 5. Touched you or tried to touch you in a sexual way against your will? | 5.i.a.<br>5.ii.a. | 5.i.b.<br>5.ii.b. | 5.i.c.<br>5.ii.c. |
| 6. Thrown something at you? | 6.i.a.<br>6.ii.a. | 6.i.b.<br>6.ii.b. | 6.i.c.<br>6.ii.c. |
| 7. Tried to slap or hit you? | 7.i.a.<br>7.ii.a. | 7.i.b.<br>7.ii.b. | 7.i.c.<br>7.ii.c. |
| 8. Pushed, grabbed or shoved you? | 8.i.a.<br>8.ii.a. | 8.i.b.<br>8.ii.b. | 8.i.c.<br>8.ii.c. |
| 9. Slapped you? | 9.i.a.<br>9.ii.a. | 9.i.b.<br>9.ii.b. | 9.i.c.<br>9.ii.c. |
| 10. Forced you to have sexual intercourse against your will? | 10.i.a.<br>10.ii.a. | 10.i.b.<br>10.ii.b. | 10.i.c.<br>10.ii.c. |

[If at least one "Yes" in 5. through 10. ➜ Go to elder_mistreatment_3]
[Else ➜ Continue to elder_mistreatment_2]

## >elder_mistreatment_2<

Since you turned 60, has a family member or someone you spend a lot of time with ever been violent toward you in any way?

<0> No ➜ Go to demog_intro]
<1> Yes ➜ Continue to elder_mistreatment_3

## >elder_mistreatment_3<

Since you turned 60, has a family member or someone you spend a lot of time with ever:

| | If Yes | | |
|---|---|---|---|
| *Response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<d> Do not know*<br>*<r> Refused* | What is this person's relationship to you? (Select up to two: i, ii)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it that the person did this?<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 11. Kicked, bit or hit you with a fist? | 11.i.a.<br>11.ii.a. | 11.i.b.<br>11.ii.b. | 11.i.c.<br>11.ii.c. |
| 12. Hit or tried to hit you with something? | 12.i.a.<br>12.ii.a. | 12.i.b.<br>12.ii.b. | 12.i.c.<br>12.ii.c. |
| 13. Locked you in your room? | 13.i.a.<br>13.ii.a. | 13.i.b.<br>13.ii.b. | 13.i.c.<br>13.ii.c. |
| 14. Beat you up? | 14.i.a.<br>14.ii.a. | 14.i.b.<br>14.ii.b. | 14.i.c.<br>14.ii.c. |
| 15. Threatened you with a knife or gun? | 15.i.a.<br>15.ii.a. | 15.i.b.<br>15.ii.b. | 15.i.c.<br>15.ii.c. |
| 16. Used a knife or gun? | 16.i.a.<br>16.ii.a. | 16.i.b.<br>16.ii.b. | 16.i.c.<br>16.ii.c. |

[If 11. through 16. are all "No" ➜ Go to elder_mistreatment_4]
[Else ➜ Go to catchall]

## >elder_mistreatment_4<

| | If Yes | | | |
|---|---|---|---|---|
| *Response options for questions below:*<br>*<0> No*<br>*<1> Yes*<br>*<d> Do not know*<br>*<r> Refused* | What is this person's relationship to you? (Select up to two: i, ii)<br><1> Spouse/Partner<br><2> Your adult child<br><3> Son/Daughter in-law<br><4> Grandchild<br><5> Other relative<br><6> Neighbor<br><7> Friend<br><8> Other non-relative<br><9> Paid home care aid (attendant) | What was it that they did?<br><br>_____<br>_____<br>_____ | How many times has this happened in the past year?<br><0> Never<br><1> Once<br><2> 2 to 10 times<br><3> More than 10 times | How serious a problem is it that the person did this?<br><1> Not serious at all<br><2> Somewhat serious<br><3> Very serious |
| 17. Since you turned 60, has anyone done anything violent to you that you have not mentioned? | 17.i.a.<br>17.ii.a. | 17.i.b.<br>17.ii.b. | 17.i.c.<br>17.ii.c. | 17.i.d.<br>17.ii.d. |

## >catchall<

This study is about elder abuse and neglect. We have asked a number of questions about this topic, but I would like to ask one final question: have you ever experienced elder abuse or neglect?

<0> No

<1> Yes

<d> Do not know

<r> Refused

[If Yes]

Would you please describe the abuse or neglect you experienced?

_____

_____

## Demographics

### >demog_intro<

We'd like to ask a few questions about your background, just to make sure we're getting opinions from a wide variety of people.

### >hispanic<

Are you of Hispanic origin or descent, such as Mexican, Puerto Rican, Cuban, or some other Spanish background?
<0> No
<1> Yes
<d> Do not know
<r> Refused

### >ethnicity<

Would you say you are:
<1> African American or black
<2> Caucasian or white
<3> American Indian, Aleut, Eskimo
<4> Asian or Pacific Islander
<5> Something else (specify): _____
<d> Do not know
<r> Refused

### >education<

<1> 8th grade or less
<2> Some high school (but did not graduate)
<3> High school diploma or GED
<4> Post-high school other than college
<5> Some college
<6> College degree
<7> Post graduate
<d> Do not know
<r> Refused

### >homeown<

Do you [if marital="Married or partnered": and your spouse] own the place you are currently living in, do you pay rent, or do you live there rent free?
<1> Own home
<2> Rent
<3> Live rent free
<4> Other (specify): _____
<d> Do not know
<r> Refuses

## >hhinc <

I'm going to read you a list of income categories. Please tell me which of them best describes your total household income in 2008 before taxes from all sources.

<1> Less than $10,000
<2> 10 to under $20,000
<3> 20 to under $30,000
<4> 30 to under $40,000
<5> 40 to under $50,000
<6> 50 to under $75,000
<7> 75 to under $100,000
<8> 100 to under $150,000
<9> $150,000 or more
<d> Do not know
<r> Refused

## >gender<

*Recorded but not asked.*
*<1> Male*
*<2> Female*

## >contact<

May we contact you again in the future?
<0> No
<1> Yes

[If Yes]
What is the best phone number to reach you?
Phone: (____) _____- _____

May we have your mailing address so we can contact you by mail as well as by phone?
Address: _____
City: _____
State: _____
Zip code: _____

## >selfases<

How confident do you feel that you were able to correctly answer our questions? Would you say ...
<1> Completely confident
<2> Somewhat confident
<3> Gave it your best guess
<4> Not Confident at all
<d> Do not know
<r> Refused

## >post_letter<

[If intro=p (Requested post-interview letter)]
As promised, we can send you a letter to confirm the legitimacy of the study you just participated in. Would you like us to send a letter?
<0> No
<1> Yes

[If Yes and contact=0 (No)]
Address: _____
City: _____
State: _____
Zip code: _____

## >done<

You have completed the survey. Thank you very much for your time. Before I go, I want to let you know that that there is a toll-free hotline you can call if you are concerned about abuse that you or someone you are close to may have experienced. The number is 800.942.6906 (English) / 800.942.6908 (Spanish) and will connect you with a counselor experienced in handling issues of domestic abuse and violence.

## >invwases<

Post interview: How confident do you feel that the respondent was able to correctly answer the questions?
<1> Completely confident
<2> Somewhat confident
<3> Gave it your best guess
<4> Not Confident at all
<d> Do not know
<r> Refused

## >danger<

Post-interview: Do you believe the respondent was in any kind of danger?
<0> No
<1> Yes

[If Yes]
Please describe the nature of the danger and bring this case to a supervisor's attention.

_____
_____
_____
_____

# APPENDIX B

## DOCUMENTED CASE STUDY SURVEY

### 1. Introduction

Greetings:

You are being asked to participate in a research study with Cornell University, the New York City Department for the Aging, and Lifespan of Greater Rochester. The information collected from the questionnaire will help us to better quantify the documented cases of elder abuse in New York State.

Your participation is of critical importance as this is the first in-depth statewide study of elder abuse in the nation. Key stakeholders from a range of service systems are being asked to complete this questionnaire on aggregated cases of elder mistreatment.

By completing this questionnaire you are a agreeing to participate in this extremely important study. All information will be kept confidential and information will be reported in aggregate.

This project is being funded, in part, through the New York State Children and Family Trust Fund, a program administered under the NYS Office of Children and Family Services. Also, this project has received approval for the Protocol for Human Subject Research through the the Institutional Review Board (IRB) of Fordham University.

If you have any questions/concerns or need technical assistance, please contact either Dr. Patricia Brownell at Brownell@fordham.edu or Art Mason at amason@lifespan-roch.org.

Your help in this endeavor is greatly appreciated. Please note the questionnaire has 28 questions and we are asking that you complete this questionnaire within 4 weeks.

IF YOU SERVE MORE THAN ONE COUNTY, PLEASE FILL OUT A SURVEY FOR EACH COUNTY THAT YOU SERVE.

Before completing this form WE RECOMMEND THAT YOU REVIEW THE PDF VERSION of the questionnaire that you were sent previously to ensure that you have all necessary data readily available.

*** 1. I wish to participate in this survey. Completion and submission of this survey indicate consent to participate in this study.**

- ◯ Yes
- ◯ No

## 2. Elder Abuse Definitions

Although elder abuse is defined differently by individual service systems, for the purposes of this survey we are defining elder abuse in the following way:

Seniors (60+) who have experienced mistreatment (excluding self neglect) by a person that the senior has a trusting relationship with (excluding stranger crime).

EMOTIONAL ABUSE:
Willful infliction of mental or emotional anguish by threat, humiliation, intimidation or other abusive conduct, including but not limited to, frightening or isolating an adult.

FINANCIAL EXPLOITATION:
Improper use or wrongful taking of an adult's funds, property or resources by another individual, including but not limited to, fraud, false pretenses, embezzlement, conspiracy, forgery, falsifying records, coerced property transfers or denial of access to assets.

NEGLECT - ACTIVE or PASSIVE:
*Active neglect is the willful failure by the caregiver to fulfill care-taking functions and responsibilities assumed by the caregiver, including but not limited to, abandonment, willful deprivation of food, water, heat, clean clothing and bedding, eyeglasses or dentures, medicine or other health related services.
*Passive neglect is the non-willful failure of a caregiver to fulfill care-taking functions and responsibilities assumed by the caregiver, including but not limited to, abandonment or denial of food or health related services because of inadequate caregiver knowledge, infirmity, or disputing the value of prescribed services.

PHYSICAL ABUSE:
Non-accidental use of force that results in bodily injury, pain or impairment, including but not limited to, being slapped, burned, cut, bruised or improperly physically restrained.

SEXUAL ABUSE:
Non-consensual sexual contact of any kind, including but not limited to, forcing sexual contact or forcing sex with a third party.

## 3. Introductory Questions

*** 2. Name of organization**

*** 3. Type of organization (check all that apply):**

- ☐ Adult Protective Services
- ☐ Aging service provider
- ☐ Crime Victim's Board Funded Program - Elder abuse
- ☐ Crime Victim's Board Funded Program - Domestic violence
- ☐ Crime Victim's Board Funded Program - Tribal organization
- ☐ Crime Victim's Board Funded Program - Law enforcement
- ☐ Crime Victim's Board Funded Program - District attorney
- ☐ Crime Victim's Board Funded Program - Other (please specify in text box below)
- ☐ District Attorney
- ☐ Domestic Violence Provider (non-residential)
- ☐ Domestic Violence Provider (residential)
- ☐ Elder Abuse Provider
- ☐ Government
- ☐ Health Care (hospitals)
- ☐ Law Enforcement (police, sheriff, etc.)
- ☐ Not for profit
- ☐ Office for the Aging (Area Agency on Aging)
- ☐ Public housing
- ☐ Tribal organization
- ☐ Other

If you checked 'other,' please specify

*** 4. Organization serves the following geographic areas (select one only):**

- ◯ Entire State
- ◯ Specific Regions

## 4. Geographic area

*** 5. Which counties does your organization serve? (Please select all that apply):**

- ☐ Albany
- ☐ Allegany
- ☐ Broome
- ☐ Cattaraugus
- ☐ Cayuga
- ☐ Chautauqua
- ☐ Chemung
- ☐ Chenango
- ☐ Clinton
- ☐ Columbia
- ☐ Cortland
- ☐ Delaware
- ☐ Dutchess
- ☐ Erie
- ☐ Essex
- ☐ Franklin
- ☐ Fulton
- ☐ Genesee
- ☐ Greene
- ☐ Hamilton
- ☐ Herkimer
- ☐ Jefferson
- ☐ Lewis
- ☐ Livingston
- ☐ Madison
- ☐ Monroe
- ☐ Montgomery
- ☐ Nassau
- ☐ Niagara
- ☐ Oneida
- ☐ Onondaga
- ☐ Ontario
- ☐ Orange
- ☐ Orleans
- ☐ Oswego
- ☐ Otsego
- ☐ Putnam
- ☐ Rensselaer
- ☐ Rockland
- ☐ Saratoga
- ☐ Schenectady
- ☐ Schoharie
- ☐ Schuyler
- ☐ Seneca
- ☐ St Lawrence
- ☐ Steuben
- ☐ Suffolk
- ☐ Sullivan
- ☐ Tioga
- ☐ Tompkins
- ☐ Ulster
- ☐ Warren
- ☐ Washington
- ☐ Wayne
- ☐ Westchester
- ☐ Wyoming
- ☐ Yates
- ☐ New York City - Bronx
- ☐ New York City - Kings (Brooklyn)
- ☐ New York City - New York (Manhattan)
- ☐ New York City - Queens
- ☐ New York City - Richmond (Staten Island)

*** 6. How would you generally describe the area(s) your organization serves? (check all that apply):**

- ☐ Rural
- ☐ Suburban
- ☐ Urban
- ☐ Tribal Community

*** 7. For purposes of this study we ask that you complete a separate questionnaire for each county that you serve.**

**The following questionnaire represents information from which county?**

- ☐ Albany
- ☐ Allegany
- ☐ Broome
- ☐ Cattaraugus
- ☐ Cayuga
- ☐ Chautauqua
- ☐ Chemung
- ☐ Chenango
- ☐ Clinton
- ☐ Columbia
- ☐ Cortland
- ☐ Delaware
- ☐ Dutchess
- ☐ Erie
- ☐ Essex
- ☐ Franklin
- ☐ Fulton
- ☐ Genesee
- ☐ Greene
- ☐ Hamilton
- ☐ Herkimer
- ☐ Jefferson
- ☐ Lewis
- ☐ Livingston
- ☐ Madison
- ☐ Monroe
- ☐ Montgomery
- ☐ Nassau
- ☐ Niagara
- ☐ Oneida
- ☐ Onondaga
- ☐ Ontario
- ☐ Orange
- ☐ Orleans
- ☐ Oswego
- ☐ Otsego
- ☐ Putnam
- ☐ Rensselaer
- ☐ Rockland
- ☐ Saratoga
- ☐ Schenectady
- ☐ Schoharie
- ☐ Schuyler
- ☐ Seneca
- ☐ St Lawrence
- ☐ Steuben
- ☐ Suffolk
- ☐ Sullivan
- ☐ Tioga
- ☐ Tompkins
- ☐ Ulster
- ☐ Warren
- ☐ Washington
- ☐ Wayne
- ☐ Westchester
- ☐ Wyoming
- ☐ Yates
- ☐ New York City - Bronx
- ☐ New York City - Kings (Brooklyn)
- ☐ New York City - New York (Manhattan)
- ☐ New York City - Queens
- ☐ New York City - Richmond (Staten Island)

*** 8. Does your organization have a formal protocol in place to document elder abuse information?**

- ◯ Yes
- ◯ No

## 5. Unduplicated cases

*** 9. Are you able to give us information based on unduplicated cases of elder abuse?**

**An unduplicated case = a person who has returned to your organization multiple times for assistance in one year but is only counted once.**

- ◯ Yes
- ◯ No
- ◯ Partial

If partial please explain which fields are based on unduplicated cases.

**6.**

*** 10. What % of your cases would be considered unduplicated?**

**If you don't know - please write 99999 in the box.**

## 7. Year of data

We are interested in gathering data based on UNDUPLICATED cases during a calendar year (January 2008 to December 2008).

If you have LESS THAN 6 months of data for 2008 please respond based on ONLY 2007 data (January 2007 to December 2007).

If you DO NOT TRACK unduplicated cases, then record the number of duplicated cases.

### 11. Which calendar year are you basing your data?

- ◯ '08
- ◯ '07
- ◯ Can't complete data for either year (Please note technical assistance will contact you.)

## 8. Total and type of cases

Please answer the following questions, as best as possible, based on all UNDUPLICATED cases served during the calendar year.

If you do not capture specific demographic information for a particular category, please DO NOT put in your best estimate - indicate "don't know"

If you do not track unduplicated cases, then record the number of duplicated cases.

Please note: IF YOU SERVE MORE THAN ONE COUNTY PLEASE COMPLETE A SEPARATE QUESTIONNAIRE FOR EACH COUNTY THAT YOU SERVE. IF YOU ARE UNABLE TO DO THIS, PLEASE CONTACT EITHER DR. PAT BROWNELL AT Brownell@fordham.edu OR ART MASON AT amason@lifespan-roch.org.

*** 12. How many total elder abuse and neglect (excluding self neglect) victims did you assist in the calendar year?**

**If you don't know - please write 99999 in the box.**

Number

*** 13. What types of mistreatment do you have in your caseload (please check all that apply)?**

- ☐ Emotional abuse
- ☐ Financial exploitation
- ☐ Neglect (excluding self neglect)
- ☐ Physical abuse
- ☐ Sexual abuse

*** 14. How many of these were victims of: (A victim may suffer from multiple types of mistreatment, please count all that apply)**

**If you don't know - please write 99999 in the box.**

Emotional abuse

Financial exploitation

Neglect (excluding self neglect)

Physical abuse

Sexual abuse

## 9. Profile of Elder Abuse Victims

Please answer the following questions, as best as possible, based on all UNDUPLICATED cases served during the calendar year.

If you do not capture specific demographic information for a particular category, please DO NOT put in your best estimate - indicate "don't know"

If you do not track unduplicated cases, then record the number of duplicated cases.

*** 15. Major age categories of victims:**

**If you don't know - please write 99999 in the box.**

60+ ☐

65+ ☐

85+ ☐

*** 16. Detailed age information of victims:**

**If you don't know - please write 99999 in the box.**

60-64 ☐

65-74 ☐

75-84 ☐

85+ ☐

*** 17. How many victims are:**

**If you don't know - please write 99999 in the box.**

Male ☐

Female ☐

*** 18. How many victims are:**

**If you don't know - please write 99999 in the box.**

African-American/Black ☐

Asian ☐

Hispanic/Latino ☐

Native American ☐

White/Caucasian ☐

Other ☐

*** 19. How many victims:**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Live alone | |
| Live with spouse/partner | |
| Live with own children | |
| Live with sons-in-law or daughters-in-law | |
| Live with grandchildren | |
| Live with other relatives | |
| Live with other non-relatives | |

**20. If you indicated "other relatives" or "other non-relatives" please give examples of other relatives and other non-relatives.**

*** 21. How many victims live with their abuser**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Lives with abuser | |

*** 22. How many victims live below the poverty line:**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Live below the Poverty Line | |

## 10. Profile of Perpetrators of Elder Abuse

Please answer the following questions, as best as possible, based on all UNDUPLICATED cases served during the calendar year.

If you do not capture specific demographic information for a particular category, please DO NOT put in your best estimate - indicate "don't know."

If you do not track unduplicated cases, then record the number of duplicated cases.

*** 23. How many perpetrators of elder abuse are:**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Total | |
| <18 | |
| 18-45 | |
| 46-59 | |
| 60+ | |

*** 24. How many perpetrators of elder abuse are:**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Male | |
| Female | |

*** 25. How many perpetrators of elder abuse are:**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Spouse/partner | |
| Own adult children | |
| Son-in-law/Daughter-in-law | |
| Grandchild | |
| Friends/neighbors | |
| Paid home care aide/attendant | |
| Other relatives | |
| Other non-relatives | |

**26. If you provided a number for 'other relatives' or 'other non-relatives', please give examples of the relationships of the perpetrators to the victim.**

**27. Please indicate how many perpetrators are adult grandchildren and how many are minor grandchildren.**

**If you don't know - please write 99999 in the box.**

Grandchild (adult) ☐

Grandchild (minor, <18) ☐

## 11. Referrals

Please answer the following questions, as best as possible, based on all UNDUPLICATED cases served during the calendar year.

If you do not capture specific demographic information for a particular category, please DO NOT put in your best estimate - indicate "don't know"

If you do not track unduplicated cases, then record the number of duplicated cases.

*** 28. Where do you receive your referrals from (Provide the number of vicitms referred from the following referral sources):**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Adult Protective Services | |
| DA's office | |
| Domestic violence program | |
| Elder abuse program | |
| Law Enforcement (police, sheriff, etc.) | |
| Community agency | |
| Financial institution | |
| Health care provider | |
| Homecare | |
| Office for the Aging | |
| The victim | |
| The perpetrator | |
| Family member | |
| Friend/Neighbor | |
| Concerned citizen | |
| Anonymous | |
| Other | |

**29. If you provided a number for 'other,' please specify who your other referrals come from.**

*** 30. Where do you refer to (Provide the number of victims referred to the following referral sources):**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Adult Protective Services | |
| Community Agency | |
| DA's office | |
| Domestic violence programs | |
| Elder abuse programs | |
| Family Court | |
| Health care providers | |
| Law Enforcement (police, sheriff, etc.) | |
| Office for the Aging | |
| Other | |

**31. If you provided a number for 'other,' please give some examples of other places you refer cases.**

*** 32. In how many cases was a Domestic Incident Report (DIR) completed?**

**If you don't know - please write 99999 in the box.**

| | |
|---|---|
| Number of DIRs completed | |

## 12. More information

*** 33. If follow-up is needed, whom can we contact?**

**Name:**

**Title:**

**Email Address:**

**Phone Number:**

## 13. Thank you!

Thank you!! Your time is appreciated.

# APPENDIX C

## DOCUMENTED CASE STUDY
## AGGREGATE CASE DATA BY REGION

| ELDER ABUSE AGGREGATE REGIONAL DATA | New York City | Long Island | Mid-Hudson Region |
|---|---|---|---|
| **SERVICE SYSTEM INFORMATION** | | | |
| **Type of Abuse** | **Total Number of Agencies = 50** | **Total Number of Agencies =10** | **Total Number of Agencies = 30** |
| Emotional Abuse | 76.00% | 90.00% | 90.00% |
| Financial Abuse | 80.00% | 90.00% | 83.33% |
| Neglect | 64.00% | 50.00% | 50.00% |
| Physical | 82.00% | 90.00% | 83.33% |
| Sexual | 46.00% | 60.00% | 16.67% |
| **VICTIM INFORMATION** | | | |
| | **Total Number of Victims = 6780** | **Total Number of Victims = 2021** | **Total Number of Victims = 1165** |
| | **Total Number of Agencies = 47** | **Total Number of Agencies = 10** | **Total Number of Agencies = 28** |
| Emotional Abuse | 48.13% | 63.66% | 40.19% |
| Financial Abuse | 34.72% | 15.91% | 28.36% |
| Neglect | 10.94% | 9.66% | 11.51% |
| Physical | 44.15% | 26.68% | 34.36% |
| Sexual | 0.71% | 1.66% | 0.32% |
| **Age Groups** | | | |
| 60-64 | 24.85% | 5.61% | 2.85% |
| 65-74 | 35.12% | 53.08% | 48.26% |
| 75-84 | 26.37% | 30.09% | 31.14% |
| 85+ | 13.67% | 11.21% | 17.74% |
| **Total*** | **89.34%** | **79.42%** | **69.18%** |
| **Age Cumulative** | | | |
| 60+ | 100.00% | 100.00% | 100.00% |
| 65+ | 67.12% | 74.96% | 67.21% |
| 85+ | 12.21% | 8.91% | 12.27% |
| **Gender** | | | |
| Male | 33.84% | 27.19% | 30.91% |
| Female | 66.16% | 72.81% | 69.09% |
| **Total*** | **90.27%** | **78.97%** | **78.03%** |
| **Race/Ethnicity** | | | |
| African American | 33.12% | 18.29% | 17.50% |
| Asian/Pacific Islander | 4.93% | 0.78% | 0.56% |
| Hispanic/Latino | 25.92% | 3.32% | 6.80% |
| Native American/Aleut Eskimo | 0.31% | 0.26% | 0.00% |
| Caucasian | 33.40% | 68.82% | 65.89% |
| Race Other | 2.32% | 8.53% | 9.25% |
| **Total*** | **52.68%** | **76.00%** | **77.00%** |

**Total = percentage of cases reporting data in the category*

| Capital Region, Mohawk Valley, North Country | Central New York, Southern Tier | Finger Lakes | Western New York |
|---|---|---|---|
| **SERVICE SYSTEM INFORMATION** | | | |
| **Total Number of Agencies = 66** | **Total Number of Agencies = 39** | **Total Number of Agencies = 33** | **Total Number of Agencies = 21** |
| 74.24% | 82.05% | 75.76% | 76.47% |
| 74.24% | 69.23% | 81.82% | 70.59% |
| 43.94% | 33.33% | 39.39% | 52.94% |
| 77.27% | 87.18% | 69.70% | 76.47% |
| 19.70% | 20.51% | 21.21% | 29.41% |
| **VICTIM INFORMATION** | | | |
| **Total Number of Victims = 1083** | **Total Number of Victims = 700** | **Total Number of Victims = 923** | **Total Number of Victims = 676** |
| **Total Number of Agencies = 62** | **Total Number of Agencies = 36** | **Total Number of Agencies = 31** | **Total Number of Agencies = 19** |
| 43.47% | 50.00% | 28.26% | 29.91% |
| 31.09% | 36.60% | 43.35% | 39.29% |
| 8.61% | 15.85% | 10.36% | 10.94% |
| 36.07% | 39.81% | 24.94% | 31.25% |
| 1.48% | 3.02% | 0.38% | 1.56% |
| | | | |
| 12.77% | 11.76% | 9.22% | 6.70% |
| 53.80% | 51.39% | 39.76% | 46.17% |
| 25.63% | 25.70% | 35.93% | 33.97% |
| 7.80% | 11.15% | 15.09% | 13.16% |
| **91.14%** | **92.29%** | **90.47%** | **61.83%** |
| | | | |
| 100.00% | 100.00% | 100.00% | 100.00% |
| 79.50% | 81.14% | 82.12% | 57.69% |
| 7.11% | 10.29% | 13.65% | 8.14% |
| | | | |
| 34.03% | 33.87% | 36.61% | 31.33% |
| 65.97% | 66.13% | 63.39% | 68.67% |
| **88.18%** | **88.57%** | **89.38%** | **71.30%** |
| | | | |
| 9.20% | 4.24% | 13.15% | 9.74% |
| 0.23% | 0.51% | 0.22% | 0.00% |
| 1.93% | 0.68% | 2.16% | 1.95% |
| 2.05% | 1.02% | 1.94% | 0.22% |
| 76.59% | 67.29% | 74.57% | 64.07% |
| 10.00% | 26.27% | 7.97% | 24.03% |
| **81.26%** | **84.29%** | **50.27%** | **68.34%** |

## AGGREGATE CASE DATA BY REGION (continued)

| ELDER ABUSE AGGREGATE REGIONAL DATA | New York City | Long Island | Mid-Hudson Region |
|---|---|---|---|
| **Living Arrangement** | | | |
| Alone | 46.95% | 31.33% | 56.57% |
| Spouse/Partner | 12.70% | 23.69% | 17.74% |
| Children | 11.94% | 37.75% | 18.04% |
| Son/Daughter In Law | 12.70% | 3.61% | 0.92% |
| Grandchild | 7.48% | 8.84% | 3.06% |
| Other Relative | 5.28% | 3.61% | 3.36% |
| Other Non Relative | 5.28% | 12.05% | 9.48% |
| **Lives with Abuser** | | | |
| Lives With Abuser | 27.96% | 35.46% | 66.67% |
| **Poverty** | | | |
| Below Poverty | 96.92% | 0.00% | 31.53% |
| **ABUSER INFORMATION** | | | |
| | **Total Number of Abusers = 5778** | **Total Number of Abusers = 1521** | **Total Number of Abusers = 668** |
| | **Total Number of Agencies = 38** | **Total Number of Agencies = 8** | **Total Number of Agencies = 19** |
| **Age Groups** | | | |
| 18 or younger | 2.63% | 8.19% | 7.68% |
| 18-45 | 50.08% | 43.65% | 44.57% |
| 46-59 | 27.70% | 25.96% | 25.09% |
| 60 and older | 19.58% | 22.19% | 22.66% |
| **Total*** | **31.55%** | **90.66%** | **79.94%** |
| **Gender** | | | |
| Male | 68.90% | 65.14% | 66.87% |
| Female | 31.10% | 34.86% | 33.13% |
| **Total Gender*** | **68.40%** | **97.50%** | **98.95%** |
| **Relationship** | | | |
| Spouse/Partner | 29.07% | 24.03% | 23.02% |
| Own Adult Children | 36.24% | 47.99% | 43.14% |
| Son-in-law/Daughter-in-law | 3.57% | 0.27% | 0.15% |
| Grandchild | 8.71% | 9.15% | 10.37% |
| Friends/Neighbors | 4.68% | 1.02% | 1.37% |
| Paid Home Attendant | 1.19% | 0.00% | 0.46% |
| Other Relatives | 9.12% | 16.66% | 17.07% |
| Other non-relatives | 7.42% | 0.89% | 4.42% |
| **Total relationship*** | **63.95%** | **96.32%** | **98.20%** |

**Total = percentage of cases reporting data in the category*

| Capital Region, Mohawk Valley, North Country | Central New York, Southern Tier | Finger Lakes | Western New York |
|---|---|---|---|
| | | | |
| 43.47% | 33.22% | 49.67% | 61.93% |
| 31.09% | 22.03% | 24.18% | 11.36% |
| 8.61% | 25.87% | 14.38% | 13.64% |
| 36.07% | 1.75% | 0.00% | 0.00% |
| 1.48% | 9.44% | 4.58% | 2.84% |
| 43.47% | 7.69% | 4.58% | 1.14% |
| 31.09% | 19.23% | 11.11% | 12.50% |
| | | | |
| 61.73% | 55.24% | 59.02% | 66.93% |
| | | | |
| 48.21% | 58.18% | 58.96% | 57.89% |
| | | | |
| **Total Number of Abusers = 855** | **Total Number of Abusers = 523** | **Total Number of Abusers = 777** | **Total Number of Abusers = 408** |
| **Total Number of Agencies = 49** | **Total Number of Agencies = 34** | **Total Number of Agencies = 26** | **Total Number of Agencies = 11** |
| | | | |
| 12.76% | 16.30% | 8.92% | 11.39% |
| 41.51% | 39.51% | 38.17% | 42.62% |
| 21.46% | 20.99% | 26.76% | 26.16% |
| 24.26% | 23.21% | 26.14% | 19.83% |
| **83.39%** | **77.44%** | **62.03%** | **58.09%** |
| | | | |
| 65.25% | 65.95% | 56.61% | 65.47% |
| 34.75% | 34.05% | 43.39% | 34.53% |
| **99.30%** | **98.28%** | **97.30%** | **95.83%** |
| | | | |
| 24.63% | 24.28% | 21.35% | 17.29% |
| 37.87% | 34.42% | 43.78% | 39.35% |
| 1.23% | 2.68% | 0.31% | 0.00% |
| 12.01% | 12.05% | 9.06% | 10.53% |
| 1.59% | 3.44% | 6.14% | 5.76% |
| 0.25% | 0.57% | 0.15% | 0.25% |
| 18.87% | 16.25% | 11.67% | 18.30% |
| 3.55% | 6.31% | 7.53% | 8.52% |
| **95.44%** | **100.00%** | **83.78%** | **97.79%** |

## AGGREGATE CASE DATA BY REGION (continued)

| ELDER ABUSE AGGREGATE REGIONAL DATA | New York City | Long Island | Mid-Hudson Region |
|---|---|---|---|
| **REFERRAL INFORMATION** | | | |
| **Referral From** | | | |
| Adult Protective Services | 0.40% | 1.83% | 3.36% |
| Community Agency | 9.76% | 2.90% | 4.62% |
| District Attorney | 5.90% | 0.00% | 6.30% |
| Domestic Violence Programs | 0.64% | 0.31% | 0.00% |
| Elder Abuse Programs | 3.40% | 0.00% | 0.00% |
| Financial Institution | 0.48% | 1.53% | 0.84% |
| Health Care Provider | 8.19% | 5.80% | 16.39% |
| Homecare | 3.55% | 4.89% | 6.72% |
| Law Enforcement | 25.60% | 2.75% | 9.24% |
| Office for the Aging | 2.38% | 1.07% | 5.88% |
| Anonymous | 6.14% | 1.83% | 2.10% |
| Concerned Citizen | 1.07% | 0.15% | 1.26% |
| Family Member | 15.43% | 6.26% | 13.45% |
| Friends/Neighbors | 4.29% | 2.14% | 3.78% |
| Perpetrator | 0.05% | 0.00% | 0.42% |
| Victim | 14.71% | 64.58% | 5.88% |
| Other total | 3.38% | 5.04% | 20.17% |
| **Referral To** | | | |
| Adult Protective Services | 18.72% | 4.71% | 27.97% |
| Community Agency | 21.60% | 69.58% | 11.02% |
| District Attorney | 3.20% | 68.24% | 0.85% |
| Domestic Violence Programs | 5.26% | 10.42% | 14.41% |
| Elder Abuse Programs | 23.84% | 0.00% | 1.69% |
| Family Court | 2.47% | 69.41% | 0.85% |
| Health Care Provider | 10.66% | 60.17% | 15.25% |
| Law Enforcement | 5.77% | 69.41% | 2.54% |
| Office for the Aging | 1.97% | 0.00% | 0.85% |
| Other | 26.50% | 4.37% | 25.42% |
| **Percentage of Victims Not Referred to Other Agenices** | **54.76%** | **8.66%** | **35.71%** |
| **Percentage of Agencies Reporting No Victim Referrals At All** | **46.81%** | **20.00%** | **28.57%** |
| **Domestic Incident Reports (DIRs)** | | | |
| Percentage of cases with completed DIRs | 4.62% | 100.00% | 92.55% |

| Capital Region, Mohawk Valley, North Country | Central New York, Southern Tier | Finger Lakes | Western New York |
|---|---|---|---|
| | | | |
| | | | |
| 3.46% | 33.22% | 5.04% | 1.83% |
| 3.14% | 7.69% | 7.72% | 8.54% |
| 1.89% | 22.03% | 0.79% | 0.00% |
| 3.14% | 25.87% | 1.89% | 0.00% |
| 0.00% | 1.75% | 0.31% | 0.00% |
| 1.26% | 19.23% | 1.89% | 7.93% |
| 9.75% | 33.22% | 9.29% | 14.02% |
| 4.09% | 22.03% | 6.61% | 4.88% |
| 24.84% | 9.44% | 32.44% | 7.32% |
| 5.35% | 25.87% | 0.79% | 2.44% |
| 2.20% | 4.46% | 1.26% | 3.66% |
| 0.63% | 0.74% | 0.31% | 1.22% |
| 8.81% | 13.38% | 15.43% | 14.02% |
| 3.14% | 5.95% | 1.10% | 4.27% |
| 0.00% | 0.00% | 0.00% | 0.00% |
| 9.75% | 5.95% | 3.94% | 6.10% |
| 19.81% | 11.90% | 34.33% | 23.78% |
| | | | |
| 20.36% | 30.83% | 38.38% | 20.00% |
| 25.34% | 24.81% | 27.27% | 6.00% |
| 8.14% | 8.27% | 4.04% | 8.00% |
| 24.89% | 32.33% | 24.24% | 30.00% |
| 2.26% | 4.51% | 5.05% | 6.00% |
| 12.67% | 18.80% | 5.05% | 6.00% |
| 25.34% | 42.86% | 30.30% | 26.00% |
| 7.69% | 34.59% | 6.06% | 10.00% |
| 7.69% | 27.82% | 9.09% | 6.00% |
| 17.19% | 18.05% | 12.12% | 20.00% |
| **16.90%** | **12.57%** | **21.78%** | **14.20%** |
| **29.03%** | **19.44%** | **19.35%** | **31.58%** |
| | | | |
| 92.70% | 97.07% | 46.79% | 98.36% |

# APPENDIX D

## DOCUMENTED CASE STUDY DATA BY REGION

### DISCUSSION

Of those agencies/programs that reported serving elder abuse victims and could provide aggregate elder abuse case data, not all could provide aggregate elder abuse case data for every data element requested. Requested data elements included:

- Total number of elder abuse and neglect victims assisted in the calendar year
- Types of elder abuse on caseload
- Number of victims suffering from each type of abuse
- Age categories of victims and abusers
- Gender of victims and abusers
- Race/ethnicity of victims
- Relationship of abusers to victims
- Poverty status of victims
- From what sources responding agency/program received elder abuse case referrals
- To what programs/services responding agency/program made elder abuse case referrals

Documented case study data by region must be understood within the context of the total aggregate number of victims that were reported by respondent agencies in each region and whether those responding agencies/programs that reported serving elder abuse victims were able to provide responses to every requested data element. This appended regional report focuses on aggregate data elements for reported elder abuse victims served in calendar year 2008.

Respondents were asked to provide elder abuse case level data in the aggregate for each data element. The following discussion of findings by region for each data element reflects aggregate case data as reported by respondent agencies/programs. In each region, there are varying levels of missing data for each data element. Data elements by region are reported only if at least 50% of aggregate victim data was reported for that element in completed surveys.

Consistent reporting of data on poverty, Domestic Incident Reports (DIRs) and living arrangements of victims was not available for all regions.

## REGION 1: NEW YORK CITY

Region 1 is comprised of five counties within the New York City area; in total, 5,303 victims of elder abuse were served throughout Region 1, yielding a rate of 3.8 per 1,000 older adults.

### Type of Abuse

When types of abuse were reported, 48.1% of reported victims experienced emotional abuse; 34.7% experienced financial abuse; 10.9% experienced neglect; 44.2% experienced physical abuse and .71% experienced sexual abuse. Aggregate data reported included victims who experienced multiple forms of abuse. For example, elder abuse victims who were provided services for both physical and emotional abuse could be included in aggregate data reported in both categories.

### Age Groups of Victims

When age groups of victims were reported, 24.9% were reported in the 60-64 age category; 35.1% were reported in the 65-74 age category: 26.4% were reported in the 75-84 age category and 13.7% were reported in the 85+ age category.

### Gender of Victims

When gender of victims was reported, 33.8% were identified as male victims and 66.2% were identified as female victims.

### Race/Ethnicity of Victims

When race/ethnicity of victims was reported, 33.1% were reported as African-American; 4.9% as Asian/Pacific Islander; 25.9% as Hispanic/Latino; 0.31% as Native American/Aleut Eskimo; 33.4% as Caucasian and 2.3% victims were reported as "other race."

## ABUSER INFORMATION

When aggregate abuser data were reported, a total of 5,778 abusers were identified in the five counties of Region 1 during calendar year 2008.

### Age Groups of Abusers

When age category of abusers was reported, 2.6% of abusers were identified as 18 years of age or younger; 50.1% were in the 18-45 years of age category; 27.7% were in the 46-59 age category and 19.6% were in the age category of 60 years and older.

### Abuser Gender

When gender of abusers was reported, 68.9% were male abusers and 31.1% female abusers.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships was reported, victims' abusers included spouses or partners, 29.1%; own adult children, 36.2%; sons or daughters-in-law, 3.6%; grandchildren, 8.7%; friends or neighbors, 4.7%; paid home care workers, 1.2%; other relatives, 9.1% and other non-relatives, 7.4%.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victim referrals were received from both formal and informal sources:

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 1 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (0.40%), district attorneys (5.9%), domestic violence programs (0.64%), elder abuse programs (3.4%), law enforcement (25.6%), community-based agencies such as Office of Victim Services programs (9.8%), financial institutions (0.48%), healthcare programs (8.2%), homecare programs (3.6%), and Area Agencies on Aging (2.4%).

### Informal system referrals

Respondent agency/programs in Region 1 also received referrals from elder abuse victims themselves (14.7%), perpetrators (0.05%), family members (15.4%), friends and neighbors (4.3%), concerned citizens (1.1%) and anonymous sources (6.1%).

A total of 3.4% of victims in Region 1 were referred from "other referral sources," both formal and informal, including: colleague, attorney, government, hospital and media.

## INFORMATION ON REFERRALS MADE BY RESPONDENT AGENCIES TO OTHER SERVICES AND PROGRAMS

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 18.7% victims were referred to Adult Protective Services. Respondent agency/programs reported referring 21.6% of cases to community-based agencies such as Office of Victim Services programs, 3.2% to district attorneys' offices, 5.3% to domestic violence programs, 23.8% to elder abuse programs, 2.5% to Family Court, 10.7% to healthcare services, 5.8% to law enforcement, 2% to Area Agencies on Aging and 26.5% of cases to "other." Referrals to "other" in Region 1 included referrals for financial assistance, housing, immigration, lock replacement and legal services.

## REGION 2: LONG ISLAND

Region 2 consists of two counties, Nassau and Suffolk, within the Long Island area; in total, 1,998 victims of elder abuse were served throughout Region 2, yielding a rate of 3.6 per 1,000 older adults.

### Type of Abuse

When types of abuse were reported, 63.7% of reported victims experienced emotional abuse; 15.9% experienced financial abuse; 9.7% experienced neglect; 26.7% experienced physical abuse and 1.7% experienced sexual abuse.

### Age Groups of Victims

When age categories of victims were reported, 5.6% victims were in the 60-64 age category, 53.1% were in the 65-74 age category, 30.1% were in the 75-84 age category, and 11.2% were in the 85+ age category.

### Gender of Victims

When gender of victims was reported, 27.2% victims were reported as male victims and 72.8% were reported as female victims.

### Race/Ethnicity of Victims

When victims' race/ethnicity was reported, 18.3% victims were African-American; 0.78% were Asian/Pacific Islander; 3.3% were Hispanic/Latino; 0.26% were Native American/Aleut Eskimo; 68.8% were Caucasian; and 8.5% were identified as "other race."

### Lives with Abuser

When victims' living arrangements with their abusers were reported, over one-third (35.5%) of identified victims were reported to be living with their abusers.

## ABUSER INFORMATION

When aggregate data on abusers of elder abuse victims was reported in Region 2, a total of 1,521 abusers were identified in the two counties (Nassau and Suffolk) of Region 2 during calendar year 2008.

### Age Groups of Abusers

When age categories of abusers were identified, 8.2% of abusers were reported to be younger than 18 years of age; 43.7% were in the 18-45 years of age category; 26% were in the 46-59 age category and 22.2% were in the age category of 60 years and older.

### Abuser Gender

When gender of abusers was identified, 65.1% abusers were male and 34.9% abusers were female.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships was reported, 24% were spouses or partners; 48% were victims' own adult children; 0.27% were victims' sons or daughters-in-law; 9.2% were victims' grandchildren; 1% were friends or neighbors; 16.7% were other relatives and 0.90% were other non-relatives. No respondent agency/program reported that paid home care workers were abusers.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victim referrals were received from both formal and informal sources:

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 2 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (1.8%); no referrals were received from district attorneys; domestic violence programs (0.31%); no referrals were received from elder abuse programs; law enforcement (2.8%); community-based agencies such as Office of Victim Services programs (2.9%); financial institutions (1.5%); healthcare programs (5.8%); homecare programs (4.9%) and Area Agencies on Aging (1.1%).

### Informal system referrals

Respondent agency/programs in Region 2 also received referrals from elder abuse victims themselves (64.6%); no referrals were received from perpetrators; family members (6.3%); friends and neighbors (2.1%); concerned citizens (0.15%) and anonymous sources (1.8%).

A total of 5% of victims in Region 2 were referred from "other referral sources," both formal and informal, including acquaintances, building manager, social worker, department of social services, housing authorities and private therapies (sic).

## INFORMATION ON REFERRALS TO RESPONDENT AGENCIES

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 4.7% of elder abuse victims were referred to Adult Protective Services, 69.6% to community-based agencies such as Office of Victim Services programs, 68.2% to district attorneys' offices, 10.4% to domestic violence programs, none to

elder abuse programs, 69.4% to Family Court, 60.2% to healthcare services, 69.4% to law enforcement, none to Area Agencies on Aging and 4.4% to "other."

Referrals to "other" in Region 2 included referrals to Veterans Affairs and therapeutic services.

## REGION 3: MID-HUDSON

Region 3 consists of seven counties located within the Mid-Hudson area; in total, 1,031 victims of elder abuse were served throughout Region 3, yielding a rate of 2.5 per 1,000 older adults.

### Type of Abuse

When types of abuse were reported, 40.2% of victims experienced emotional abuse; 28.4% experienced financial abuse; 11.5% experienced neglect; 34.4% experienced physical abuse and 0.32% experienced sexual abuse.

### Age Groups of Victims

When victims' age categories were reported, 2.9% victims were reported to be in the 60-64 age category; 48.3% were in the 65-74 age category; 31.1% were in the 75-84 age category and 17.7% were in the 85+ age category.

### Gender of Victims

When victims' gender was reported, 30.9% victims were male victims and 69.1% were female victims.

### Race/Ethnicity of Victims

When victims' race/ethnicity was reported, 17.5% of victims were reported as African-American; 0.56% were Asian/Pacific Islander; 6.8% were Hispanic/Latino; no victims of abuse were Native American/Aleut Eskimo; 65.9% were Caucasian and 9.3% were identified as "other race."

### Lives with Abuser

When victims' living arrangements with their abusers were reported, over two-thirds (66.7%) of identified victims lived with their abusers.

## ABUSER INFORMATION

A total of 19 respondent agencies/programs within Region 3 were able to provide some aggregate data on abusers of elder abuse victims, representing 668 abusers in the seven counties throughout Region 3 during calendar year 2008.

### Age Groups of Abusers

When age categories of abusers were reported, 7.7% of abusers were identified as younger than 18 years of age; 44.6% were in the 18-45 age category; 25.1% were in the 46-59 age category and 22.7% were in the age category of 60 years and older.

### Abuser Gender

When gender of abusers was identified, 66.9% of abusers were male and 33.1% were female.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships was reported, 23% were spouses or partners; 43.1% were victims' own adult children; 0.15% were victims' sons or daughters-in-law; 10.4% were victims' grandchildren; 1.4% were friends or neighbors; 0.46% were paid home care workers; 17.1% were other relatives and 4.4% were other non-relatives.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victims were referred to respondent agencies/programs from both formal and informal sources.

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 3 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (3.4%), district attorneys (6.3%), law enforcement (9.2%), community-based agencies such as Office of Victim Services programs (4.6%), financial institutions (0.84%), healthcare programs (16.4%), homecare programs (6.7%) and Area Agencies on Aging (5.9%).

### Informal system referrals

Respondent agency/programs in Region 3 also received referrals from elder abuse victims themselves (5.9%), perpetrators (0.42%), family members (13.5%), friends and neighbors (3.8%), concerned citizens (1.3%) and anonymous sources (2.1%).

A total of 20% of victims in Region 3 were also referred from "other referral sources," both formal and informal, including: landlord, apartment manager, acquaintance, places of worship, attorneys, social services, courts and Medicaid unit.

## INFORMATION ON REFERRALS TO RESPONDENT AGENCIES

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 28% of victims were referred to Adult Protective Services, 11% to community-based agencies such as Office of Victim Services programs, 0.85% to district attorneys' offices, 14.4% to domestic violence programs, 1.7% to elder abuse programs, 0.85% to Family Court, 15.3% to healthcare services, 2.5% to law enforcement, 0.85% to Area Agencies on Aging and 25.4% cases to "other."

Referrals to "other" in Region 3 included referrals to department of social services, Veterans Affairs and legal services.

## REGION 4: CAPITAL REGION, MOHAWK VALLEY, AND NORTH COUNTRY

Region 4 consists of twenty counties located within the Capital Region, Mohawk Valley, and North Country area; in total, 1,018 victims of elder abuse were served throughout Region 4, yielding a rate of 2.7 per 1,000 older adults.

### Type of Abuse

When types of abuse were identified, 43.5% of victims were reported as experiencing emotional abuse; 31.1% financial abuse; 8.6% neglect; 36.1% physical abuse and 1.5% sexual abuse.

### Age Groups of Victims

When age categories of victims were identified, 12.8% of victims were in the 60-64 years age category; 53.8% in the 65-74 years age category; 25.6% in the 75-84 years age category and 7.8% were in the 85 years and older age category.

### Gender of Victims

When victims' gender was reported, 34% victims were male and 66% were female.

### Race/Ethnicity of Victims

When victims' race/ethnicity was reported, 9.2% of victims were reported as African-American; 0.23% were Asian/Pacific Islander; 1.9% were Hispanic/Latino; 2.1% were Native American/Aleut Eskimo; 76.6% were Caucasian and 10% were "other race."

## ABUSER INFORMATION

A total of 49 respondent agencies/programs within Region 4 reported information on abusers of elder abuse victims, representing 855 abusers in the twenty counties throughout Region 4 during calendar year 2008.

### Age Groups of Abusers

When age categories of abusers were reported, 12.8% abusers were younger than 18 years of age; 41.5% were in the 18-45 years of age category; 21.5% were in the 46-59 age category; and 24.3% were in the age category of 60 years and older.

### Abuser Gender

When gender of abusers was reported, 65.3% of abusers were male and 34.8% female.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships was reported, 24.6% were reported as spouse/partners; 37.9% adult children; 1.2% sons-in-law /daughters-in-law; 12% grandchildren; 1.6% friends/neighbors; 0.25% home attendants; 18.9% other relatives and 3.6% non-relatives.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victim referrals were received from both formal and informal sources.

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 4 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (3.5%), district attorneys (1.9%), domestic violence programs (3.1%), elder abuse programs (none-0%), law enforcement (24.8%), community-based agencies such as Office of Victim Services programs (3.1%), financial institutions (1.3%), healthcare programs (9.8%), homecare programs (4.1%), and Area Agencies on Aging (5.4%).

### Informal system referrals

Respondent agency/programs in Region 4 also received referrals from elder abuse victims themselves (9.8%), perpetrators (none - 0%), family members (8.8%), friends and neighbors (3.1%), concerned citizens (0.63%), anonymous sources (2.2%).

A total of 19.8% of victims in Region 4 were referred from "other referral sources," both formal and informal, including: landlords, acquaintance, Family Court, social services, Veterans Affairs, Joint Council on Economic Opportunity, and heating and cooling company.

## INFORMATION ON REFERRALS TO RESPONDENT AGENCIES

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 20.4% of victims were referred to Adult Protective Services, 25.3% to community-based agencies such as Office of Victim Services programs, 8.1% to district attorneys' offices, 24.9% to domestic violence programs, 2.3% to elder abuse programs, 12.7% to Family Court, 25.3% to healthcare services, 7.7% to law enforcement, 7.7% to Area Agencies on Aging and 17.2% to "other."

Referrals to "other" in Region 4 included referrals to landlords and houses of worship and for housing, food and social services.

## REGION 5: CENTRAL NEW YORK AND SOUTHERN TIER

Region 5 consists of thirteen counties located within the Central New York and Southern Tier area; in total, 641 victims of elder abuse were served throughout Region 5, yielding a rate of 2.3 per 1,000 older adults.

### Type of Abuse

When types of abuse were reported, 50% of victims were reported as experiencing emotional abuse; 36.6% experienced financial abuse; 15.9% experienced neglect; 39.8% experienced physical abuse and 3% experienced sexual abuse.

### Age Groups of Victims

When age categories of victims were reported, 11.8% of victims were in the 60-64 years age range; 51.4% in the 65-74 years age range; 25.7% in the 75-84 years age range and 11.2% in the 85 years and older age range.

### Gender of Victims

When gender of victims was reported within Region 5, 33.9% were male and 66.1% were female.

### Race/Ethnicity of Victims

When victims' race/ethnicity was reported, 4.2% were African-American; 0.51% were Asian/Pacific Islander; 0.68% were Hispanic/Latino; 1% were Native American/Aleut Eskimo; 67.3% were Caucasian; and 26.3% were identified as "other race."

## ABUSER INFORMATION

A total of 34 respondent agencies/programs within Region 5 reported information on abusers of elder abuse victims, representing 523 abusers in the 13 counties throughout the Central New York and Southern Tier Region (Region 5) during calendar year 2008.

### Age Groups of Abusers

When age categories of abusers were reported, 16.3% abusers were identified as younger than 18 years of age; 39.5% were in the 18-45 years of age category; 20.9% were in the 46-59 age category; and 23.2% were in the age category of 60 years and older.

### Abuser Gender

When gender of abusers was reported, 65.9% were male and 34% were female.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships were reported, 24.28% were spouses or partners, 34.43% were victims' own adult children, 2.68% were victims' sons or daughters-in-law, 12.05% were victims' grandchildren, 3.44% were friends or neighbors, 0.57% were paid home care workers, 16.25% were other relatives and 6.31% were other non-relatives.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victim referrals were received from both formal and informal sources.

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 5 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (33.2%), district attorneys (22%), domestic violence programs (25.9%), elder abuse programs (1.8%), law enforcement (9.4%), community-based agencies such as Office of Victim Services programs (7.7%), financial institutions (19.2%), healthcare providers (33.2%), homecare programs (22%) and Area Agencies on Aging (25.9%).

### Informal system referrals

Respondent agency/programs in Region 5 also received referrals from elder abuse victims themselves (6%), perpetrators (none-0%), family members (13.4%), friends and neighbors (6%), concerned citizens (0.74%) and anonymous sources (4.5%).

A total of 11.9% of victims in Region 5 were referred from "other referral sources," both formal and informal, including: acquaintance, guardianship hearing, courts, judges and department of social services.

## INFORMATION ON REFERRALS TO RESPONDENT AGENCIES

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 30.8% of victims were referred to Adult Protective Services; 24.8% to community-based agencies such as Office of Victim Services programs; 8.3% to district attorneys' offices, 32.3% to domestic violence programs, 4.5% to elder abuse programs, 18.8% to Family Court, 42.9% to healthcare services, 34.6% to law enforcement; 27.8% to Area Agencies on Aging and 18.1% to "other."

Referrals to "other" in Region 5 included referrals to animal control, support groups, attorneys and social services.

## REGION 6: FINGER LAKES

Region 6 consists of ten counties located within the Finger Lakes area; in total, 770 victims of elder abuse were served throughout Region 6, yielding a rate of 3.4 per 1,000 older adults.

### Type of Abuse

When types of abuse were reported, 28.3% of victims were reported as experiencing emotional abuse; 43.4% experienced financial abuse; 10.4% experienced neglect; 24.9% experienced physical abuse and 0.38% experienced sexual abuse.

### Age Groups of Victims

When age categories of victims were reported, 9.2% were in the 60-64 age category; 39.8% were in the 65-74 age category; 35.9% were in the 75-84 age category and 15.1% were in the 85+ age category.

### Gender of Victims

When victims' gender was reported, 36.6% victims were identified as male and 63.4% were identified as female.

### Race/Ethnicity of Victims

When victims' race/ethnicity was reported, 13.2% of victims were reported as African-American; 0.22% were Asian/Pacific Islander; 2.2% were Hispanic/Latino; 1.9% were Native American/Aleut Eskimo; 74.6% were Caucasian and 8% were "other race."

### Lives with Abuser

When victims' living arrangements with their abusers were reported, over 59% of identified victims were reported to be living with their abusers.

## ABUSER INFORMATION

A total of 26 respondent agencies/programs within Region 6 reported information on abusers of elder abuse victims, representing 777 abusers throughout the ten counties located within the Finger Lakes region during calendar year 2008.

### Age Groups of Abusers

When age categories of abusers were reported, 8.9% abusers were identified as younger than 18 years of age; 38.2% were in the 18-45 years of age category; 26.8% were in the 46-59 years of age category and 26.1% were in the age category of 60 years and older.

### Abuser Gender

When abusers' gender was reported, 56.6% were male and 43.4% were female.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships was reported, 21.4% were spouses or partners; 43.8% were victims' own adult children; 0.31% were victims' sons-in-law or daughters-in-law; 9.1% were victims' grandchildren; 6.1%; were friends or neighbors; 0.15% were paid home care workers; 11.7% were other relatives and 7.5% were other non-relatives.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victims were referred to respondent agencies by formal and informal sources.

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 6 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (5%), district attorneys (0.79%), domestic violence programs (1.9%), elder abuse programs (0.31%), law enforcement (32.4%), community-based agencies such as Office of Victim Services programs (7.7%), financial institutions (1.9%), healthcare programs (9.3%), homecare programs (6.6%) and Area Agencies on Aging (0.79%).

### Informal system referrals

Respondent agency/programs in Region 6 also received referrals from elder abuse victims themselves (3.9%), no referrals from perpetrators, family members (15.4%), friends and neighbors (1.1%), concerned citizens (0.31%) and anonymous sources (1.3%).

A total of 34.3% of victims in Region 6 were referred from "other referral sources," both formal and informal, including: acquaintance, building managers, department of social services, courts and legal aid.

### Information on Referrals to respondent agencies

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 38.4% of cases were referred to Adult Protective Services. Respondent agency/programs also reported referring 27.3% of victims to community-based agencies such as Office of Victim Services programs, 4% to district attorneys' offices, 24.2% to domestic violence programs, 5.1% to elder abuse programs, 5.1% to Family Court, 30.3% to healthcare services, 6.1% to law enforcement, 9.1% to Area Agencies on Aging and 12.1% of victims to "other." Referrals to "other" in Region 6 included referrals to legal aid and Surrogate's Court.

## REGION 7: WESTERN NEW YORK

Region 7 consists of five counties located within the Western New York area; in total, 671 victims of elder abuse were served throughout Region 7, yielding a rate of 2.3 per 1,000 older adults.

### Type of Abuse

When types of abuse were reported, 30% of victims experienced emotional abuse; 39.3% experienced financial abuse; 10.9% experienced neglect; 31.3% experienced physical abuse and 1.6% experienced sexual abuse.

### Age Groups of Victims

When age categories of victims were reported, 6.7% were in the 60-64 age category; 46.2% were in the 65-74 age category; 34% were in the 75-84 age category and 13.2% were in the 85+ age category.

### Gender of Victims

When victims' gender was reported, 31.3% victims were identified as male and 68.7% were identified as female.

### Race/Ethnicity of Victims

When victims' race/ethnicity was reported, 9.7% victims were African-American; 2% were Hispanic/Latino; 0.22% were Native American/Aleut Eskimo; 64.1% were Caucasian and 24% were reported as "other race." There were no reported Asian/Pacific islander victims.

## ABUSER INFORMATION

When aggregate data on abusers of elder abuse victims was reported in Region 7, a total of 408 abusers were reported in the five counties throughout Western New York (Region 7) during calendar year 2008.

### Age Groups of Abusers

When age categories of abusers were identified, 11.4% of abusers were identified as under 18 years of age; 42.6% were in the 18-45 years of age category; 26.2% were in the 46-59 age category and 19.8% were in the age category of 60 years and older.

### Abuser Gender

When abusers' gender was identified, 65.5% were male and 34.5% were female.

### Abuser Relationship with Victim

When aggregate data on victim and abuser relationships was reported, 17.3% were spouses or partners; 39.4% were victims' own adult children; 10.5% were victims' grandchildren; 5.8% were friends or neighbors; 0.25% were paid home care workers; 18.3% were other relatives and 8.5% were other non-relatives. There were no reported son or daughter-in-law abusers in Region 7 for 2008.

## INFORMATION ON SOURCES OF ELDER ABUSE REFERRALS RECEIVED BY RESPONDENT AGENCIES

Victim referrals were received from both formal and informal sources.

### Formal service system referrals received by respondent agency/programs

Respondent agency/programs in Region 7 reported receiving elder abuse referrals from the following agencies: Adult Protective Services (1.8%), law enforcement (7.3%), community-based agencies such as Office of Victim Services programs (8.5%), financial institutions (7.9%), healthcare programs (14%), homecare programs (4.9%) and Area Agencies on Aging (2.4%). There were no reported referrals from district attorneys (0%), domestic violence programs (0%) or elder abuse programs (0%),

### Informal system referrals

Respondent agency/programs in Region 7 also received referrals from elder abuse victims themselves (6.1%), family members (14%), friends and neighbors (4.3%), concerned citizens (1.2%) and anonymous sources (3.7%).

A total of 23.8% of victims in Region 7 were referred from "other referral sources," both formal and informal, including: law enforcement, court, attorneys, hospital, clergy, home care, primary care physicians, landlords and consumer credit authority.

## INFORMATION ON REFERRALS TO RESPONDENT AGENCIES

Victims may be referred to multiple agencies and programs by respondent agencies. A total of 20% of victims were referred to Adult Protective Services. Respondent agency/programs also reported referring 6% of victims to community-based agencies such as Office of Victim Services programs, 8% to district attorneys' offices, 30% to domestic violence programs, 6% to elder abuse programs, 6% to Family Court, 26% to healthcare services, 10% to law enforcement, 6% to Area Agencies on Aging and 20% of cases to "other."

Referrals to "other" in Region 7 included referrals to attorneys and Veterans Affairs.

# APPENDIX E

## DOCUMENTED CASE STUDY
## AGGREGATE DATA BY SERVICE SYSTEM

| ELDER ABUSE AGGREGATE SERVICE SYSTEM DATA | Adult Protective Services | Law Enforcement | District Attorney | Community-Based Organizations |
|---|---|---|---|---|
| **VICTIM INFORMATION** | | | | |
| **Type of Abuse** | **Total Number of Victims = 2180** | **Total Number of Victims = 4905** | **Total Number of Victims = 1560** | **Total Number of Victims = 4703** |
| | **Total Number of Agencies = 57** | **Total Number of Agencies = 59** | **Total Number of Agencies = 18** | **Total Number of Agencies = 96** |
| Emotional Abuse | 8.8% | 55.37% | 68.91% | 51.09% |
| Financial Abuse | 65.77% | 14.7% | 38.05% | 13.37% |
| Neglect | 37.93% | 0.12% | 0.55% | 12.18% |
| Physical | 33.66% | 54.06% | 18.83% | 29.61% |
| Sexual | 0.15% | 0.12% | 0.86% | 2.71% |
| **Age Groups** | | | | |
| 60-64 | 9.65% | 13.70% | 30.55% | 21.49% |
| 65-74 | 26.41% | 56.86% | 35.09% | 32.27% |
| 75-84 | 36.69% | 24.73% | 22.73% | 30.36% |
| 85+ | 27.25% | 4.71% | 11.64% | 15.87% |
| **Gender** | | | | |
| Male | 30.32% | 34.21% | 59.55% | 24.08% |
| Female | 69.68% | 65.79% | 40.45% | 75.92% |
| **Race/Ethnicity** | | | | |
| African American | 20.46% | 23.30% | 24.73% | 18.52% |
| Asian/Pacific Islander | 0.00% | 2.52% | 5.58% | 3.49% |
| Caucasian | 31.97% | 61.48% | 59.57% | 54.92% |
| Hispanic/Latino | 12.78% | 11.02% | 9.57% | 18.52% |
| Native American/Aleut Eskimo | 1.38% | 0.45% | 0.00% | 0.29% |
| Race Other | 33.41% | 1.23% | 0.27% | 4.25% |
| **Living Arrangement** | | | | |
| Alone | 42.11% | 0.00% | 40.91% | 51.94% |
| Spouse/Partner | 12.74% | 0.00% | 31.82% | 23.49% |
| Children | 18.95% | 0.00% | 4.55% | 14.72% |
| Son/Daughter-in-Law | 11.02% | 0.00% | 0.00% | 0.45% |
| Grandchild | 6.87% | 0.00% | 9.09% | 5.42% |
| Other Relative | 6.20% | 0.00% | 0.00% | 2.44% |
| Other Non Relative | 12.41% | 0.00% | 13.64% | 2.89% |
| **Lives With Abuser** | | | | |
| Lives With Abuser | 0.00% | 50.78% | 29.73% | 22.55% |
| **Poverty** | | | | |
| Below Poverty | 0.00% | 0.00% | 0.00% | 59.41% |

## AGGREGATE DATA BY SERVICE SYSTEM (continued)

| ELDER ABUSE AGGREGATE SERVICE SYSTEM DATA | Adult Protective Services | Law Enforcement | District Attorney | Community-Based Organizations |
|---|---|---|---|---|
| **ABUSER INFORMATION** | | | | |
| | Total Number of Abusers = 1338 | Total Number of Abusers = 4889 | Total Number of Abusers = 1133 | Total Number of Abusers = 3170 |
| | Total Number of Agencies = 54 | Total Number of Agencies = 59 | Total Number of Agencies = 10 | Total Number of Agencies = 64 |
| **Age Groups** | | | | |
| 18 or younger | 0.79% | 11.54% | 4.53% | 2.47% |
| 18-45 | 40.58% | 43.82% | 64.48% | 36.11% |
| 46-59 | 34.55% | 24.06% | 21.91% | 28.86% |
| 60 and older | 24.08% | 20.57% | 9.07% | 32.56% |
| **Gender** | | | | |
| Male | 52.69% | 70.49% | 71.62% | 61.51% |
| Female | 47.31% | 29.51% | 28.38% | 38.49% |
| **Relationship** | | | | |
| Spouse/Partner | 11.03% | 30.19% | 5.32% | 28.49% |
| Own Adult Children | 43.02% | 38.14% | 21.29% | 43.98% |
| Son-in-law/Daughter-in-law | 1.08% | 2.19% | 1.14% | 2.18% |
| Grandchild | 7.56% | 11.33% | 5.70% | 6.34% |
| Friends/Neighbors | 9.18% | 0.73% | 11.41% | 5.70% |
| Paid Home Attendant | 1.00% | 0.00% | 5.70% | 1.38% |
| Other Relatives | 9.48% | 17.38% | 4.94% | 5.91% |
| Other Non-Relatives | 17.66% | 0.04% | 44.49% | 6.02% |
| **REFERRAL INFORMATION** | | | | |
| **Source of Referral – Formal Sources** | | | | |
| Adult Protective Services | 0.69% | 0.00% | 0.29% | 2.13% |
| Community Agency | 11.26% | 0.00% | 0.68% | 8.59% |
| District Attorney | 0.90% | 0.00% | 14.51% | 3.37% |
| Domestic Violence Program | 0.32% | 0.00% | 0.00% | 1.46% |
| Elder Abuse Program | 2.17% | 0.00% | 0.00% | 2.92% |
| Financial Institution | 2.86% | 0.00% | 0.10% | 0.51% |
| Health Care Provider | 21.63% | 0.00% | 0.00% | 5.05% |
| Homecare | 12.64% | 0.00% | 0.00% | 1.21% |
| Law Enforcement | 5.61% | 0.00% | 80.62% | 13.90% |
| Office for the Aging | 4.76% | 0.00% | 0.00% | 1.83% |

## AGGREGATE DATA BY SERVICE SYSTEM (continued)

| ELDER ABUSE AGGREGATE SERVICE SYSTEM DATA | Adult Protective Services | Law Enforcement | District Attorney | Community-Based Organizations |
|---|---|---|---|---|
| **REFERRAL INFORMATION (continued)** | | | | |
| **Source of Referral – Informal Sources** | | | | |
| Anonymous | 3.75% | 0.00% | 0.00% | 6.66% |
| Concerned Citizen | 1.00% | 0.00% | 0.00% | 1.07% |
| Family Member | 14.75% | 0.00% | 2.14% | 16.99% |
| Friends/Neighbors | 6.61% | 0.00% | 0.39% | 3.20% |
| Perpetrator | 0.00% | 0.00% | 0.00% | 0.08% |
| Victim | 2.64% | 0.00% | 1.75% | 30.02% |
| Other-Total | 15.39% | 0.00% | 0.49% | 7.83% |
| **Referral To** | | | | |
| Adult Protective Services | 0.95% | 26.23% | 0.00% | 21.23% |
| Community Agency | 20.50% | 0.00% | 0.00% | 36.39% |
| District Attorney | 1.58% | 0.00% | 0.00% | 20.66% |
| Domestic Violence Program | 1.89% | 41.64% | 0.00% | 7.87% |
| Elder Abuse Program | 2.84% | 0.00% | 0.00% | 21.48% |
| Family Court | 0.00% | 0.00% | 0.00% | 21.68% |
| Health Care Provider | 42.43% | 10.49% | 0.00% | 19.02% |
| Law Enforcement | 1.42% | 4.92% | 50.00% | 24.22% |
| Office for the Aging | 6.31% | 0.00% | 0.00% | 2.87% |
| Other | 22.08% | 16.72% | 50.00% | 21.60% |
| **Number of Victims Not Referred to Other Services/Agencies (Cases in which Agencies Reported No Referrals)** | **3.44%** | **36.88%** | **93.01%** | **33.11%** |
| **Domestic Incident Reports** | | | | |
| Percentage of cases with completed DIRs | 0.00% | 100.00% | 58.09% | 13.91% |

# APPENDIX F

## DOCUMENTED CASE STUDY
## **SERVICE SYSTEM DATA**

## DISCUSSION

Elder abuse victims may receive help from a variety of service systems. The data provided by the service systems that were identified for this study are described in greater detail in this section. (Data discussed in this section is contained in the table reproduced in Appendix E.) The service systems surveyed include: Adult Protective Services (APS), law enforcement, district attorneys' offices (DA), community-based agencies, some of which are funded by the Office of Victim Services for either elder abuse or domestic violence services. The table below outlines the number of surveys that were distributed by service system and the number of surveys that were returned with information on either the victim or the abuser. In some cases surveys were completed but organizations either had zero cases during calendar year 2008 or were unable to give any information other than just the total number of victims. The following table describes those surveys that were completed in which organizations were able to submit at minimum the number of victims served.

Law enforcement and APS had the highest rates of completed surveys with some information included (95.2% and 91.9%, respectively). A smaller percentage of completed questionnaires were returned from both community-based agencies and district attorneys' offices (58.9% and 50%, respectively).

**Table A**

## DOCUMENTED CASE STUDY
## RESPONSE RATE BY SERVICE SYSTEM

| **ORGANIZATIONS** | **TOTAL NUMBER OF SURVEYS** | **NUMBER COMPLETED** (Able to provide information) | **% COMPLETED** |
|---|---|---|---|
| Community-Based Agencies | 163 | 96 | 58.9% |
| Adult Protective Services | 63 | 57 | 90.5% |
| Law Enforcement | 62 | 59 | 95.2% |
| District Attorneys | 36 | 18 | 50.0% |

The following analysis examines the profile of victims and abusers by service system, starting with Community Based Agencies.

## COMMUNITY-BASED AGENCIES

Data obtained from community-based agencies consisted of programs that were funded by the NYS Office of Victim Services (49 of which were unable to give us any information with the exception of total number of victims as generated from statewide reporting data), elder abuse programs and members of elder abuse coalitions that were not captured within other service systems. Of the 163 agencies, 53 reported having no cases in 2008 (32.5%); 14 agencies reported serving elder abuse victims but were unable to report on the number of victims (8.6%). In the final analysis, 96 agencies (58.9%) were able to report at a minimum the number of victims served.

### Victim information by type of reported abuse experienced

Nearly one-quarter of the agencies were unable to report any information on the type of mistreatment (n = 25 or 26%). Among the agencies that did report this information, 51.1% of reported victims were emotional abuse victims, 33.4% were financial abuse victims, 12.2% were neglect victims, 29.6% were physical abuse victims and 2.7% were sexual abuse victims.

### Age breakdown of reported victims

Nearly one-quarter of agencies were unable to report any information on age for victims (n = 21 or 21.9%). Of those victims with age range reported by respondent agencies/programs; 21.5% were in the 60-64 age category; 32.3% were in the 65-74 age category; 30.4% were in the 75-84 age category and 15.9% fell into the 85+ age category.

### Gender breakdown of reported victims

Approximately one in five agencies was unable to report any information on gender for victims (n = 18 or 19%). The breakdown for those victims whose gender was reported by respondent agencies/programs was 24.1% male and 75.9% female.

### Race/ethnicity breakdown for reported victims

Agencies tended to collect less racial and ethnic data on their victims than other demographics; a total of 30 or 31.3% of agencies were unable to report this information. As reported by those agencies that did have racial and ethnic information on the victim, 54.9% were Caucasians; 18.5% were African Americans, 3.5% were Asian/Pacific Islanders; 18.5% were Hispanic/Latino; 0.29% were Native American/Aleut Eskimos and 4.3% were "other" races.

### Living arrangements of victim

Over one third of the agencies were unable to report information on living arrangements of the victims (n = 34 or 35.4%). Of victims for whom respondent agencies/programs reported on living arrangements, 51.9% lived alone; 23.5% lived with spouses or partners; 14.7% lived with adult children; 0.5% lived with sons-in-law or daughters-in-law; 5.4% lived with grandchildren; 2.4% lived with other relatives and 2.9% lived with other non-relatives.

### Lives with abuser

Close to two out of five of all agencies were unable to report information on whether the victim and abuser lived together (n = 38 or 39.6%). Of those agencies that could give this information, 22.6% of the victims lived with their abusers.

### Living in poverty

Over one-half of the agencies were unable to give information on whether elder abuse victims were living at or below the poverty threshold (n = 58 or 60.4%). However, of those that responded, 59.4% victims were identified as living at or below the poverty threshold.

## ABUSER INFORMATION

A total of 64 agencies/programs reported information on abusers of elder abuse victims (66% of all agencies reporting cases during this period), representing 3,170 abusers in New York State during calendar year 2008.

### Age Groups of Abusers

One-quarter of the agencies were unable to report age information for abusers (n = 16 or 25%). Of those agencies that could give this information, 2.5% of abusers were reported to be in the younger than age 18 category; 36.1% were in the 18-45 age category; 28.9% were in the age 46-59 age category and 32.6% were in the 60 years and older category.

### Abuser Gender

A small number of agencies were unable to report gender for abusers (n = 2 or 3.1%). Respondent agencies/programs that identified gender of abuser reported 61.5% male abusers and 38.5% female abusers.

### Abuser Relationship with Victim

A small number of agencies were unable to report the abuser's relationship with victim (n = 4 or 6.3%). Respondent agencies/programs reported on the relationship between victim and abuser as: spouses or partners, 28.5%; own adult children, 44%; sons or daughters-in-law, 2.2%; grandchildren, 6.3%; friends or neighbors, 5.7%; paid home care workers, 1.4%; other relatives, 5.9% and other non-relatives, 6%.

### Information on sources of elder abuse referrals received by respondent agencies

Over one quarter of all respondent agencies were missing all information in this category (n=26 or 27.1%). For those agencies that were able to report some information on sources of referrals, in 24.3% of the cases the source of referral was missing. Data is presented below for both formal and informal system referrals.

## FORMAL SERVICE SYSTEM REFERRALS RECEIVED BY RESPONDENT AGENCIES/PROGRAMS

Respondent agencies/programs reported receiving elder abuse referrals from the following agencies: Adult Protective Services (2.1%), district attorneys (3.4%), domestic violence programs (1.2%), elder abuse programs (2.9%), law enforcement (13.9%), other community-based agencies (8.6%), financial services (0.51%), healthcare programs (5.1%), homecare programs (1.2%) and Area Agencies on Aging (1.8%).

## INFORMAL SYSTEM REFERRALS

Respondent agencies/programs also received referrals from elder abuse victims themselves (30%), perpetrators (0.08%), family members (17%), friends and neighbors (3.2%), concerned citizens (1.1%), anonymous sources (6.7%) and "other information sources" (7.8%).

### Information on referrals to respondent agencies

Over 40% of all respondent agencies were missing all information in this category (n=41 or 42.7%). Additionally, 33.1% of the victims were not referred to any outside organization. For those agencies that were able to report some information on where referrals were made, in 22.4% of the cases, referral information was still missing. Agencies reported referring a total of 21.2% of cases to Adult Protective Services. Respondent agencies/programs also reported referring 36.4% of cases to other community-based agencies; 20.7% of cases to district attorney's offices; 7.9% of cases to domestic violence programs; 21.5% of cases to elder abuse programs; 21.7% of cases to Family Court; 19% of cases to healthcare services; 24.2% of cases to law enforcement; 2.9% of cases to Area Agencies on Aging and 21.6% of cases to "other."

### Domestic Incident Reports (DIR)

Over three-fifths (63.5%) of agency responders could not report information on DIRs submitted on behalf of reported victims. Of those respondent agencies/programs that did report information on DIRs, 13.9% of elder abuse victims had DIRs filed on their behalf.

### Overall data availability

In general, the availability of data requested from the community-based agencies was limited with a significant number of agencies unable to provide any demographic information, and when they did, there was often a substantial amount of missing data. In looking at data availability alone for those community-based agencies that could provide at least some demographic information, based on the percentage of agencies able to report and on the availability of data for individual survey fields, it was found:

**Data elements with the greatest availability**

- Gender of abuser
- Relationship of abuser and victim
- Gender of victim

**Data elements less frequently available**

- Type of mistreatment
- Age of victim
- Race and ethnicity of victim
- Living arrangement of victim
- Age of abuser
- Source of referral
- Referrals

**Data elements with the least availability or no availability**

- Whether the victim and abuser live together
- Poverty
- DIR reports

## ADULT PROTECTIVE SERVICES (APS)

Data was obtained from APS through two sources. The Office of Children and Family Services (OCFS) maintains a robust statewide data system and was able to complete the survey for all counties, with the exception of New York City. New York City APS uses its own data system and completed the survey for the five counties within New York City separately. Data was obtained for all 62 counties of New York State, with Franklin County completing an additional survey for the division that serves the tribal community. Of the 62 counties (plus the tribal community), six reported having no elder abuse cases in 2008 (9.5%). This left 57 counties that were able to report at a minimum the number of victims served. APS reported a total of 2,180 elder abuse victims in 2008.

### Victim Information by type of reported abuse experienced

A small number of counties were unable to report type of mistreatment (n = 3 or 5.3%). Of the counties that did report this information, 8.8% were emotional abuse victims; 65.8% were financial abuse victims; 37.9% were neglect victims; 33.7% were physical abuse victims and 0.15% were sexual abuse victims.

### Age breakdown of reported victims

A small number of counties were unable to report age for victims (n = 3 or 5.3%). Of those victims with age range reported by counties, 9.7% were in the 60-64 age category; 36.4% were in the 65-74 age category; 36.7% were in the 75-84 age category and 27.3% fell into the 85+ age category.

### Gender breakdown of reported victims

A small number of counties were unable to report gender for victims (n = 3 or 5.3%). The breakdown for those victims whose gender was reported by counties was 30.3% male and 69.7% female.

### Race/ethnicity breakdown for reported victims

A small number of counties were unable to report race/ethnicity for victims (n = 3 or 5.3%). As reported by those counties that did have racial and ethnic information on the victim, 32% were Caucasians; 20.5% were African Americans; 0% were Asian/Pacific Islanders; 12.8% were Hispanic/Latino; 1.4% were Native American/Aleut Eskimos and 33.4% were classified as "other" races.

### Living arrangements of victim

A small number of counties were unable to report living arrangements of victims (n = 3 or 5.3%). Of victims for whom counties reported on living arrangements, 42.1% lived alone; 12.7% lived with spouses or partners; 19% lived with adult children; 11% lived with sons-in-law or daughters-in-law; 6.9% lived with grandchildren; 6.2% lived with other relatives and 12.4% lived with other non-relatives.

### Lives with abuser

None of the counties was able to report whether the victim lives with the abuser.

### Living in poverty

None of the counties was able to report whether elder abuse victims were living at or below the poverty threshold.

## ABUSER INFORMATION

A total of 54 counties were able to report information on the abusers of elder abuse victims (94.7% of all counties reporting cases during this period), representing 1,338 abusers in New York State during calendar year 2008.

### Age Groups of Abusers

Virtually all of the counties were unable to report any age information for abusers (n = 49 or 90.7%). Counties that could give this information reported that .79% of abusers were in the younger than age 18 years category;

40.6% were in the 18-45 age category; 34.6% were in the age 46-59 age category and 24.1% were in the 60 years and older category.

### Abuser Gender

All counties (100%) were able to report information on the gender of the abuser. Counties identified the gender of abuser as 52.7% male abusers and 47.3% female abusers.

### Abuser Relationship with Victim

All counties (100%) were able to report information on the relationship of the abuser to the victim. Counties reported the relationship between victim and abuser as: spouses or partners, 11%; own adult children, 43%; sons or daughters-in-law, 1.1%; grandchildren, 7.6%; friends or neighbors, 9.2%; paid home care workers, 1%; other relatives, 9.5% and other non-relatives, 17.7%.

### Information on sources of elder abuse referrals received by respondent agencies

A small number of counties were unable to report information on the sources of referrals (n = 3 or 5.3%). For those counties that were able to report some information on sources of referrals, in 13.3% of the cases source of referral was missing. Data is presented below for both formal and informal system referrals.

## FORMAL SERVICE SYSTEM REFERRALS RECEIVED BY RESPONDENT AGENCIES/PROGRAMS

Counties reported receiving elder abuse referrals from the following agencies: other Adult Protective Services units (.69%), district attorneys (.90%), domestic violence programs (.32%), elder abuse programs (2.2%), law enforcement (5.6%), community-based agencies (11.3%), financial services (2.9%), healthcare programs (21.6%), homecare programs (12.6%) and Area Agencies on Aging (4.8%).

## INFORMAL SYSTEM REFERRALS

Counties also received referrals from elder abuse victims themselves (2.6%), family members (14.8%), friends and neighbors (6.6%), concerned citizens (1%), anonymous sources (3.8%) and "other information sources" (15.4%).

### Information on referrals to respondent agencies

A greater number of counties were missing all information in this category (n=10 or 17.5%). A small percentage of victims were not referred to an outside organization for assistance (3.4%). For those counties that were able to report some information on where referrals were made, in 69.9% of cases, the referral information was missing. Counties reported referring .95% of cases to other Adult Protective Services units, 20.5% of cases to

community-based agencies, 1.6% of cases to district attorneys' offices, 1.9% of cases to domestic violence programs, 2.8% of cases to elder abuse programs, 42.4% of cases to healthcare services, 1.4% of cases to law enforcement, 6.3% of cases to Area Agencies on Aging and 22.1% of cases to "other."

### Domestic Incident Reports (DIR)

None of the counties was able to report whether DIRs had been submitted on behalf of reported victims.

Based on the percentage of agencies able to report and on the availability of data for individual survey fields, it was found:

### Overall data availability

In general, the data availability from APS was quite good. In looking at just the data availability for those APS units that could provide at least some demographic information, based on the percentage of agencies able to report and on the availability of data for individual survey fields, it was found:

**Data elements with the greatest availability**

- Relationship of abuser and victim
- Type of mistreatment
- Living arrangement of victim
- Source of referral

**Data elements less frequently available**

- Age of victim
- Gender of victim
- Race and ethnicity of victim
- Gender of abuser
- Referrals

**Data elements with the least availability or no availability**

- Whether the victim and abuser live together
- Poverty
- Referrals
- DIR reports
- Age of abuser

## LAW ENFORCEMENT

Data was obtained from law enforcement through two sources. The Department of Criminal Justice Services (DCJS) made available their Domestic Incident Reports (DIR) by county for New York State (with the exception of New York City). DIR forms are completed by law enforcement agencies on crimes or offenses that occur

between family members or intimate partners. It will not include elder abuse that occurs when the abuser is a non-family member, such as a home attendant. Data was also obtained from the New York City Police Department (NYPD) on all cases regardless of whether the abuser was a family or non-family member. DIR and NYPD data was generated by penal code, which was then categorized by the researchers in terms of type of mistreatment. Data was obtained on all 62 counties of New York State. Of the 62 counties, three reported having no cases in 2008 (4.8%). This left 59 counties that were able to report at a minimum the number of victims served.

### Victim information by type of reported abuse experienced

All counties (100%) were able to report information on the type of mistreatment. Counties reported mistreatment in terms of penal codes, which were then categorized as emotional abuse, financial abuse, neglect, physical abuse and sexual abuse. Overall, 55.4% were emotional abuse victims; 14.7% were financial abuse victims; .12% were neglect victims; 54.1% were physical abuse victims and .12% were sexual abuse victims.

### Age breakdown of reported victims

All counties (100%) were able to report information on the age of the victim in at least some cases. Of those victims with age range reported by counties, 13.7% were in the 60-64 age category; 56.9% were in the 65-74 age category; 24.7% were in the 75-84 age category and 4.7% fell into the 85+ age category.

### Gender breakdown of reported victims

All counties (100%) were able to report information on the gender of the victim in at least some cases. The breakdown for those victims whose gender was reported by counties was 34.2% male and 65.8% female.

### Race/ethnicity breakdown for reported victims

All counties (100%) were able to report information on the race and ethnicity of the victim in at least some cases. Respondent counties reported that 61.5% of victims were Caucasians; 23.3%, African Americans; 2.5%, Asian/Pacific Islanders; 11%, Hispanic/Latino; .45%, Native American/Aleut Eskimos and 1.2% were classified as "other" races.

### Living arrangements of victim

None of the counties was able to report on the living arrangement of the victim.

### Lives with abuser

All counties (100%) were able to report information on whether the victim lives with the victim in at least some cases. In cases in which this information was available, 50.8% of the victims lived with their abusers.

### Living in poverty

None of the counties was able to report whether elder abuse victims were living at or below the poverty threshold.

## ABUSER INFORMATION

A total of 59 counties were able to report information on the abusers of elder abuse victims (100% of all counties reporting cases during this period), representing 4,889 abusers in New York State during calendar year 2008.

### Age Groups of Abusers

All counties (100%) were able to report age information for abusers in at least some cases. Overall 11.5% reported abusers were in the younger than age 18 years category; 43.8% were in the 18-45 age category; 24.1% were in the age 46-59 age category and 20.6% were in the 60 years and older category.

### Abuser Gender

All counties (100%) were able to report information on the gender of the abuser in at least some cases. Counties identified gender of abuser as 70.5% male abusers and 29.5% female abusers.

### Abuser Relationship with Victim

All counties (100%) were able to report information on the relationship of the abuser to the victim in at least some cases. Counties reported the relationship between victim and abuser as spouses or partners, 30.2%; own adult children, 38.1%; sons or daughters-in-law, 2.2%; grandchildren, 11.3%; friends or neighbors, .73%; other relatives, 17.4% and other non-relatives, .04%.

### Information on sources of elder abuse referrals received by respondent agencies

None of the counties was able to report on sources of the referral.

### Information on referrals to respondent agencies

A small number of counties were missing all information in this category (n=5 or 8.5%). Over one-third of the victims were not referred to an outside organization for assistance (36.9%). For those counties that were able to report some information on where referrals were made, in 90.2% of the cases, referral information was still missing. Counties reported referring 26.2% of cases to Adult Protective Services, 41.6% of cases to domestic violence programs, 10.5% of cases to healthcare services, 4.9% of cases to other divisions of law enforcement and 16.7% of cases to "other."

### Domestic Incident Reports (DIR)

A small number of counties were missing all information in this category (n=5 or 8.5%). Of those counties that did report information on DIRs, 100% of elder abuse victims had DIRs filed on their behalf.

### Overall data availability

In general, the data quality from law enforcement was quite good. In looking at just the data availability for those law enforcement units that could provide at least some demographic information, based on the percentage of units able to report and on the availability of data for individual survey fields, it was found:

**Data elements with the greatest availability**

- Type of mistreatment
- Age of victim
- Gender of victim
- Race and ethnicity of victim
- Whether the victim and abuser live together
- Gender of abuser
- Relationship of abuser
- DIR reports

**Data elements less frequently available**

- Age of abuser

**Data elements with the least availability or no availability**

- Living arrangement of victim
- Poverty
- Source of referral
- Referrals

## DISTRICT ATTORNEYS' OFFICES

District Attorneys' (DA) offices across the state were also asked to participate in the study. Data was obtained from DAs that received specific funding from the New York State Office of Victim Services as well as from DAs that did not receive such funding. Of the 36 agencies that responded to the survey, 16 reported having no cases in 2008 (44.4%) and two agencies reported serving elder abuse victims but were unable to report on the number of victims (5.6%). This left 18 agencies that were able to report at a minimum the number of victims served.

### Victim information by type of reported abuse experienced

Close to two-fifths of the agencies were unable to report any information on the type of mistreatment (n = 7 or 38.9%). Of the agencies that did report this information, 68.9% were emotional abuse victims; 38.1% were

financial abuse victims; 0.55% were neglect victims; 18.8% were physical abuse victims and 0.86% were sexual abuse victims.

## Age breakdown of reported victims

Over half of the agencies were unable to report any information on age for victims (n = 10 or 55.6%). Of those victims with age range reported by respondent agencies/programs, 30.6% were in the 60-64 age category; 35.1% were in the 65-74 age category; 22.7% were in the 75-84 age category and 11.6% fell into the 85+ age category.

## Gender breakdown of reported victims

Approximately half of the agencies were unable to report any information on gender for victims (n = 9 or 50%). The gender breakdown for those victims whose gender was reported by respondent agencies/programs was 59.6% male and 40.5% female.

## Race/ethnicity breakdown for reported victims

Agencies tended to collect less racial and ethnic data on their victims than other demographics; a total of 11 or 61.1% of agencies were unable to report this information. As reported by those agencies that did have racial and ethnic information on the victim, 59.6% were Caucasians; 24.7%, African Americans; 5.9%, Asian/Pacific Islanders; 9.6%, Hispanic/Latino; 0%, Native American/Aleut Eskimos and 0.27% were classified as "other" races.

## Living arrangements of victim

Approximately four out of five agencies were unable to report information on living arrangements of the victims (n = 15 or 83.3%). Of victims for whom respondent agencies/programs reported on living arrangements, 40.9% lived alone; 31.8% lived with spouses or partners; 4.6% lived with adult children; 9.1% lived with grandchildren and 13.6% lived with other non-relatives.

## Lives with abuser

Over three-fourths of the agencies were unable to report information on whether the victim and abuser lived together (n = 14 or 77.8%). Of those agencies that could give this information, 29.7% of the victims lived with their abusers.

## Living in poverty

Almost all of the agencies were unable to give information on whether elder abuse victims were living at or below the poverty threshold (n = 17 or 97.6%). Similarly, of those agencies that could give this information, 99.8% of the information was missing. As a result, 0% of victims were identified as living at or below the poverty threshold.

## ABUSER INFORMATION

A total of ten agencies/programs reported information on abusers of elder abuse victims (55.6% of all agencies reporting cases during this period), representing 1,133 abusers in New York State during calendar year 2008.

### Age Groups of Abusers

One-fifth of the agencies were unable to report age of abusers (n = 2 or 20%). Of those agencies that could give this information, 4.5% reported abusers were in the younger than age 18 years category; 64.5% were in the 18-45 age category; 21.9% were in the age 46-59 age category and 9.1% were in the 60 years and older category.

### Abuser Gender

All agencies were able to report gender for abusers. Respondent agencies/programs that identified gender of abuser reported 71.6% male abusers and 28.4% female abusers

### Abuser Relationship with Victim

Two out of every five agencies were unable to report the abuser's relationship with the victim (n = 4 or 40%). Respondent agencies/programs reported on the relationship between victim and abuser as: spouses or partners, 5.3%; own adult children, 21.3%; sons or daughters-in-law, 1.1%; grandchildren, 5.7%; friends or neighbors, 11.4%; paid home care workers, 5.7%; other relatives, 4.9%, and other non-relatives, 44.5%.

### Information on sources of elder abuse referrals received by respondent agencies

Half of all respondent agencies were missing all information in this category (n=5 or 50%). For those agencies that were able to report some information on sources of referrals, in 34.2% of the cases source of referral was missing. Data are presented below for both formal and informal system referrals.

## FORMAL SERVICE SYSTEM REFERRALS RECEIVED BY RESPONDENT AGENCIES/PROGRAMS

Respondent agencies/programs reported receiving elder abuse referrals from the following agencies: Adult Protective Services (0.29%), other division within district attorneys' offices (14.5%), law enforcement (80.6%), community-based agencies (0.68%), financial services (0.10%).

## INFORMAL SYSTEM REFERRALS

Respondent agencies/programs also received referrals from elder abuse victims themselves (1.8%), family members (2.1%), friends and neighbors (0.4%), and "other information sources" (0.5%).

## Information on referrals to respondent agencies

Over three-fourths of all respondent agencies were missing all information in this category (n=14 or 77.8%). The vast majority of victims were not referred to outside organizations for assistance (93%). For those agencies that were able to report some information on where referrals were made, in 98.1% of the cases, referral information was missing. The only categories of referrals listed were to law enforcement (50%) and to "other" (50%).

## Domestic Incident Reports (DIR)

Over three-fourths of all agency responders could not report information on DIRs submitted on behalf of reported victims (n=14 or 77.8%). Of those respondent agencies/programs that did report information on DIRs, 58.1% of elder abuse victims had DIRs filed on their behalf.

## Overall data availability

In general, the availability of data from the district attorney offices was fairly limited with either a significant number of offices unable to provide any demographic information and, when they did, there was still a substantial amount of missing data. In looking at data availability alone for those offices that could provide at least some demographic information, based on the percentage of offices able to report and on the availability of data for individual survey fields, it was found:

**Data elements with the greatest availability**

- Type of mistreatment
- Gender of abuser
- Age of abuser

**Data elements less frequently available**

- Gender of victim
- Age of victim
- Race and ethnicity of victim
- Source of referral

**Data elements with the least availability or no availability**

- Whether the victim and abuser live together
- Poverty
- Living arrangement of victim
- Relationship of abuser and victim
- Referrals
- DIR reports

## VICTIM AND ABUSER PROFILES BY SYSTEM

Data availability across four service systems surveyed in the Documented Case Study (APS, community-based agencies, DAs, law enforcement) is robust enough to permit a comparison in some study data fields, in particular, types of mistreatment, gender of the victims, age of the victims and gender of the abuser. Several profiles of interest emerge related to the victims and abusers served in each system.

### Victim Information by type of reported abuse experienced

APS serves a higher percentage of neglect cases (37.9%) than community-based agencies (12.2%); both systems serve higher percentages than law enforcement and DAs (0.12% and 0.55%, respectively). Similarly, APS sees more financial abuse (65.8% of all cases) and less emotional abuse (8.8%) than all other service systems. Law enforcement sees more physical abuse (54.1%) than the other service systems (18.8% for DAs; 29.6% for community-based agencies; 33.7% for APS).

### Age breakdown of reported victims

APS serves a higher percentage of adults aged 75-84 (36.7%) and older than 85 (27.3%) compared to the other service systems. The higher percentage of older adults in APS is reflective of a service system designed to serve the most vulnerable adults in the community. DAs serve a larger percentage of adults aged 60-64 (30.6%); law enforcement serves a higher rate of adults aged 65-74 (56.9%).

### Gender breakdown of reported victims

In three of the four service systems two-thirds (65.8%) to three-fourths (75.9%) of the victims are women. District Attorneys' offices serve more men (59.6%).

### Gender of abuser

While all four service systems reported that the abuser tended to be male, law enforcement and DAs had the most similar abuser profiles. Both systems reported that close to three-fourths of the abusers coming into their system were male (70.5% and 71.6%, respectively). Community-based agencies reported slightly over three-fifths of abusers were male (61.5%) and APS reported slightly more than half of abusers were male (52.3%).