

**THE PROTECTION AND ADVOCACY FOR INDIVIDUALS WITH MENTAL
ILLNESS (PAIMI) PROGRAM ACTIVITIES REPORT FOR
FISCAL YEARS 2015 AND 2016**

3/1/2018

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INTRODUCTION

This report summarizes the annual activities for Fiscal Years (FY) 2015 and 2016 of the Protection and Advocacy for Individuals with Mental Illness (PAIMI) grantees, funded and administered by the Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Mental Health Services (CMHS). Each PAIMI grantee is required to transmit an annual report to the Secretary of the Department of Health and Human Services (HHS), that describes its program activities, accomplishments, and expenditures during the most recently completed FY.¹ SAMHSA summarizes the grantee activity information and prepares a report, which includes aggregate data for the Secretary.²

HISTORICAL OVERVIEW

The Developmental Disabilities Assistance and Bill of Rights Act of 1975, commonly known as the DD Act, established systems in each state, the District of Columbia, and five territories to protect the legal and human rights of individuals with developmental disabilities.³ These entities, the state Protection & Advocacy (P&A) systems, were governor-designated and approved by the Administration on Intellectual and Developmental Disabilities (AIDD), within the Administration of Community Living (ACL). The DD Act authorized formula grants to each eligible state P&A system to support activities on behalf of individuals with intellectual and developmental disabilities through the Protection and Advocacy for Developmental Disabilities (PADD) Program administered by AIDD/ACL. AIDD/ACL, is the lead federal agency on matters pertaining to designation or re-designation of a P&A system.

The PAIMI Act of 1986⁴ extended the DD Act protections to individuals with significant (serious) mental illness (adults) and significant (severe) emotional impairments (children/youth) at risk for, or in danger of abuse, neglect, and rights violations, while residing in public or private residential treatment facilities. The same AIDD-approved, governor-designated state P&A systems were authorized to administer the PAIMI Program.

The PAIMI Act⁵ mandated state P&A systems to:

- 1) Protect and advocate for the rights of residents with significant (serious) mental illness (adults) and significant (severe) emotional impairments (children and youth),⁶ residing in public and private care and treatment facilities who are at risk for, or in danger of abuse, neglect, and rights violations by using administrative, legal, systemic or other appropriate remedies on their behalf;
- 2) Investigate reports of abuse, particularly incidents involving serious injuries and deaths, related to the inappropriate use of seclusion and restraint; and

¹ 42 U.S.C. 10805(a)(7)

² PAIMI Act at 42 U.S.C. 10824

³ 42 U.S.C. 6041

⁴ 42 U.S.C. 10801 et seq.

⁵ 42 U.S.C. 10801(b)

⁶ Adults with *significant* mental illness denotes adults with *serious* mental illness. Children with *significant* emotional impairments denotes children with *severe* emotional impairments.

- 3) Ensure enforcement of the United States Constitution, federal laws and regulations, and state statutes.

In 1986, there were 56 P&A systems located in each state, the District of Columbia, and five territories (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the Commonwealth of Puerto Rico, and the U.S. Virgin Islands). At that time, 45 P&A systems operated as private, non-profit organizations (as designated by the respective state governors). The remaining 11 P&A systems were state- or territory-operated (Alabama, American Samoa, Connecticut, Indiana, Kentucky, New York, North Carolina, North Dakota, Ohio, the Commonwealths of Puerto Rico, and Virginia) and independent of any state agency that provided treatment or services, other than advocacy services, to individuals with mental illness.⁷ As of September 30, 2016, there remained seven state-operated P&A systems in Alabama, American Samoa, Connecticut, Indiana, Kentucky, North Dakota, and the Commonwealth of Puerto Rico. In 2000, the PAIMI Act was amended by the Children's Health Act (CHA) of 2000.⁸ The CHA established a 57th P&A system for Native Americans, the American Indian Consortium (AIC). The AIC is composed of the Navajo Nation and Hopi tribal councils in the Four Corners region of the Southwest (Utah, Arizona, Colorado, and New Mexico).

The CHA⁹ requires “public or private general hospital, nursing facility, intermediate care facility, or other health care facility that receives support in any form from any program supported in whole or in part with funds appropriated to any federal department or agency shall protect and promote the rights of each resident of the facility. This includes the right to be free from physical or mental abuse, corporal punishment, and any restraints or involuntary seclusions imposed for purposes of discipline or convenience.”¹⁰ Each facility covered under the PAIMI Act shall notify the appropriate agency, as determined by the Secretary, of each death that occurs at each such facility, while a patient is restrained or in seclusion of each death occurring within 24-hours after the patient has been removed from restraints and seclusion, or where it is reasonable to assume that a patient's death is a result of such seclusion or restraint. A notification under this section shall include the name of the resident and shall be provided no later than seven days after the date of the death of the individual involved.¹¹ This Act clarified that the state P&A systems had the authority to investigate incidents of restraint and seclusion in these types of facilities. CHA also allowed state P&A systems to serve PAIMI-eligible individuals who lived in the community, including their own homes; however, individuals residing in care and treatment facilities must have priority for program services.

FUNDING

Each P&A system must submit an annual application or update its annual program priorities, proposed budget/expenditures, the PAIMI Program assurances, and any other information requested by SAMHSA.¹² The annual PAIMI Program awards, subject to availability of

⁷ 42 U.S.C. 10801(b)

⁸ 42 U.S.C. 290 *et seq.*

⁹ 42 U.S.C. 290ii

¹⁰ 42 U.S.C. 290ii(a)

¹¹ *op. cit.* at 42 U.S.C. 290ii-1

¹² 42 U.S.C. 10821

appropriations, are based on a formula prescribed by the statute.¹³ The PAIMI formula is based equally on the population of each state in which there is an eligible system and on the population of each state weighted by its relative per capita income.¹⁴ Relative per capita income is the quotient of the per capita income of the United States and the per capita income of the state. Relative per capita income is not used for American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the U.S. Virgin Islands. Their quotient shall be considered as one.¹⁵ The Secretary shall use no more than two percent of the amount appropriated, commonly known as the set-aside under the PAIMI Act, to provide technical assistance to eligible systems.¹⁶

The following table reflects the total annual PAIMI Program grant appropriations, the technical assistance (TA) set-aside, and the minimum and maximum grant allotments awarded to the states and territories in FY 2015 and 2016. In FY 2015, California, the largest state P&A system, received the maximum state award of \$3,156,787 for FY 2015 and \$3,133,536 for FY 2016. The minimum state allotment for P&A system grants were \$428,000 for both fiscal years. Each of the five territories, American Indian Consortium, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the U.S. Virgin Islands, each received \$229,900 for both fiscal years.

	FY 2015	FY 2016
To State P&A Systems	\$ 35,314,703	\$ 35,318,517
Technical Assistance Set-aside	\$ 831,297	\$ 827,483
Total Annual PAIMI Appropriation	\$ 36,146,000	\$ 36,146,000
	FY 2015	FY 2016
Minimum State Award	\$ 428,000	\$ 428,000
Maximum State Award	\$ 3,156,787	\$ 3,133,536
Minimum Territory Award	\$ 229,300	\$ 229,300

[See, Appendix - Table 1]

PAIMI PROGRAM ACTIVITIES

A. Demographic Information

1. Age and Gender

The following tables summarize the number of PAIMI-eligible individuals or clients served in each FY by age and gender.

Age in Years	FY 2015	FY 2016
0-4	20	20
5-12	810	760
13-18	1,746	1,706

¹³ 42 U.S.C. 10822

¹⁴ 42 U.S.C. 10822(a)(1)(A)(i) and (ii)

¹⁵ 42 U.S.C. 10822(a)(1)(B)

¹⁶ 42 U.S.C. 10825

19-25	1,059	888
26-64	8,310	7,121
65+	742	690
Total Served	12,687	11,185

Gender	FY 2015	FY 2016
Male	7,168	6,413
Female	5,519	4,772
Total Served	12,687	11,185

[See, Appendix - Table 2]

2. Ethnicity and Race

PAIMI clients served by the P&A systems self-identified their ethnicity and race. The following tables provide the ethnicity and racial identities reported by individuals served by the P&A systems. The information was self-reported by clients and individuals/clients served, were permitted to select one or more races. The totals may exceed the number of PAIMI-eligible individuals served.

Ethnicity	FY 2015	FY 2016
Hispanic/Latino	1,192	1,048

Race	FY 2015	FY 2016
Native American/Alaskan Native	360	244
Asian	160	152
Black/African American	2,727	2,420
Native Hawaiian/Pacific Islander	114	103
White/Caucasian	7,842	6,808
Multiple Race	417	418
Non-Hispanic/Latino	11,141	9,010

[See, Appendix - Table 3]

3. Living Arrangements

P&A systems served individuals who reside in various settings. Examples of these living arrangements included:

Living Arrangement Type	FY 2015	FY 2016
Independently in the community	3,818	3,215
Adult Community residential home	449	345
Psychiatric wards	1,000	928
Public and private institutional living	2,255	1,907
Legal Detention/Jail	829	904
Homeless/shelter	286	267

[See, Appendix - Table 4]

B. Services for Individuals

Under the PAIMI Act, state P&A systems are mandated to protect and advocate for the rights of individuals with mental illness and authorized to investigate complaints of abuse, neglect, and rights violations.¹⁷ The following table shows the total number of individual PAIMI abuse, neglect, and rights violation cases opened, investigated, and closed.

1. Abuse

Number and types of closed individual abuse complaints include:

Abuse Complaints, Investigated and Closed By Complaint Type	FY 2015	FY 2016
Inappropriate/excessive use of restraints	273	182
Inappropriate/excessive medication	166	173
Involuntary electroconvulsive therapy	4	1
Failure to provide mental health treatment	716	704
Physical assaults resulting in serious injuries	80	59
Sexual assaults	100	92
Staff threats/retaliation/assaults	162	118
Total	2,203	2,066

[See, Appendix - Tables 5]

Case Example from FY 2016

Arkansas

The P&A learned during a routine monitoring visit that a youth with mental illness, in custody at a juvenile correctional facility, suffered a broken collarbone during an incident in which a staff member attempted to restrain him. The P&A opened an investigation, and after reviewing documents and video of the incident, and interviewing staff and youth, determined the restraint used was excessive and did not follow any recognized or accepted methods of restraint. Additionally, the P&A determined the facility did not conduct a timely assessment or provide the youth with medical treatment following his injury, and the facility placed the youth in isolation as punishment following the incident. Furthermore, the P&A determined staff did not follow policy when reporting or documenting the incident, and staff misrepresented the incident in ways that minimized the staff's responsibility and the youth's injury. The P&A outlined in its findings and proposed recommendations in a letter to the facility and to Arkansas' Division of Youth services.

2. Neglect

Number and types of individual neglect complaints closed per FY included:

¹⁷ 42 U.S.C. 10805(a)(1)

Neglect	FY 2015	FY 2016
Complaints Investigated & Closed	2,295	2,081
Discharge planning	963	881
Personal care	316	214
Mental health diagnoses	246	237
Medical diagnoses	202	229
Environmental safety	97	62
Personal safety	138	121
No written treatment plans	73	97

[See, Appendix - Tables 6a & 6b]

Case Examples from FY 2015

California

The P&A successfully advocated for more timely dental services to residents at all California state psychiatric hospitals. The case began when a number of residents at a State Hospital asked the P&A to investigate long delays in their receiving full and partial dentures. Several residents complained they lost most of their teeth, could not chew their food and were embarrassed by their appearance all of which made their recovery more difficult. Yet, their requests for dentures were denied or they were told there was a waiting list of five years to get dentures. Because of P&A advocacy, the Director of State Hospitals agreed to hire additional dental staff to clear the backlog; revamp the statewide dental program.

District of Columbia

The P&A advocated for an adult with mental illness who aged out of the child serving system and became homeless. The P&A filed a complaint with the Department of Behavioral Health (DBH) because the client's mental health provider failed to timely submit his application for permanent supportive housing, in contravention of District regulations. As a result, DBH agreed to backdate the application to the date it should have been submitted. DBH further shared it is working to prevent this issue in the future by implementing a data management system that will allow mental health providers add individuals directly onto the housing waitlist. The P&A also advocated for immediate access to supported transitional housing. Because of P&A advocacy, the client entered a DBH transition-age group home then transitioned to independent housing, where he was able to reunite and live with his young child.

Oklahoma

A family member of an individual with serious mental illness, incarcerated in a rural county jail, contacted the P&A. His family member told the P&A her son was taking medications for his mental illness when he was arrested and placed in jail. At the time she contacted the P&A, he had been without medications for over a week. His mother reported, the jail told her that her son would have to tell the jail what medication he was on, the dosage and how often he took the medication before they would give him any medication. The P&A contacted the county sheriff

and explained the seriousness of the client’s mental health condition and the substantial harm to the client, for the jail’s failure to provide appropriate mental health medications. The P&A provided the jail with the clients treating medical provider’s information so the jail could verify what medications the client was supposed to receive and the dosage amounts. Because of P&A intervention, the individual in jail began receiving appropriate mental health care.

Case Examples from FY 2016

Colorado

The P&A was contacted regarding a nursing home resident waiting approximately two years to be transitioned from a nursing home to the community. The transition coordinator refused to hold, transition meetings until the nursing home agreed to provide an accommodation for the resident, who is hearing impaired. The P&A agreed to provide any needed accommodation and attend transition meetings. When the transition coordinator still did not schedule the initial meeting, the P&A contacted the state agency responsible for administering this transition program and demanded the transition coordinator be forced to schedule the meeting. The state agreed and the transition coordinator was made to schedule the initial meeting and subsequent meetings in a timely fashion. Because of the P&A’s intervention, this resident lives independently in the community.

Wisconsin

The parents of a teenage boy residing at one of the state's juvenile corrections facilities contacted the P&A because they were concerned he was not receiving treatment for his mental illness. They were experiencing difficulty receiving information about their son because they only spoke Spanish and the facility refused to provide an interpreter, except for meetings such as court dates and formal reviews. They were also told letters could no longer be in Spanish. A P&A advocate worked with the facility to connect it with translation services available for phone calls. The facility did inform all supervisors of this information and started using the system for all phone calls with the family. They also allowed the parents to send their son letters in Spanish again. The P&A met with the teen at the facility and reviewed his mental health records and programming. After several meetings with treatment staff, additional mental health services were provided. In a matter of months, the teen was discharged back to his home community.

2. Rights Violations

Number and types of individual rights complaints closed per FY included:

Rights Violations	FY 2015	FY 2016
Cases Investigated and Closed	5,818	5,196
Guardianship/conservator problems	396	298
Problem with advanced directives	77	114
Failure to provide confidentiality	61	69

[See, Appendix - Tables 7a and 7b]

Case Examples from FY 2015

California

The P&A assisted an elderly Vietnamese-speaking woman with a significant mental health disability who requires extensive In-home Supportive Services (IHSS) including protective supervision to live safely in the community. Because of her disability, the client wanders, becomes lost, and on one occasion was found by the police hours later. A home visit by county staff resulted in a significant reduction in the approved hours because the client answered and opened the door and the county concluded she did not require protective supervision. With the California P&A's assistance, the client's daughter was able to provide sufficient documentation to support the need for IHSS services including protective supervision. The service hours were restored retroactively to the original reduction date along with approval of 10 months of back pay. The client continues to live safely at home with the support and supervision of her daughter.

Massachusetts

The P&A assisted a woman who was terminated from employment after requesting an additional three months of medical leave following FMLA leave. The client was not ready to return to work because of the continuous depression that proved to be resistant to treatment. The employer failed to engage in the interactive process in good faith and instead, terminated her without further explanations. Following failed negotiations in an attempt to settle the matter prior to litigation, the P&A filed a Charge of Discrimination with the Massachusetts Commission Against Discrimination, alleging disability discrimination and failure to provide reasonable accommodation. Because of P&A advocacy, the case was settled with the client receiving compensation. The client is seeking other employment with an employer that will be willing to accommodate her disability.

Ohio

A service provider contacted the P&A regarding an individual who wanted to move into the community and needed assistance. The P&A, upon investigation, learned the individual was under guardianship, however, did not have a guardian. The P&A contacted the county probate court to inform the court about the matter, and the court appointed a new guardian for the individual who was supportive of his desire to move into the community. The P&A met with the client, representatives from the Ohio Department of Mental Health and Addiction Services, the long-term care ombudsman, a HOME Choice representative and the new guardian to plan the individual's transition to the community. He moved into an apartment and has a job with fair wages in competitive employment. For the first time in several years, the individual has returned to living in the community and is thriving.

Tennessee

The P&A was contacted by an adult with a mental illness who reported she was denied access to

a local business with her service animal. The P&A contacted the business owner who acknowledged after this complaint was made he retrained all his employees in all of his coffee shops about service animal access. Through this training and a commitment to monitoring, the business owner planned to ensure all customers and their service animals will have access to his buildings. The P&A was able to confirm with the client that a subsequent visit to this shop occurred with no incidents. Because of P&A intervention, this local business owner and his employees are aware of service animal related laws.

4. P&A Involvement Related to Co-occurring Mental Illness and Intellectual and Developmental Disabilities

Case Examples – FY 2015

North Dakota

A 27-year-old client diagnosed with Intellectual Disabilities, Mental Illness, Borderline Personality Disorder, Depressive Disorder, Post-traumatic Stress Disorder due to sexual abuse as a child, and self-injurious behavior. The client was living in an apartment in a small community, receiving case management through the Regional Human Services Center and a community service provider was assisting with residential services. She had one-on-one staff and supportive day programming. The client became agitated, locked herself in her bathroom, and engaged in self-injurious behavior involving broken glass. The police were called and determined she was a danger to herself and met criteria for a mental health emergency commitment. She was transported to the local jail pending transfer to the ND State Hospital. The P&A was notified because the client's community service provider issued a 30-day discharge notice and indicated they would not accept the client back once released from the state hospital, as they could no longer assist her. The ND State Hospital discharge plan was to transfer the client to the state residential institution for individuals with intellectual disabilities. The P&A worked with the client's guardian to access community-based services in another larger community that would have the resources available to provide needed supports and psychiatric care and follow-up. While in her previous placement, the state was not willing to fund the needed, 24-hour services in the client's apartment. The P&A worked with the guardian to find a community-based service provider willing to serve the client and who was able to negotiate funding for the level of service needed. As a result of the P&A's efforts, the client was able to access residential and vocational services and move to an independent apartment setting with 24-hour care and supports. At case closure, the client had moved to the new community and was settling into her apartment very well.

Nevada

A 28-year-old client with a mental illness, borderline personality disorder and an intellectual disability was held in solitary confinement at a Nevada men's prison for a period in excess of 13 months. With the assistance of another prisoner, the client filed a lawsuit in federal court alleging the conditions of her confinement violated her Eighth Amendment right to be free from cruel and unusual punishment. Because of the seriousness of the allegations contained in the complaint, at the request of the United States District Court of Nevada Magistrate, the P&A was

contacted for assistance by staff of the United States Court of Appeal for the Ninth Circuit and was subsequently appointed counsel for plaintiff for the purposes of early settlement. Upon notice of the P&A appointment, client was immediately transferred from the men's prison back to the women's prison. A Nevada licensed psychiatrist was also appointed guardian ad litem to assist the P&A with the settlement. A settlement conference was held at the Las Vegas women's prison and the case was settled, the award was placed in a special needs trust for the client. Because of client's severe self-harming behaviors, some of the settlement funds were set-aside to pay for an expert in Dialectical Behavioral Therapy (DBT). In addition, as part of the settlement agreement, the Nevada Department of Corrections agreed to work in good faith with state mental health staff to ensure the client was safely discharged from prison. The client was safely discharged from prison to the state mental health facility where she has been receiving intensive DBT from an expert in the field at the University of Nevada.

Case Examples – FY 2016

Arkansas

In FY 2016, the P&A investigated allegations of abuse, neglect, and exploitation at Support Solutions, a provider of home- and community-based waiver services, serving clients with both mental illness and developmental disabilities. Although in a community setting, the clients were not provided adequate access to community activities or treatment options. The P&A substantiated allegations of abuse, neglect, and exploitation and met with various state agencies to address these issues and ensure client safety. The P&A advocated for the revocation of the provider's license due to its inability to ensure clients would not be subjected to abuse, neglect, and exploitation. As a result of the P&A's advocacy, the provider's license was revoked and clients were transitioned to more appropriate, safer settings where they would be able to receive adequate services and treatment options, and be afforded opportunities to engage in community activities.

Hawaii

A 51-year-old client with bi-polar disorder and spina bifida who attends a Mental Health Clubhouse day program and resides in a developmental disabilities adult foster home. The client wanted to formulate an Advanced Health Care Directive (AHCD). The P&A explained that the client could not appoint his care home operator as his agent as this would be a conflict of interest. It took the client a few months to decide who would be his agent as his biological father recently passed away; his mother resides on the Mainland and his sister on an outer island. Once the client determined to choose his sister and mother as agents, the P&A met with him at his home to discuss the document and review his choices. To client's satisfaction, the P&A typed up AHCD accordingly and returned to client's home to finalize and notarize it with the agency Paralegal/Notary. The P&A mailed copies to each of the appointed agents and doctors. An original is saved in the P&A's electronic scan files.

5. P&A Involvement Related to Right to Refuse Medication

Case Examples FY 2016

California

The P&A conducted a monitoring visit of a county jail and found inadequate mental health care. Several inmates with acute mental illness were restricted to their cells continuously - with no time out of their cells. For most of these clients, their only treatment was medication management. The P&A determined that jail's behavioral health staff routinely medicated inmates with mental health disabilities, involuntarily. The state law requires a court order to administer psychiatric medication to inmates who lacked capacity to consent. Furthermore, the jail was administering long-acting antipsychotic medication without the inmates' consent, who the court ruled had the capacity to consent. The P&A confronted the jail staff with its findings, but the jail maintained that the practices were legal. The P&A issued a public report regarding conditions at the jail, including an extensive analysis of the illegal medication practices. Consequently, the jail amended both medication policies to conform to the law. Since the report, the jail has not filed a petition to the court for determination of capacity in the subsequent six months. Instead, they work with inmates to encourage voluntary medication compliance.

Vermont

The P&A worked with a client who was involuntarily committed at the Brattleboro Retreat, Tyler 4 unit, with a court order to take medications. The client understood that although she was under an involuntary order she had the right to have a support person present when medications were administered. The client requested the presence of a staff member whom she had a good rapport with, from another unit and it was not honored. The client was traumatized when the charge nurse brought the medications and threatened her with a "level change" which would result in the loss of outside privileges if she did not take them without use of force. According to client, the nurse said, "If you don't take your meds I'll consider this unsafe behavior and you'll lose your level." The client ended up taking the medications without use of force so as not to lose her level of privileges. The client approached the P&A with concerns about the inability to have a support person present when medications are administered and the alleged coercion in part by the nurse. The P&A investigated and assisted the client by bringing her concerns to the attention of the Clinical Manager. The P&A referred the client to her team and a plan was developed for future medication administrations that would not require use of "hands-on."

6. P&A Involvement Related to Facility, Institution, and Hospital Closures

Case Examples – FY 2015

Nevada

The P&A was advised that an old building of the state psychiatric hospital was being utilized as a patient intake/crisis unit. The P&A conducted two unannounced visits and identified several safety concerns. For example, the building being used as the intake/crisis unit had exposed pipes and fire sprinkler system on the ceiling throughout the dayroom; the beds in all of the patient rooms had exposed metal box springs; and bulletin boards were attached to the wall with nails and screws. The P&A sent a letter to the state psychiatric hospital Administrator outlining its

concerns and as a result, the building used as a patient intake/crisis unit was closed and the patients were transferred to a newer and safer unit.

Wisconsin

As part of the Wisconsin Department of Health Services closing team, the P&A staff engaged in a year-long process to relocate over 75 PAIMI-eligible individuals from Milwaukee County's public nursing home to other residential settings. The facility had come under scrutiny in recent years for a number of abuse and neglect allegations and lack of mental health treatment for its residents. Of the approximately 75 residents with mental illness, about half had health conditions that required another skilled nursing facility. The other half did not require nursing care, raising questions as to how they had passed the qualification criteria to reside there. Community placement plans had to be developed for each of these individuals. Often the county attempted to rush the process along to keep the closing on schedule, even though the proposed placement was not appropriate or what the resident wanted. The P&A's role was to attend these meetings and advocate for the plan that assured the least restrictive setting and sufficient support services to make the placement successful. As the process came to a conclusion, this often meant insisting that the move be halted until permanent placement could be developed, instead of a hasty move to a temporary placement, which can lead to a poor outcome due to relocation trauma.

7. P&A Involvement Related to Facility, Institution, and Hospital Closures

Case Examples – FY 2015

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8. Death Investigations

The PAIMI Act authorized state P&A systems to investigate incidents of abuse, neglect, and deaths that occur in public and private care and treatment facilities on behalf of eligible individuals.¹⁸ Most states had no mandatory reporting statutes, central registries or other statewide systems to capture incidents of restraint, seclusion, serious injuries, or fatalities. Despite state, data collection limitations, the state P&A systems monitored and investigated the use of restraint and seclusion in residential care and treatment facilities, especially incidents involving serious injury or death. States with mandatory reporting requirements and central registries often send all state death reports to the P&A system whose staff must then review the information to determine those incidents that require an investigation. Deaths reported by states and the CMS and investigated by state P&A systems and other sources as follows:

Deaths Reported by	FY 2015	FY 2016
States	937	1,025
Centers for Medicare & Medicaid Services (CMS)	1	1
Other	106	167
Deaths Reported Total	1,251	1,193

Deaths Investigated, by incident type	FY 2015	FY 2016
Seclusion (S)	9	4
Restraints (R)	10	5
Non S or R related	184	424
Deaths Investigated Total	203	433

[See, Appendix - Table 7c]

¹⁸ at 42 U.S.C. 10802(1), (3), (4), and (5)

9. Complaints Favorably Resolved for Clients

The case examples in section 2, 3, and 4 provide information on the types of favorable outcomes achieved on behalf of individual P&A system clients. The following table shows the total number of individual PAIMI complaints investigated, closed, and resolved.

Complaints Investigated and Closed, by type	FY 2015	FY 2016
Abuse	2,260	2,035
Neglect	2,331	2,046
Rights violations	5,753	5,058
Total	10,344	9,139

[See, Appendix - Table 8a, 8b, 8c]

10. Intervention Strategies

The P&A systems are authorized by the PAIMI Act¹⁹ to pursue administrative, legal, and other remedies to ensure protection for individuals with mental illness. An individual's initial complaint may involve multiple issues and P&A systems often use several strategies to resolve them. The total strategies used often exceeded the number of complaints investigated and closed in a FY, as clients' initial complaints frequently include multiple issues and various strategies used to resolve them.

Intervention Strategies, by Type	FY 2015	FY 2016
Short-term assistance	5,205	4,568
Abuse & neglect investigations	1,524	1,458
Technical assistance	2,378	1,642
Administrative remedies	304	358
Negotiation/Investigation	1,087	1,343
Legal remedies	336	345
Total Intervention Strategies	10,834	9,714

[See, Appendix - Table 9]

Case Example from FY 2016

Tennessee

Because of negotiations between the P&A and a local hospital, people who use service animals, including people with mental illness, will be able to bring their service animal with them to the hospital and receive the same range of services other patients and visitors receive. This outcome was the result of the P&A's assistance of a 63-year-old client with a mental illness, when a hospital refused to perform an intake assessment due to the presence of her psychiatric service animal. The client went to this hospital because she was experiencing a mental health crisis and was seeking partial inpatient hospitalization. The hospital adopted a new service animal policy

¹⁹ at 42 U.S.C. 10805(a)(1)(C)

and entered a settlement agreement with the client that requires the hospital to train staff on the new policy and post signage at all main entrances welcoming service animal users.

C. Class Action Litigation

To ensure compliance with federal or state laws and regulations and when immediate action is needed to protect a group of individuals, state P&A systems may use class litigation.²⁰ This type of litigation is the strategy of last resort. This complex strategy often takes years to resolve the presenting problem, and requires special staff expertise, resources, and time. These types of cases generally involve a range of issues that affect the lives of individuals or groups of individuals with mental illness and other disabilities, and their families. Class action activities reported by the P&A systems on behalf of PAIMI-eligible individuals included:

Class Actions	FY 2015	FY 2016
Number of Events	50	60
Individuals Impacted	2,201,218	1,372,888

[See, Appendix, Table 10]

Case Example from FY 2016

Washington

The P&A settled a class action lawsuit brought on behalf of six current and former PAIMI-eligible patients against the Department of Social and Health Services (DSHS) to ameliorate the unconstitutional care and treatment of patients adjudicated, not guilty by reason of insanity, at State Hospitals. The trouble began when a series of new state laws and policies restricted access to therapy and superseded the opinions of patients’ treating clinicians. In response, the P&A filed a class action lawsuit in federal court. The settlement provides for a more streamlined treatment and discharge process to allow a more clinical judgment and less administrative delay. Patients will be allowed supervised access to the hospital grounds without a court order. While unsupervised access and trips to the community will still require a court order, DSHS agreed to facilitate and speed up this process. Settlement provisions also addressed appropriate use of personal restraint devices, patients’ personal property, strip search policies, and retaliation.

D. Interventions on Behalf of Groups of PAIMI-eligible Individuals

The majority of P&A systems advocated on behalf of groups of PAIMI-eligible individuals. These types of activities were not directed toward individuals, but for the resolution of a range of systemic issues affecting specific groups or larger populations throughout a state. Some systemic advocacy activities included legal actions to protect the rights, health and safety of vulnerable facility residents (See, C. Class Action). Sometimes individual complaints resulted in-group advocacy. Generally, P&A non-case directed advocacy activities focused on implementing changes in administrative policy, procedures, or practices in state agencies, residential treatment facilities, and other service providers. Activities reported under the Legislative and Regulatory Advocacy section are limited to providing technical assistance,

²⁰ 42 U.S.C. 10805(a)(1)(B)

education, and awareness about current statutes and regulations regarding the rights and protection of individuals with SMI or SED and do not include, strictly prohibited activities such as the inappropriate use of federal dollars to influence legislation or any actions by federal or state governments described in Section 503 of Title V, in Division H of the Consolidated Appropriations Act and specific prohibitions against lobbying in the PAIMI regulations.²¹

Non-Litigation Advocacy	FY 2015	FY 2016
Number of events	387	435
Total number of individuals impacted	7,375,456	16,713,386

Legislative & Regulatory Advocacy	FY 2015	FY 2016
Number of events	193	210
Total Number of Individuals Impacted	10,171,854	10,520,180

[See, Appendix Table 10]

E. Public Education, Training, and Awareness Activities

Each state P&A system received requests for information and referral services from its constituents via telephone, e-mail, letter, face-to-face, and walk-in visits. The systems also provided information by conducting public education, training, and activities. Many state PAIMI Programs met with and provided civil rights informational training to consumers, stakeholders, and advocacy groups. Other P&A systems conducted mental health law classes for attorneys, graduate students, current and former recipients of mental health services, and mental health service professionals. The P&A system provided information to the public by various means including the media, newspapers, radio/television public service announcements, agency newsletters, websites, publications, investigative reports, and listservs. Some P&A systems within sparsely populated states or with large rural populations used technology to provide information through webcams, videoconferences, teleconferences, webinars, Facebook, and Skype. PAIMI Program public education, training, and awareness activities included:

Educational or Training Activities	FY 2015	FY 2016
Information and Referral Requests	38,171	40,252
Public Awareness Events	2,319	1,778
Number of individuals receiving public awareness information	1,677,619	3,968,476
Number of education/training activities undertaken	2,048	1,813
Total number of individuals trained	82,008	58,189

[See, Appendix, Table 11]

²¹ 42 CFR Part 51. Subpart

F. Accomplishments, Impediments, and Unmet Advocacy Needs

1. Accomplishments

P&A system intervention improved the quality of life for individuals with mental illness and resulted in systemic changes. Examples of these accomplishments included:

MAJOR ACCOMPLISHMENTS

Case Example from FY 2015

Vermont

The P&A used PAIMI funds to secure significant improvements in and reductions of the use of seclusion and restraint against people with mental illness in facilities and unnecessary uses of force in the community. These improvements include, continuing efforts to facilitate conversations between police, mental health professionals and peer advocates. Work on the Act 80, Law Enforcement and People with Mental Illness Training Advisory Committee, the Criminal Justice Core Team and the Tri-Branch Task Force on Mental Health and Law Enforcement. Help redraft the Woodside Detention Facility policies on use of force and helping private and state facilities implement the Six Core Strategies. P&A staff greatly increased the profile of this important issue and obtained real and positive changes in many areas.

Case Example from FY 2016

North Carolina

The P&A came to a resolution of a longstanding effort to obtain access to appropriate services for children with complex mental health needs. After lengthy negotiations with the state, the P&A reached agreement for the provision of diagnostic and screening services and appropriate treatment services for a class of approximately 550 such children with mental illness.

3. Impediments & Unmet Needs

Case Examples from FY 2015

Alaska

One of the impediments the P&A experiences when trying to provide services to individuals with mental illness who are incarcerated, is the difficulty and length of time it takes to obtain records. For example, when the P&A conducts an abuse and neglect investigation involving someone with mental illness, the P&A requests a copy of the facility's own internal investigation into the alleged incident. The P&A is categorically denied any internal investigations, with a response that those reports are protected "in anticipation of litigation," regardless of whether or not litigation following an incident ever occurs. In addition, when requesting other records (such as

medical records) from the Department of Corrections, it often takes months before they are actually provided.

New York

Only a small number of entities covered by the requirements regarding reports of death and serious injuries provide such reports to the P&A.

Wisconsin

The P&A continues to experience difficulties getting from CMS, information and reports on abuse, neglect and deaths that are routinely received by state, local and private facilities. Because state regulators do investigations of both state and federal complaints of abuse and neglect in licensed facilities, they maintain a shared federal/state database, which often makes them hesitant to release information that overlaps both state and federal investigations. Additionally, the P&A rarely receives notice in cases where a death is related to restraint, seclusion or psychotropic medication.

Case Examples from FY 2016

American Samoa

An issue that arises when conducting investigations against abuse and neglect within the correctional facility is private access to clients for an interview. This mostly occurs when different or new correctional staff is encountered when PAIMI visits.

Colorado

Employees of facilities serving individuals with disabilities, impede PAIMI work by refusing to answer questions. Administrative subpoena power, with access to federal courts for enforcement would solve this problem.

Florida

Despite having a current Data Use Agreement with CMS, we have not received any reports of restraint or seclusion related deaths in over a decade from the Atlanta regional office.

GOVERNANCE

1. *The Governing Authority*

The DD Act of 1975,²² which created the state P&A systems, and the PAIMI Act,²³ mandated that private, non-profit entities have a multimember governing authority (the Board) to oversee

²² 42 U.S.C. 15043(a), amended in 2000

²³ 42 U.S.C. 10805(c)

the system.²⁴ Each Board is responsible for the planning, designing, implementing, and functioning of its system.²⁵ The Board must work jointly with its PAIMI Advisory Council (PAC)²⁶ and establish policies and procedures for the selection of its members.²⁷ The DD Act included provisions for Board terms of appointment, size, and composition. The DD Act required that:

- Board members be selected according to policies and procedures of the system;
- The Board include individuals who broadly represent or are knowledgeable of the needs of individuals served by the system;
- The Board must make continuing efforts to ensure that its members represent racial and ethnic minorities.²⁸
- The majority of Board members include individuals with disabilities who are current or former recipients of disability services, their family members, guardians, authorized representatives and advocates;
- The system set term limits to ensure rotating membership on the board; and
- Board vacancies be filled within 60-days.²⁹

As of September 30, 2014, there were 50 private, non-profit P&A systems. Unlike private, non-profit P&A systems, state-operated P&A systems may have a governing authority, but are not required to do so.

The PAIMI Act and Rules also require the PAC Chair, who must be a current or former recipient of mental health services or a family member, sit on the governing Board of private, non-profit P&A systems.

2. The PAIMI Advisory Council

Each state P&A system is mandated to establish a PAC³⁰ to advise the system on policies and priorities to be carried out in protecting and advocating for the rights of individuals with mental illness.³¹ The composition of the PAC is also mandated.³² The PAC Chair must be a current or former mental health recipient or a family member.³³

Each PAC is required to provide independent advice and recommendations to its state P&A system, to work jointly with the governing authority in the development of policies and priorities, and submit a section of the system's annual report.³⁴ Council terms of appointment must be staggered and of reasonable duration. The size of the PAC varies by state, but at least 60 percent of Council members must be current or former recipients of mental health services or

²⁴ 42 U.S.C. 15044

²⁵ 42 U.S.C. 10805(c)(2)(A)

²⁶ 42 U.S.C. 10805(c)(2)(B)

²⁷ 42 U.S.C. 10805(c)(1)(B)

²⁸ respectively at, 42 U.S.C. 10805(a)(6)(C) and 42 CFR 51.22(b) and (c)

²⁹ respectively, at 42 U.S.C. 15044 (a)(1)(A), (B) (i), (ii) and (C)(3) and (4)

³⁰ PAIMI Act at 42 U.S.C. 10805(a)(6)(C)

³¹ at 42 U.S.C. 10805(a)(6)(A)

³² PAIMI Act at 42 U.S.C. 10805(a)(6)(B)

³³ 42 U.S.C. 10805(a)(6)(C) and the PAIMI Rules at 42 CFR at 51.23(b)(2)

³⁴ PAIMI Rules at 42 CFR 51.23(a)(1)-(3)

their family members. The Council must meet at least three times each calendar year, include ethnic and racial minorities, and receive information related to its corresponding P&A system's budget, staff, current program policies, priorities and performance outcomes.³⁵

The PAC is mandated to provide the governing board with advice and recommendations on the annual PAIMI programmatic activities and priorities to be funded in a FY. The PAIMI Act requires the PAC Chair sit on the governing board of private, non-profit state P&A systems;³⁶ however, any PAC member may serve on the governing board.³⁷

By January 1 of each year, each P&A system is required to submit an annual PPR to the HHS Secretary.³⁸ The PAC is also required to submit a section of that annual PPR as mandated by the PAIMI Act³⁹ and the PAIMI Rules.⁴⁰

The Council's report must:

- Describe its membership and its PAIMI Program activities;
- Explain its relationship to the P&A governing board of the previous calendar year;
- Independently assess the P&A system's PAIMI Program; and
- Include whether the program accomplished its priorities, goals, and objectives for the previous FY.

In addition to attending meetings, PAC members participated in numerous activities sponsored or endorsed by the PAIMI Program (e.g., attending in- and out-of-state trainings, serving on P&A governing board committees, engaging in systemic advocacy; and participating in special projects).

TRAINING AND TECHNICAL ASSISTANCE

SAMHSA provided training and technical assistance (T/TA) to the state P&A systems through an interagency agreement (IAA) administered by the AIDD. AIDD, which oversees the PADD Program, is the first federal protection and advocacy program, and is the lead on the federal P&A system for issues pertaining to designation, re-designation, regulations, etc. SAMHSA supports the IAA with funds specifically set-aside for T/TA and limited to a maximum of two percent of the annual PAIMI Program appropriation. The Rehabilitation Services Administration (RSA), within the Office of Special Education and Rehabilitation Services, U.S. Department of Education, administers the Protection and Advocacy for Individual Rights Program, the Client Assistance Program, and the Protection and Advocacy for Assistive Technology Program. RSA has a separate IAA with AIDD. This consolidation of federal P&A program set-aside funds maximizes each agency's limited resource and contributes to a federal partnership among the three agencies that fosters cooperation, information sharing, strategic planning, coordination, and integration of P&A system activities.

³⁵ PAIMI Rules at 42 CFR 51.23(b)(2), (3) and (c)

³⁶ 42 U.S.C. 10805(a)(6)(A), 42 CFR at 51.22(b)(3)

³⁷ 42 CFR at 51.22(d)

³⁸ 42 U.S.C. 10805(a)(7)

³⁹ 42 U.S.C. 10824

⁴⁰ 42 CFR 51.8

The Training Advocacy and Support Center (TASC) of the National Disability Rights Network was the contractor selected by the AIDD to serve the P&A systems. Under the contract, TASC is responsible for T/TA various tasks including both, general and agency specific tasks (e.g., the annual PAC training). TASC activities under FYs 2015 and 2016 contract included the following topics:

- Investigation protocols for incidents of abuse and neglect cases involving deaths;
- Seclusion and restraint;
- Community integration (Olmstead);
- Medicaid funding;
- Consumer self-advocacy;
- Role of PACs;
- Access to jails, prisons, and juvenile detention facilities;
- Housing; and
- Outreach strategies for unserved and underserved populations including members of ethnic and racial minorities, and individuals in urban or rural settings, prisons, jails, or detention centers.

TASC also assisted P&A systems prepare legal briefs when their PAIMI Act investigative and access authority were challenged.

Under the IAA, TASC prepared three publications: the *TASC Update* (monthly), *LegalEase* (monthly), and the *P&A News* (quarterly). Each publication was reviewed and edited by the federal P&A TA partners (SAMHSA, AIDD, and RSA) before AIDD approved their distribution to the state P&A systems.

Under the IAA, TASC staff:

- Maintained a website accessible to the public and a webpage accessible only to the federal partners and the state P&A systems;
- Developed model guidelines, training manuals, and legal advocacy materials, including *LegalEASE (monthly)* and *Case Dockets*;
- Analyzed public policy;
- Established relationships with state P&A system staff;
- Served as liaison to the state P&A system staff;
- Facilitated information exchanges and requests for assistance from the P&A system staff;
- Subcontracted with national legal organizations, including the Bazelon Center for Mental Health Law, the Center for Public Representation, and other legal experts for P&A system consultation services;
- Promoted the use of the *Protection and Advocacy Standards*, which were developed in 2009;
- Identified and disseminated samples of model P&A system policies and procedures;
- Developed P&A system self-assessment procedures, a project started in 2009; and

- Planned and conducted training on current disability, legal, and advocacy issues including the Annual Conference, the P&A executive director, and fiscal management training.

Through the IAA SAMHSA assist, P&A's to improve performance (e.g., legal advocacy services to include individual and systems advocacy), operations, and outcomes; maintaining statutory compliance, support P&A's as leaders and catalysts of systems change, capacity building and advocacy at the national, state/territory, and local levels.

CONCLUSION

This report offers examples of successful implementation of statutorily mandated activities related to the PAIMI program. PAIMI grantees worked tirelessly to protect and advocate for the rights of individuals with significant (serious) mental illness (adults) and significant (severe) emotional impairments (children and youth), residing in public and private care and treatment facilities who are at risk for, or in danger of abuse, neglect, and rights violations by using administrative, legal, systemic or other appropriate remedies on their behalf. PAIMI grantees successfully investigated reports of abuse, particularly incidents involving serious injuries and deaths related to the inappropriate use of seclusion and restraint; and ensure enforcement of the United States Constitution, federal laws and regulations, and state statutes.

Through the PAIMI program, systemic changes were implemented in a variety of settings, which ultimately improved treatment, support and services for those with SMI and SED. The PAIMI grantees assisted states/territories in making systemic changes, change or improve practices, and help implement best practices. Through these and other efforts, PAIMI program assisted individuals and families with better treatment, decrease in abuse or neglect, protected rights of individuals, expanded employment and educational opportunities, and promote access to community living.

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- Table 1 – State PAIMI Appropriations
- Table 2 – Age and Gender
- Table 3 – Ethnicity and Race
- Table 4 – Living Arrangements
- Table 5 – Complaints Involving Abuse
- Table 6a – Complaints Involving Neglect
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- Table 8a – Analysis of Alleged Abuse
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- Table 9 – Intervention Strategies
- Table 10 – Non-Case Directed Services
- Table 11 – Information and Referral/Public Education/Awareness & Training Activities

Table 1: State PAIMI Appropriations
FY 2015

States	FY 2015 Final Appropriations
Alabama	\$456,090
Alaska	\$428,000
Arizona	\$616,908
Arkansas	\$428,000
California	\$3,156,787
Colorado	\$433,624
Connecticut	\$428,000
Delaware	\$428,000
District of Columbia	\$428,000
Florida	\$1,704,717
Georgia	\$917,657
Hawaii	\$428,000
Idaho	\$428,000
Illinois	\$1,075,584
Indiana	\$599,111
Iowa	\$428,000
Kansas	\$428,000
Kentucky	\$428,000
Louisiana	\$428,000
Maine	\$428,000
Maryland	\$456,617
Massachusetts	\$506,963
Michigan	\$903,618
Minnesota	\$444,348
Mississippi	\$428,000
Missouri	\$544,367
Montana	\$428,000
Nebraska	\$428,000
Nevada	\$428,000
New Hampshire	\$428,000
New Jersey	\$681,414
New Mexico	\$428,000
New York	\$1,525,779
North Carolina	\$896,314
North Dakota	\$428,000
Ohio	\$1,031,064
Oklahoma	\$428,000
Oregon	\$428,000

Table 1: State PAIMI Appropriations
FY 2015 Continued

States	FY 2015 Final Appropriations
Pennsylvania	\$1,074,746
Rhode Island	\$428,000
South Carolina	\$452,783
South Dakota	\$428,000
Tennessee	\$586,600
Texas	\$2,255,157
Utah	\$428,000
Vermont	\$428,000
Virginia	\$666,587
Washington	\$574,891
West Virginia	\$428,000
Wisconsin	\$498,588
Wyoming	\$428,000
American Indian Consortium	\$229,300
American Samoa	\$229,300
Guam	\$229,300
Northern Marianas	\$229,300
Puerto Rico	\$551,889
Virgin Islands	\$229,300
To State P&A Systems	\$35,314,703
Technical Assistance Set-aside	\$831,297
Total Annual PAIMI Appropriations	\$36,146,000

Table 1: State PAIMI Appropriations
FY 2016

States	FY 2016 Final Appropriations
Alabama	\$456,202
Alaska	\$428,000
Arizona	\$620,810
Arkansas	\$428,000
California	\$3,133,536
Colorado	\$437,326
Connecticut	\$428,000
Delaware	\$428,000
District of Columbia	\$428,000
Florida	\$1,724,396
Georgia	\$924,616
Hawaii	\$428,000
Idaho	\$428,000
Illinois	\$1,068,437
Indiana	\$601,509
Iowa	\$428,000
Kansas	\$428,000
Kentucky	\$428,000
Louisiana	\$428,000
Maine	\$428,000
Maryland	\$461,758
Massachusetts	\$507,383
Michigan	\$900,554
Minnesota	\$447,204
Mississippi	\$428,000
Missouri	\$538,623
Montana	\$428,000
Nebraska	\$428,000
Nevada	\$428,000
New Hampshire	\$428,000
Jersey	\$684,418
New Mexico	\$428,000
New York	\$1,522,543
North Carolina	\$900,754
North Dakota	\$428,000
Ohio	\$1,026,130
Oklahoma	\$428,000
Oregon	\$428,000

Table 1: State PAIMI Appropriations
FY 2016 Continued

States	FY 2016 Final Appropriations
Pennsylvania	\$1,068,002
Rhode Island	\$428,000
South Carolina	\$455,079
South Dakota	\$428,000
Tennessee	\$587,219
Texas	\$2,268,331
Utah	\$428,000
Vermont	\$428,000
Virginia	\$672,622
Washington	\$573,924
West Virginia	\$428,000
Wisconsin	\$496,018
Wyoming	\$428,000
American Indian Consortium	\$229,300
American Samoa	\$229,300
Guam	\$229,300
Northern Marianas	\$229,300
Puerto Rico	\$538,623
Virgin Islands	\$229,300
To State P&A Systems	\$35,318,517
Technical Assistance Set-aside	\$827,483
Total Annual PAIMI Appropriations	\$36,146,000

Table 2: Age and Gender
FY 2015

States	Clients Served	Age						Served Total	Gender	
		0-4	5-12	13-18	19-25	26-64	65+		Male	Female
AK	98	0	2	6	8	77	5	98	53	45
AL	309	0	35	88	15	153	18	309	232	77
AR	115	0	21	38	14	40	2	115	80	35
AS	28	0	0	3	2	23	0	28	21	7
AZ	266	0	1	6	21	228	10	266	124	142
CA	968	0	17	53	66	736	96	968	465	503
CO	93	0	0	4	32	55	2	93	70	23
CT	136	0	13	15	14	87	7	136	89	47
DC	123	0	0	7	9	89	18	123	56	67
DE	168	0	9	12	10	131	6	168	88	80
FL	243	0	6	16	21	185	15	243	163	80
GA	125	0	3	11	12	93	6	125	75	50
GU	33	0	3	6	2	21	1	33	21	12
HI	244	0	57	68	6	104	9	244	151	93
IA	90	0	9	10	19	46	6	90	36	54
ID	96	0	8	5	8	70	5	96	37	59
IL	345	1	62	53	18	195	16	345	180	165
IN	166	0	12	24	7	115	8	166	103	63
KS	532	2	37	48	26	394	25	532	254	278
KY	210	0	13	41	16	121	19	210	142	68
LA	120	0	16	32	6	56	10	120	81	39
MA	147	0	0	11	15	111	10	147	79	68
MD	130	0	2	10	8	106	4	130	72	58
ME	272	1	38	49	11	160	13	272	151	121
MI	90	0	2	19	5	50	14	90	46	44
MN	189	0	16	29	15	120	9	189	107	82

Table 2: Age and Gender
FY 2015 Continued

States	Clients Served	Age						Served Total	Gender	
		0-4	5-12	13-18	19-25	26-64	65+		Male	Female
MO	214	0	2	6	11	181	14	214	135	79
MP	16	0	2	5	0	8	1	16	9	7
MS	117	1	23	68	6	17	2	117	81	36
MT	301	0	17	71	25	176	12	301	229	72
NA	72	0	11	19	5	36	1	72	49	23
NC	232	0	16	39	31	136	10	232	169	63
ND	188	0	36	47	19	76	10	188	118	70
NE	45	0	0	0	6	34	5	45	18	27
NH	395	0	16	40	37	288	14	395	180	215
NJ	289	0	6	32	25	203	23	289	166	123
NM	113	0	3	6	10	83	11	113	69	44
NV	42	0	0	3	6	31	2	42	18	24
NY	364	0	18	28	29	276	13	364	224	140
OH	650	4	25	59	59	463	40	650	343	307
OK	761	4	67	60	46	552	32	761	360	401
OR	87	0	4	6	11	59	7	87	34	53
PA	656	0	44	87	74	417	34	656	400	256
PR	160	1	15	22	13	101	8	160	88	72
RI	221	3	13	15	31	135	24	221	110	111
SC	205	0	13	145	9	29	9	205	112	93
SD	145	0	21	33	15	71	5	145	91	54
TN	128	0	14	34	12	65	3	128	83	45
TX	930	3	50	191	103	555	28	930	555	375
UT	209	0	0	12	22	164	11	209	118	91
VA	132	0	0	15	16	86	15	132	76	56
VI	21	0	1	3	1	16	0	21	6	15

Table 2: Age and Gender
FY 2015 Continued

States	Clients Served	Age						Served Total	Gender	
		0-4	5-12	13-18	19-25	26-64	65+		Male	Female
VT	88	0	0	5	4	70	9	88	53	35
WA	356	0	1	8	24	265	58	356	209	147
WI	117	0	7	17	13	79	1	117	37	80
WV	55	0	3	4	7	38	3	55	35	20
WY	42	0	0	2	3	34	3	42	17	25
Total	12,687	20	810	1,746	1,059	8,310	742	12,687	7,168	5,519
Percentages	100%	0.2%	6%	14%	8%	66%	6%	100%	56%	44%

Table 2: Age and Gender
FY 2016

States	Clients Served	Age						Served Total	Gender	
		0-4	5-12	13-18	19-25	26-64	65+		Male	Female
AK	74	0	0	3	10	54	7	74	42	32
AL	287	0	33	66	14	155	19	287	218	69
AR	128	0	38	36	8	41	5	128	91	37
AS	34	0	0	1	3	30	0	34	21	13
AZ	231	1	1	7	15	195	12	231	91	140
CA	959	1	46	55	62	714	81	959	503	456
CO	76	0	0	6	4	61	5	76	60	16
CT	138	0	5	15	22	90	6	138	96	42
DC	117	0	1	5	7	87	17	117	67	50
DE	194	0	6	10	17	153	8	194	95	99
FL	198	0	3	9	8	165	13	198	142	56
GA	124	0	1	12	10	90	11	124	67	57
GU	24	0	1	9	0	14	0	24	13	11
HI	260	1	53	66	5	127	8	260	169	91
IA	68	0	10	17	4	34	3	68	30	38
ID	197	0	6	8	25	147	11	197	101	96
IL	359	0	35	93	25	187	19	359	209	150
IN	82	0	2	33	12	33	2	82	53	29
KS	422	0	33	36	24	309	20	422	191	231
KY	167	0	14	30	16	95	12	167	110	57
LA	130	0	24	29	10	57	10	130	96	34
MA	101	0	1	2	12	77	9	101	51	50
MD	146	0	1	15	12	111	7	146	81	65
ME	237	1	31	73	15	106	11	237	119	118
MI	90	0	5	18	9	44	14	90	52	38

Table 2: Age and Gender
FY 2016 Continued

States	Clients Served	Age						Served Total	Gender	
		0-4	5-12	13-18	19-25	26-64	65+		Male	Female
MN	209	0	17	34	18	131	9	209	105	104
MO	228	0	1	4	15	185	23	228	144	84
MP	16	0	1	2	1	11	1	16	9	7
MS	103	1	21	61	6	12	2	103	70	33
MT	284	1	23	62	30	148	20	284	196	88
NA	33	0	8	15	1	9	0	33	26	7
NC	189	2	10	31	23	119	4	189	140	49
ND	223	0	40	59	14	96	14	223	82	141
NE	39	0	0	0	5	30	4	39	16	23
NH	379	0	17	34	36	273	19	379	185	194
NJ	301	0	11	29	15	233	13	301	173	128
NM	102	0	3	7	8	77	7	102	57	45
NV	46	0	0	2	6	38	0	46	29	17
NY	417	0	17	38	30	305	27	417	242	175
OH	678	4	38	72	47	473	44	678	343	335
OK	82	0	19	15	8	39	1	82	48	34
OR	56	0	3	4	8	37	4	56	17	39
PA	345	0	30	72	31	202	10	345	207	138
PR	141	1	17	16	9	84	14	141	79	62
RI	249	3	16	20	32	151	27	249	120	129
SC	206	0	10	153	6	28	9	206	117	89
SD	127	0	21	34	13	54	5	127	85	42
TN	89	0	5	21	7	52	4	89	53	36
TX	977	4	59	195	107	575	37	977	595	382
UT	96	0	2	7	14	70	3	96	53	43
VA	106	0	1	17	10	57	21	106	55	51

Table 2: Age and Gender
FY 2016 Continued

States	Clients Served	Age						Served Total	Gender	
		0-4	5-12	13-18	19-25	26-64	65+		Male	Female
VI	20	0	0	3	0	17	0	20	14	6
VT	98	0	0	3	10	74	11	98	57	41
WA	302	0	4	4	14	243	37	302	186	116
WI	120	0	10	31	9	67	3	120	81	39
WV	52	0	6	6	4	30	6	52	40	12
WY	29	0	0	1	2	25	1	29	21	8
Total	11,185	20	760	1,706	888	7,121	690	11,185	6,413	4,772
Percentages	100%	0.2%	6.8%	15%	7.9%	64%	6.2%	100%	57%	43%

Table 3: Ethnicity and Race
FY 2015

States	Clients Served	Asian	Black/ African American	White/ Caucasian	Multiple Races	Native American/ Alaska Native	Native Hawaiian Pacific Islander	Ethnicity Total	Hispanic/ Latino	Not Hispanic/ Latino
AK	97	3	8	61	8	17	0	98	1	97
AL	309	1	151	156	1	0	0	309	2	307
AR	115	0	43	66	5	1	0	115	0	115
AS	28	0	0	1	0	0	27	0	0	0
AZ	231	3	20	194	7	7	0	266	35	231
CA	812	29	164	578	17	15	9	987	175	812
CO	93	0	39	53	0	1	0	93	32	61
CT	115	2	23	90	0	0	0	136	21	115
DC	123	1	96	20	5	1	0	123	7	116
DE	160	1	64	94	1	0	0	168	8	160
FL	225	2	78	137	5	2	1	244	18	226
GA	125	3	56	65	1	0	0	125	6	119
GU	33	7	0	3	0	0	23	33	0	33
HI	244	41	10	77	85	0	31	244	10	234
IA	90	1	6	75	6	1	1	90	2	88
ID	83	1	2	74	2	3	1	96	13	83
IL	345	8	122	176	29	10	0	374	50	324
IN	166	0	31	131	3	1	0	166	0	166
KS	488	3	56	410	6	12	1	532	30	502
KY	210	0	43	161	5	0	1	5	5	0
LA	120	0	58	60	2	0	0	120	3	117
MA	127	4	21	101	0	0	1	147	20	127
MD	130	1	71	48	10	0	0	130	7	123
ME	253	1	6	233	4	9	0	272	0	272
MI	90	1	24	65	0	0	0	90	1	89

Table 3: Ethnicity and Race
FY 2015 Continued

States	Clients Served	Asian	Black/ African American	White/ Caucasian	Multiple Races	Native American/ Alaska Native	Native Hawaiian Pacific Islander	Ethnicity Total	Hispanic/ Latino	Not Hispanic/ Latino
MN	179	2	35	126	4	12	0	189	10	179
MO	214	0	60	152	0	2	0	214	1	213
MP	17	0	1	1	4	0	11	16	0	16
MS	115	2	69	42	1	1	0	117	2	115
MT	286	0	2	241	0	43	0	301	10	291
NA	72	0	0	1	0	71	0	72	0	72
NC	232	1	95	125	11	0	0	234	14	220
ND	200	0	9	141	6	43	1	188	5	183
NE	43	0	7	34	2	0	0	45	0	45
NH	386	6	3	363	8	6	0	395	9	386
NJ	289	3	75	208	3	0	0	289	34	255
NM	113	0	4	105	0	4	0	113	42	71
NV	36	1	10	24	0	1	0	42	6	36
NY	312	1	108	185	17	0	1	364	46	318
OH	643	3	212	410	16	2	0	651	8	643
OK	733	7	126	490	59	50	1	761	28	733
OR	51	2	4	41	1	2	1	87	8	79
PA	621	1	191	421	7	1	0	656	35	621
PR	0	0	0	0	0	0	0	160	160	0
RI	205	2	11	181	9	2	0	221	13	208
SC	202	0	91	102	8	1	0	205	3	202
SD	132	0	7	97	8	20	0	145	13	132
TN	128	0	43	82	2	1	0	128	2	126
TX	691	4	229	445	6	7	0	930	239	691
UT	191	0	7	179	1	2	2	209	13	196
VA	129	2	51	71	4	1	0	3	3	0

Table 3: Ethnicity and Race
FY 2015 Continued

States	Clients Served	Asian	Black/ African American	White/ Caucasian	Multiple Races	Native American/ Alaska Native	Native Hawaiian Pacific Islander	Ethnicity Total	Hispanic/ Latino	Not Hispanic/ Latino
VI	20	0	19	0	1	0	0	20	2	18
VT	85	0	2	80	3	0	0	88	3	85
WA	273	7	35	198	25	7	1	352	25	327
WI	117	2	22	87	6	0	0	117	8	109
WV	54	0	6	45	3	0	0	55	1	54
WY	39	1	1	36	0	1	0	3	3	0
Total	11,620	160	2,727	7,842	417	360	114	12,333	1,192	11,141
Percentages	100%	1.4%	23%	67%	3.6%	3.1%	1%	100%	10%	96%

Table 3: Ethnicity and Race
FY 2016

States	Clients Served	Asian	Black/ African American	White/ Caucasian	Multiple Races	Native American/ Alaska Native	Native Hawaiian Pacific Islander	Ethnicity Total	Hispanic/ Latino	Not Hispanic/ Latino
AK	72	1	7	48	3	13	0	74	2	72
AL	287	1	133	151	2	0	0	287	3	284
AR	125	1	41	77	4	1	1	128	3	125
AS	31	1	0	0	1	0	29	0	0	0
AZ	195	2	20	162	6	4	1	231	36	195
CA	766	33	138	536	40	10	9	859	135	724
CO	76	1	24	50	0	1	0	76	10	66
CT	117	3	28	86	0	0	0	138	21	117
DC	113	0	92	17	3	1	0	117	9	108
DE	183	2	68	112	1	0	0	194	11	183
FL	182	2	65	108	5	2	0	98	12	86
GA	124	1	51	67	3	2	0	124	5	119
GU	24	4	0	6	0	1	13	24	0	24
HI	260	39	9	74	108	1	29	260	11	249
IA	64	0	9	50	4	1	0	68	4	64
ID	184	2	1	167	9	3	2	197	13	184
IL	319	11	103	189	13	3	0	359	52	307
IN	80	0	15	62	3	0	0	82	0	82
KS	397	0	46	341	7	3	0	422	20	402
KY	167	0	48	115	4	0	0	167	3	164
LA	126	0	62	58	5	1	0	130	4	126
MA	92	2	13	77	0	0	0	101	9	92
MD	176	0	112	61	3	0	0	146	3	143
ME	182	1	4	168	2	6	1	237	1	236

Table 3: Ethnicity and Race
FY 2016 Continued

States	Clients Served	Asian	Black/ African American	White/ Caucasian	Multiple Races	Native American/ Alaska Native	Native Hawaiian Pacific Islander	Ethnicity Total	Hispanic/ Latino	Not Hispanic/ Latino
MI	90	4	22	60	2	2	0	90	5	85
MN	203	2	44	135	11	11	0	209	6	203
MO	228	0	63	162	0	3	0	228	0	228
MP	27	7	1	1	5	0	13	16	0	16
MS	103	0	57	46	0	0	0	103	4	99
MT	281	0	2	245	1	33	0	284	3	281
NA	33	0	0	0	0	33	0	0	0	0
NC	189	1	81	97	7	3	0	189	5	184
ND	220	3	6	159	5	46	1	223	13	210
NE	37	1	5	27	3	1	0	39	2	37
NH	369	1	6	345	11	6	0	379	10	369
NJ	301	3	68	222	8	0	0	301	38	263
NM	63	1	2	56	0	4	0	102	39	63
NV	41	0	17	19	3	2	0	46	5	41
NY	388	3	116	234	35	0	0	417	49	368
OH	665	2	203	446	12	2	0	9	9	0
OK	75	0	11	52	8	4	0	82	7	75
OR	56	1	4	49	0	2	0	6	6	0
PA	287	0	80	201	3	2	1	345	16	329
PR	0	0	0	0	0	0	0	141	141	0
RI	234	2	13	209	9	1	0	249	11	238
SC	206	0	99	93	12	1	1	206	5	201
SD	116	0	2	94	2	18	0	127	11	116
TN	89	0	31	55	2	0	1	89	1	88
TX	726	4	256	446	15	5	0	977	248	729

Table 3: Ethnicity and Race
FY 2016 Continued

States	Clients Served	Asian	Black/ African American	White/ Caucasian	Multiple Races	Native American/ Alaska Native	Native Hawaiian Pacific Islander	Ethnicity Total	Hispanic/ Latino	Not Hispanic/ Latino
UT	88	1	4	78	4	1	0	96	8	88
VI	19	0	19	0	0	0	0	20	1	19
VT	94	0	2	85	7	0	0	98	4	94
WA	279	5	58	196	13	7	0	302	23	279
WI	115	2	19	82	10	1	1	5	5	0
WV	52	0	7	42	2	1	0	53	0	53
WY	27	1	0	24	0	2	0	2	2	0
Total	10,145	152	2,420	6,808	418	244	103	10,058	1,048	9,010
Percentages	100%	1.5%	24%	67%	4.1%	2.4%	1%	100%	10%	90%

Table 4: Living Arrangements
FY 2015

States	Clients Served	Independent Living	Parental or Family Home	Community Residential Home for Children/Youth 0-18 yrs.	Adult Community Residential Home	Non-medical Community-based for Children 0-18	Foster Care	Nursing Facilities	Intermediate Care	Public and Private General Hospital	Other Health Facility	Psychiatric Wards	Public Institutional Living	Private Institutional Living	Legal/Jail Detention	State Prison	Homeless	Federal Facility	Unknown Other
AK	98	46	9	1	12	1	0	0	0	0	0	7	1	1	12	0	8	0	0
AL	309	14	84	2	26	0	17	6	0	1	0	1	70	38	49	0	1	0	0
AR	115	16	33	1	1	0	0	0	0	1	0	5	8	21	28	1	0	0	0
AS	9	0	9	0	0	0	0	0	0	0	0	0	0	0	4	12	3	0	0
AZ	266	184	21	5	2	0	0	2	0	1	0	3	17	1	4	18	7	1	0
CA	968	495	169	4	38	2	5	11	3	11	0	18	105	5	39	15	46	2	0
CO	93	6	2	5	1	0	0	8	0	1	1	1	10	3	15	30	4	6	0
CT	136	34	34	0	14	0	1	6	0	19	0	0	4	0	21	0	3	0	0
DC	123	31	9	0	3	0	1	4	0	0	0	10	30	16	2	0	16	1	0
DE	168	62	32	0	17	0	0	3	0	0	0	0	45	6	0	2	1	0	0
FL	243	69	35	3	5	0	0	2	4	0	4	0	40	9	63	0	9	0	0
GA	125	14	25	11	6	0	1	6	0	0	3	0	46	6	3	0	4	0	0
GU	33	6	25	0	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0
HI	244	60	137	0	11	0	7	0	0	0	0	23	0	0	0	0	6	0	0
IA	90	36	14	0	7	2	0	2	0	1	0	3	1	12	9	3	0	0	0
ID	96	47	21	0	3	0	0	1	1	0	0	0	12	3	0	0	8	0	0
IL	345	100	120	2	11	0	0	45	3	3	2	7	41	2	1	1	5	2	0
IN	166	24	19	6	1	4	0	0	1	0	0	4	51	22	2	29	3	0	0
KS	532	306	108	2	12	0	0	37	3	1	5	18	25	2	3	0	8	2	0

Table 4: Living Arrangements
FY 2015 Continued

States	Clients Served	Independent Living	Parental or Family Home	Community Residential Home for Children/Youth 0-18 yrs.	Adult Community Residential Home	Non-medical Community-based for Children 0-18	Foster Care	Nursing Facilities	Intermediate Care	Public and Private General Hospital	Other Health Facility	Psychiatric Wards	Public Institutional Living	Private Institutional Living	Legal/Jail Detention	State Prison	Homeless	Federal Facility	Unknown Other
KY	210	32	25	21	3	0	4	9	0	0	3	9	24	61	9	10	0	0	0
LA	120	15	48	1	1	0	0	6	0	2	0	1	28	3	12	0	3	0	0
MA	147	35	14	0	5	0	0	2	0	1	0	0	79	6	0	0	4	1	0
MD	130	47	5	2	3	0	0	1	0	0	0	5	52	6	2	0	7	0	0
ME	272	70	65	24	33	0	0	2	0	3	1	11	37	16	2	0	7	1	0
MI	90	10	13	7	12	0	0	12	0	1	0	5	11	1	10	8	0	0	0
MN	189	49	56	0	18	0	13	0	8	0	2	9	12	7	4	6	4	1	0
MO	214	44	16	1	20	2	0	27	1	0	0	6	72	1	6	15	2	1	0
MP	16	2	9	0	0	0	0	0	0	0	0	1	0	0	3	0	1	0	0
MS	117	3	62	8	5	0	1	0	0	0	0	0	33	0	4	1	0	0	0
MT	301	27	24	3	1	0	2	1	1	0	0	0	43	71	49	74	4	1	0
NA	72	8	48	3	1	0	4	0	0	0	0	0	2	0	3	0	3	0	0
NC	232	15	36	2	5	0	1	0	0	0	0	17	34	38	3	79	1	1	0
ND	188	33	85	1	7	1	0	4	0	0	0	2	25	7	8	8	7	0	0
NE	45	8	3	0	1	0	0	2	1	0	15	2	13	0	0	0	0	0	0
NH	395	168	100	2	4	2	0	5	0	3	2	64	1	6	12	14	12	0	0
NJ	289	31	47	1	3	0	1	3	1	3	0	10	179	7	3	0	0	0	0
NM	113	14	6	4	0	0	0	1	0	0	0	51	0	37	0	0	0	0	0
NV	42	14	2	0	2	0	0	0	0	0	0	1	11	5	3	4	0	0	0
NY	364	176	47	4	27	0	0	8	0	4	0	12	0	1	6	72	6	1	0

Table 4: Living Arrangements (FY 2015 Continued)

States	Clients Served	Independent Living	Parental or Family Home	Community Residential Home for Children/Youth 0-18 yrs.	Adult Community Residential Home	Non-medical Community-based for Children 0-18	Foster Care	Nursing Facilities	Intermediate Care	Public and Private General Hospital	Other Health Facility	Psychiatric Wards	Public Institutional Living	Private Institutional Living	Legal/Jail Detention	State Prison	Homeless	Federal Facility	Unknown Other
OH	650	201	86	5	25	0	0	56	1	10	2	147	82	2	23	1	9	0	0
OK	761	432	202	0	15	0	3	13	0	20	0	4	7	3	30	13	18	1	0
OR	87	7	6	1	6	1	0	1	0	20	0	1	25	2	6	10	1	0	0
PA	656	173	112	42	11	21	1	7	0	4	6	71	56	9	68	65	9	1	0
PR	160	69	59	4	10	0	0	0	0	1	1	7	0	3	1	1	4	0	0
RI	221	64	69	2	11	0	0	16	0	5	2	31	6	4	3	0	8	0	0
SC	205	6	29	1	0	2	4	0	0	1	0	1	23	12	120	5	0	1	0
SD	145	23	51	0	1	0	1	0	0	0	0	5	57	4	0	0	3	0	0
TN	128	24	44	2	9	2	1	1	0	0	0	4	15	1	13	8	4	0	0
TX	930	152	119	11	13	11	93	14	0	13	2	386	29	7	66	8	6	0	0
UT	209	98	22	2	6	1	0	5	0	1	1	4	22	6	31	1	9	0	0
VA	132	9	6	0	5	1	0	1	0	1	0	4	93	8	4	0	0	0	0
VI	21	9	4	2	0	0	0	0	0	0	0	0	0	1	2	0	3	0	0
VT	88	27	1	4	7	0	0	1	0	0	0	16	3	4	1	20	2	2	0
WA	356	144	18	9	0	0	0	1	0	2	1	2	116	2	48	0	13	0	0
WI	117	17	22	1	7	0	0	5	0	0	1	10	6	4	19	23	2	0	0
WV	55	8	9	0	2	0	0	0	0	0	0	0	22	6	0	7	1	0	0
WY	42	4	2	1	0	0	0	2	0	0	0	1	32	0	0	0	0	0	0
Total	12,668	3,818	2,478	213	449	53	161	339	28	134	54	1,000	1,756	499	829	564	286	26	0
Percentages	100%	30%	20%	1.7%	3.5%	0.4%	1.3%	2.7%	0.2%	1.1%	0.4%	7.9%	14%	3.9%	6.5%	4.5%	2.3%	2.3%	0%

Table 4: Living Arrangements
FY 2016

States	Clients Served	Independent Living	Parental or Family Home	Community Residential Home	Adult Community Residential Home	Non-medical Community-Foster Care	Foster Care	Nursing Facilities	Intermediate Care	Public and Private General	Other Health Facility	Psychiatric Wards	Public Institutional Living	Private Institutional Living	Legal/Jail Detention	State Prison	Homeless	Federal Facility	Unknown/Other
AK	74	37	7	1	5	1	0	0	0	0	0	4	1	0	11	1	6	0	0
AL	287	17	62	0	19	0	41	3	0	0	0	0	92	13	12	26	2	0	0
AR	128	15	60	0	3	0	1	1	0	2	0	6	9	15	14	2	0	0	0
AS	34	3	8	0	1	0	0	0	0	0	0	0	13	0	7	0	2	0	0
AZ	231	170	20	8	1	0	0	1	0	0	0	2	14	3	3	1	8	0	0
CA	959	482	148	4	24	2	1	7	2	6	3	19	108	3	78	14	57	1	0
CO	76	6	1	0	1	0	0	14	0	4	0	0	1	0	27	14	2	6	0
CT	138	37	29	0	4	0	0	3	0	31	0	0	1	0	30	0	3	0	0
DC	117	31	9	0	1	0	0	4	0	4	0	12	25	13	2	0	13	3	0
DE	194	72	32	0	15	0	0	4	0	0	0	0	59	4	6	0	2	0	0
FL	198	23	12	2	9	0	0	2	0	1	0	9	66	7	33	29	4	1	0
GA	124	22	16	10	0	0	1	5	0	0	3	4	52	7	2	0	2	0	0
GU	24	8	6	2	0	0	2	0	0	0	0	0	5	1	0	0	0	0	0
HI	260	47	137	30	0	0	6	0	0	0	0	36	0	0	1	0	3	0	0
IA	68	23	17	1	4	1	0	2	0	0	2	1	4	3	6	3	1	0	0
ID	197	81	42	0	12	0	0	3	3	0	0	1	26	10	3	0	16	0	0
IL	359	84	136	0	8	0	1	46	4	2	2	27	38	1	2	3	5	0	0
IN	82	13	32	3	6	1	0	3	0	0	0	18	0	1	1	2	1	1	0
KS	422	234	85	0	12	0	0	29	0	2	6	19	21	4	4	0	6	0	0
KY	167	21	27	18	0	0	5	7	0	0	0	5	21	28	20	14	1	0	0
LA	130	18	54	1	1	0	0	5	0	1	0	6	26	3	11	1	3	0	0

Table 4: Living Arrangements
FY 2016 Continued

States	Clients Served	Independent Living	Parental or Family Home	Community Residential Home for Children/Youth	Adult Community	Non-medical Community-based for Children 0-18	Foster Care	Nursing Facilities	Intermediate Care	Public and Private General Hospital	Other Health Facility	Psychiatric Wards	Public Institutional Living	Private Institutional Living	Legal/Jail Detention	State Prison	Homeless	Federal Facility	Unknown/Other
MA	101	33	17	5	0	0	0	0	0	0	0	0	35	3	0	1	6	1	0
MD	146	61	7	3	7	1	1	2	1	0	0	0	41	11	3	0	8	0	0
ME	237	57	56	37	32	0	0	4	0	0	0	10	9	10	11	1	9	1	0
MI	90	7	22	3	13	1	0	10	0	1	0	5	16	0	5	6	1	0	0
MN	209	52	54	0	21	0	11	0	11	1	0	5	31	6	7	5	5	0	0
MO	228	56	14	0	11	0	0	44	2	0	0	2	70	1	6	21	1	0	0
MP	16	5	4	0	0	0	0	0	0	0	0	1	0	0	4	0	2	0	0
MS	103	4	69	0	1	0	0	1	0	0	1	0	21	1	3	1	1	0	0
MT	284	52	20	2	2	0	0	1	0	0	2	3	44	64	60	33	1	0	0
NA	33	2	23	2	1	0	2	0	0	0	0	0	1	0	2	0	0	0	0
NC	189	16	33	7	0	0	0	1	0	0	0	16	24	28	1	61	0	2	0
ND	223	52	103	1	6	1	0	5	0	1	0	3	22	4	8	7	10	0	0
NE	39	6	0	0	0	0	0	2	1	0	0	0	15	15	0	0	0	0	0
NH	379	17 7	87	1	5	1	1	3	0	7	1	62	0	5	7	14	8	0	0
NJ	301	38	60	3	2	0	0	4	0	4	0	11	168	5	6	0	0	0	0
NM	102	11	6	1	1	0	0	1	0	0	0	4	77	0	1	0	0	0	0
NV	46	16	3	2	0	0	0	0	0	0	0	0	14	2	3	4	2	0	0
NY	417	19 8	60	5	30	0	0	16	0	2	0	8	2	4	9	71	11	1	0
OH	678	24 1	110	11	13	5	1	44	1	3	2	13 0	64	1	34	8	10	0	0
OK	82	17	32	0	0	0	0	0	0	0	0	8	0	5	15	4	1	0	0
OR	56	3	3	1	1	2	2	0	0	6	0	0	13	3	15	7	0	0	0

Table 4: Living Arrangements

FY 2016, cont.

States	Clients Served	Independent Living	Parental or Family Home	Community Residential Home for Children/Youth 0-18 yrs.	Adult Community Residential Home	Non-medical Community-based for Children 0-18	Foster Care	Nursing Facilities	Intermediate Care	Public and Private General Hospital	Other Health Facility	Psychiatric Wards	Public Institutional Living	Private Institutional Living	Legal/Jail Detention	State Prison	Homeless	Federal Facility	Unknown/Other
PA	345	88	89	18	5	15	0	2	0	2	3	25	28	0	23	45	2	0	0
PR	141	70	48	2	9	0	0	0	0	0	0	7	2	0	0	1	2	0	0
RI	249	74	79	1	11	0	0	17	0	6	4	30	7	5	6	1	7	1	0
SC	206	7	18	1	1	0	3	0	0	0	0	6	17	9	136	7	1	0	0
SD	127	19	50	2	3	0	0	0	0	0	0	3	36	8	6	0	0	0	0
TN	89	16	25	2	8	1	0	0	0	0	0	2	13	3	9	7	3	0	0
TX	977	159	77	11	22	14	139	12	0	12	4	382	23	3	105	0	13	1	0
UT	96	65	6	1	1	0	0	3	0	0	0	4	6	2	8	0	0	0	0
VA	106	2	4	2	2	0	0	1	0	0	0	1	81	5	6	0	2	0	0
VI	20	11	2	1	0	0	0	0	0	0	0	0	0	1	1	0	4	0	0
VT	98	22	1	1	5	0	0	2	0	3	0	21	6	7	4	22	2	2	0
WA	302	101	8	7	0	0	0	0	1	0	5	1	60	2	103	0	14	0	0
WI	120	25	40	0	5	0	0	2	0	0	0	9	0	0	22	15	2	0	0
WV	52	5	13	1	0	0	0	1	0	1	0	0	17	10	1	2	1	0	0
WY	29	3	0	0	1	0	0	0	0	0	0	0	22	1	1	0	1	0	0
Total	11,185	3,215	2,183	214	345	46	218	317	26	102	38	928	1,567	340	904	454	267	21	0
Percentages	100%	29%	20%	1.9%	3.1%	0.4%	1.9%	2.8%	0.2%	0.9%	0.3%	8.3%	14%	3%	8.1%	4.1%	2.4%	0.2%	0.0%

Table 5: Complaints Involving Abuse
FY 2015

State	Number of Abuse Complaints Closed	Inappropriate/Excessive					Involuntary				Failure to provide Mental Health Treatment	Complaints Concerning									
		Medication	Physical Restraint	Chemical Restraint	Mechanical Restraint	Seclusion	Medication	Involuntary Electroconvulsive Therapy	Aversive Behavioral Therapy	Sterilization		Failure to provide Medical Treatment	Physical Assaults Resulting in Serious Injury	Physical Assault - Non-serious injuries	Sexual assault	Staff Threats/Retaliation/Assaults	Coercion	Financial Exploitation	Suspicious Death	Other	
AK	2	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1
AL	48	1	9	0	1	1	1	0	0	0	18	2	3	4	1	5	0	0	1	1	
AR	27	0	11	1	1	1	0	0	0	0	6	1	1	1	3	0	0	0	1	0	
AS	4	1	0	0	0	0	0	0	0	0	2	0	0	0	0	0	0	1	0	0	
AZ	13	0	2	0	0	0	0	0	0	0	5	2	0	2	2	0	0	0	0	0	
CA	95	9	11	0	2	2	3	0	0	0	13	3	1	13	6	3	11	6	12	0	
CO	11	1	1	0	1	1	0	0	0	0	0	1	1	3	0	0	0	0	2	0	
CT	44	4	1	1	0	0	20	0	0	0	10	1	3	0	0	3	1	0	0	0	
DC	35	6	7	3	0	0	0	0	0	0	4	1	3	3	2	1	0	5	0	0	
DE	12	0	3	0	0	0	0	0	0	0	2	1	0	2	0	0	0	3	1	0	
FL	94	13	10	0	1	8	0	0	0	0	8	14	2	11	6	4	2	7	7	1	
GA	36	1	0	0	0	0	1	0	0	0	8	1	0	5	0	1	0	3	16	0	
GU	2	0	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	
HI	5	0	0	0	0	0	0	0	0	0	2	0	1	0	1	0	0	1	0	0	
IA	20	1	3	0	0	1	1	0	0	0	5	2	0	0	0	2	0	3	1	1	
ID	4	0	0	0	0	0	1	0	0	0	1	1	0	0	0	0	0	1	0	0	
IL	27	5	3	1	0	1	1	0	0	0	3	6	0	1	0	1	0	5	0	0	
IN	65	1	12	1	1	1	0	0	0	0	13	11	2	5	5	6	0	4	3	0	
KS	30	3	0	1	1	0	0	0	0	0	10	4	1	1	3	0	2	4	0	0	
KY	29	0	11	0	7	1	0	0	0	0	2	1	3	2	0	0	0	0	2	0	
LA	8	0	0	0	0	0	0	0	0	0	4	1	1	0	0	1	0	1	0	0	

Table 5: Complaints Involving Abuse
FY 2015, cont.

State	Number of Abuse Complaints Closed	Inappropriate/Excessive					Involuntary				Failure to provide Mental Health Treatment	Complaints Concerning									
		Medication	Physical Restraint	Chemical Restraint	Mechanical Restraint	Seclusion	Medication	Involuntary Electroconvulsive Therapy	Aversive Behavioral Therapy	Sterilization		Failure to provide Medical Treatment	Physical Assaults Resulting in Serious Injury	Physical Assault – Non-serious Injuries	Sexual Assault	Staff Threats/Retaliation/Assaults	Coercion	Financial Exploitation	Suspicious Death	Other	
MA	29	1	2	1	0	1	0	0	0	0	16	1	1	3	0	0	0	3	0	0	
MD	37	1	0	2	1	0	1	0	0	0	5	0	0	1	20	1	3	0	2	0	
ME	75	2	16	0	3	6	3	0	0	0	34	2	0	0	2	2	1	4	0	0	
MI	12	1	2	2	0	0	0	0	0	0	2	0	1	2	0	1	0	1	0	0	
MN	23	0	0	0	0	0	0	1	0	0	17	4	0	1	0	0	0	0	0	0	
MO	57	12	2	0	0	0	2	3	0	0	27	9	0	0	0	1	0	0	1	0	
MP	2	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	
MS	11	1	0	0	0	0	0	0	0	0	4	0	0	0	0	4	2	0	0	0	
MT	102	2	4	2	0	0	1	0	0	0	70	6	0	2	6	1	0	0	1	7	
NA	2	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	
NC	41	1	1	1	0	6	0	0	0	0	19	4	0	1	4	4	0	0	0	0	
ND	47	0	4	0	0	1	7	0	0	0	15	0	0	5	0	0	0	11	4	0	
NE	8	0	0	0	1	0	0	0	0	0	3	0	1	0	2	0	0	0	1	0	
NH	64	6	1	1	0	1	7	0	0	0	27	13	0	2	0	4	0	2	0	0	
NJ	101	24	3	0	3	0	5	0	0	0	3	13	3	22	2	10	0	2	11	0	
NM	21	1	1	0	0	0	0	0	0	0	4	0	0	3	2	10	0	0	0	0	
NV	8	1	0	0	0	2	0	0	0	0	3	2	0	0	0	0	0	0	0	0	
NY	71	2	0	0	0	3	1	0	0	0	50	4	1	6	0	3	0	0	1	0	
OH	142	20	13	4	0	1	4	0	0	0	35	21	5	16	6	14	0	2	0	1	
OK	30	1	2	0	0	0	0	0	0	0	10	13	0	2	0	2	0	0	0	0	
OR	7	1	1	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	3	0	

Table 5: Complaints Involving Abuse
FY 2015, cont.

State	Number of Abuse Complaints Closed	Inappropriate/Excessive					Involuntary				Failure to provide Mental health Treatment	Complaints Concerning									
		Medication	Physical Restraint	Chemical Restraint	Mechanical Restraint	Seclusion	Medication	Involuntary Electroconvulsive Therapy	Aversive Behavioral Therapy	Sterilization		Failure to provide Medical Treatment	Physical Assaults Resulting in Serious Injury	Physical Assault - Non-serious Injuries	Sexual Assault	Staff Threats/Retaliation/Assaults	Coercion	Financial Exploitation	Suspicious Death	Other	
PA	132	1	16	0	0	0	1	0	0	0	2	4	38	7	6	47	4	6	0	0	
PR	6	0	0	0	0	0	0	0	0	0	5	0	0	0	0	1	0	0	0	0	
RI	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
SC	114	0	0	11	0	0	0	0	0	0	97	1	0	2	1	0	0	1	0	1	
SD	9	1	1	0	0	0	0	0	0	0	6	0	0	0	0	1	0	0	0	0	
TN	33	8	1	0	0	0	0	0	0	0	13	2	0	4	0	3	0	2	0	0	
TX	106	13	10	4	10	4	19	0	0	0	4	4	5	12	6	6	4	5	0	0	
UT	53	3	4	0	0	5	0	0	0	0	30	3	1	0	1	5	0	0	1	0	
VA	51	3	9	0	4	1	1	0	0	0	9	9	2	2	3	0	8	0	0	0	
VI	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	
VT	45	3	8	3	0	1	0	0	0	0	20	3	0	3	1	2	0	0	0	1	
WA	96	7	2	0	2	2	2	0	0	0	38	18	0	7	6	11	0	1	0	0	
WI	18	0	3	0	0	0	0	0	0	0	12	1	0	0	1	0	0	0	1	0	
WV	14	2	2	0	0	0	1	0	0	0	2	4	0	0	1	1	0	1	0	0	
WY	23	0	2	0	0	1	1	0	0	0	13	4	0	1	0	1	0	0	0	0	
Total	2,203	166	195	39	39	52	84	4	0	0	716	199	80	158	100	162	38	85	72	14	
Percentages	100%	7.5%	8.9%	1.8%	1.8%	2.4%	3.8%	0.2%	0%	0%	33%	9%	3.6%	7.2%	4.5%	7.4%	1.7%	3.9%	3.3%	0.6%	

Table 5: Complaints Involving Abuse
FY 2016

States	Number of Abuse Complaints Closed	Inappropriate/Excessive					Involuntary					Failure to provide Mental Health Treatment	Complaints Concerning									
		Medication	Physical Restraint	Chemical restraint	Mechanical restraint	Seclusion	Medication	Involuntary Electroconvulsive Therapy	Aversive Behavioral Therapy	Sterilization	Failure to provide Mental Treatment		Physical Assaults Resulting in Serious Injury	Physical Assault - Non-serious Injuries	Sexual Assault	Staff Threats/Retaliation/Assaults	Coercion	Financial Exploitation	Suspicious Death	Other		
AK	14	3	0	0	0	0	0	0	0	0	7	0	0	0	3	0	0	0	0	1		
AL	49	0	6	0	1	0	0	0	0	0	8	4	12	6	0	8	0	3	1	0		
AR	17	0	3	0	0	0	1	0	0	0	8	0	1	2	1	1	0	0	0	0		
AS	7	1	0	0	0	0	0	0	0	0	3	0	0	0	1	2	0	0	0	0		
AZ	15	1	3	0	0	0	2	0	0	0	5	0	0	1	1	2	0	0	0	0		
CA	105	3	0	7	0	7	1	1	0	0	10	2	2	10	8	6	7	3	38	0		
CO	14	1	2	0	0	2	0	0	0	0	4	1	0	2	1	0	0	0	1	0		
CT	60	1	1	0	1	0	32	0	0	0	21	0	1	0	0	3	0	0	0	0		
DC	22	2	3	1	1	0	1	0	0	0	6	0	0	2	1	0	0	4	1	0		
DE	11	0	1	0	0	0	1	0	0	0	2	3	0	0	0	0	0	4	0	0		
FL	51	4	4	0	0	0	1	0	0	0	4	6	2	13	4	4	0	4	5	0		
GA	39	6	0	1	0	0	3	0	0	0	5	2	0	3	3	2	0	0	14	0		
GU	4	1	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	1	0		
HI	5	0	1	0	0	0	0	0	0	0	2	0	1	0	0	0	0	1	0	0		
IA	18	0	6	0	0	2	0	0	0	0	6	0	1	0	0	0	0	2	0	1		
ID	27	4	6	3	0	1	6	0	0	0	0	0	0	3	1	0	0	2	1	0		
IL	38	5	3	0	0	2	3	0	0	0	9	7	0	1	0	2	0	6	0	0		
IN	43	0	6	0	0	0	0	0	0	0	15	2	0	14	3	2	0	1	0	0		
KS	30	5	1	0	0	0	1	0	0	0	7	3	0	3	2	2	0	6	0	0		
KY	13	1	2	0	0	0	0	0	0	0	2	1	0	1	0	0	0	0	6	0		
LA	9	0	0	0	0	0	1	0	0	0	6	2	0	0	0	0	0	0	0	0		

Table 5: Complaints Involving Abuse
FY 2016, cont.

States	Number of Abuse Complaints Closed	Inappropriate/Excessive					Involuntary				Failure to provide Mental Health Treatment	Complaints Concerning									
		Medication	Physical Restraint	Chemical restraint	Mechanical restraint	Seclusion	Medication	Involuntary Electroconvulsive Therapy	Aversive Behavioral Therapy	Sterilization		Failure to provide Mental Treatment	Physical Assaults Resulting in Serious Injury	Physical Assault - Non-serious Injuries	Sexual Assault	Staff Threats/Retaliation/Assaults	Coercion	Financial Exploitation	Suspicious Death	Other	
MA	19	1	0	0	0	0	0	0	0	0	12	2	0	0	0	2	0	2	0	0	
MD	33	2	4	0	0	0	1	0	0	0	2	0	2	6	12	2	0	0	2	0	
ME	66	1	7	2	1	11	0	0	0	0	38	5	0	0	1	0	0	0	0	0	
MI	11	0	3	0	0	0	0	0	0	0	1	0	0	2	1	2	0	0	2	0	
MN	29	1	0	0	1	1	1	0	0	0	15	7	0	0	0	0	2	1	0	0	
MO	65	9	4	0	0	0	5	0	0	0	18	22	1	0	0	6	0	0	0	0	
MP	2	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	0	
MS	11	0	0	0	0	0	0	0	0	0	3	0	0	1	0	5	1	0	1	0	
MT	99	0	4	0	0	1	0	0	0	0	51	11	0	6	8	4	0	1	0	13	
NA	2	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	0	
NC	57	0	2	0	0	0	1	0	1	0	44	2	3	1	1	1	1	0	0	0	
ND	68	0	10	1	1	0	10	0	0	0	12	1	0	1	3	8	3	18	0	0	
NE	21	2	1	0	3	0	0	0	0	0	2	1	0	5	4	0	0	2	1	0	
NH	67	9	3	0	0	2	5	0	0	0	31	8	0	3	0	4	1	0	0	1	
NJ	88	23	1	0	2	0	4	0	0	0	8	7	1	24	2	5	0	0	11	0	
NM	37	5	2	1	0	2	2	0	0	0	1	1	0	12	8	2	0	1	0	0	
NV	5	0	0	0	0	1	0	0	0	0	2	2	0	0	0	0	0	0	0	0	
NY	79	1	2	0	0	2	4	0	0	0	47	4	1	8	4	5	0	1	0	0	
OH	144	28	10	0	1	3	1	0	0	0	40	21	2	15	3	13	1	5	0	1	
OK	10	0	1	0	0	1	0	0	0	0	3	1	0	0	3	0	1	0	0	0	
OR	3	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	0	0	1	0	

Table 5: Complaints Involving Abuse
FY 2016, cont.

States	Number of Abuse Complaints Closed	Inappropriate/Excessive					Involuntary				Failure to provide appropriate Mental Health Treatment	Complaints Concerning									
		Medication	Physical Restraint	Chemical restraint	Mechanical restraint	Seclusion	Medication	Involuntary Electroconvulsive Therapy	Aversive Behavioral Therapy	Sterilization		Failure to provide Mental Treatment	Physical Assaults Resulting in Serious Injury	Physical Assault - Non-serious Injuries	Sexual Assault	Staff Threats/Retaliation/Assaults	Coercion	Financial Exploitation	Suspicious Death	Other	
PA	57	1	3	2	0	2	0	0	0	0	4	0	14	15	3	8	0	5	0	0	
PR	10	3	0	0	0	0	0	0	0	0	2	0	0	1	0	3	1	0	0	0	
RI	5	4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	
SC	142	1	1	0	0	1	0	0	0	0	127	5	1	2	0	1	1	1	1	0	
SD	10	4	1	0	0	0	0	0	0	0	4	0	0	0	0	1	0	0	0	0	
TN	40	13	1	0	0	0	1	0	0	0	13	3	0	5	2	0	0	2	0	0	
TX	79	15	10	1	2	6	15	0	0	0	6	2	9	4	4	3	0	2	0	0	
UT	2	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	
VA	42	2	0	7	4	1	2	0	0	0	4	0	1	2	1	1	2	0	15	0	
VI	2	0	0	0	0	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0	
VT	46	2	4	4	6	3	0	0	0	0	16	1	3	0	0	3	2	0	1	1	
WA	91	6	2	1	2	3	4	0	0	0	51	10	0	3	1	3	1	4	0	0	
WI	11	0	0	0	0	5	1	0	0	0	5	0	0	0	0	0	0	0	0	0	
WV	6	0	0	0	0	1	1	0	0	0	0	0	0	1	0	2	0	1	0	0	
WY	16	2	1	0	0	0	0	0	0	0	6	5	0	0	1	0	0	0	1	0	
Total	2,066	173	125	31	26	60	111	1	1	0	704	154	59	180	92	118	24	85	104	18	
Percentages	100%	8.4%	6.1%	1.5%	1.3%	2.9%	5.4%	0.0%	0.0%	0.0%	34%	7.5%	2.9%	8.7%	4.5%	5.7%	1.2%	4.1%	5%	0.9%	

Table 6a – 6b: Complaints Involving Neglect
FY 2015

States	Number of Neglect Complaints Closed	Failure to Provide for Appropriate										
		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnosis	Medical Diagnostic	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
AK	1	0	0	0	0	0	0	0	0	0	0	1
AL	93	7	0	43	5	3	18	1	9	1	0	6
AR	17	0	0	10	0	5	0	1	0	0	0	1
AS	13	1	3	1	1	1	2	2	2	0	0	0
AZ	28	1	0	2	15	4	5	0	0	1	0	0
CA	30	5	0	6	3	9	6	0	1	0	0	0
CO	3	0	0	2	0	0	0	1	0	0	0	0
CT	19	1	0	8	0	0	2	1	2	5	0	0
DC	48	1	0	16	1	1	16	0	0	10	3	0
DE	22	1	0	15	0	0	3	0	2	1	0	0
FL	54	8	1	18	1	4	12	2	7	0	1	0
GA	57	0	0	38	2	3	2	0	0	0	12	0
GU	7	4	0	1	0	0	0	0	0	2	0	0
HI	5	0	0	2	1	1	1	0	0	0	0	0
IA	5	0	1	2	0	0	2	0	0	0	0	0
ID	22	2	0	16	0	1	2	1	0	0	0	0
IL	68	8	0	34	6	4	7	2	3	2	2	0
IN	25	0	0	4	1	0	2	3	14	1	0	0
KS	53	2	2	19	4	7	7	4	6	0	2	0
KY	12	0	0	2	4	2	2	1	0	1	0	0
LA	17	2	0	12	0	2	0	0	0	0	1	0

Table 6a – 6b: Complaints Involving Neglect
FY 2015, cont.

States	Number of Neglect Complaints Closed	Failure to Provide for Appropriate										
		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnosis	Medical Diagnostic	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
MA	35	2	0	27	1	0	2	0	1	2	0	0
MD	17	1	0	12	1	1	0	0	0	0	0	2
ME	42	7	0	29	0	3	1	0	2	0	0	0
MI	24	0	0	3	0	6	15	0	0	0	0	0
MN	32	2	1	11	0	0	10	0	3	5	0	0
MO	52	3	1	10	3	9	10	3	3	10	0	0
MP	0	0	0	0	0	0	0	0	0	0	0	0
MS	17	1	0	4	2	0	7	0	1	0	2	0
MT	109	3	0	9	13	5	1	51	22	0	0	5
NA	4	1	0	0	0	0	2	1	0	0	0	0
NC	106	12	3	47	23	12	6	1	2	0	0	0
ND	46	0	0	15	0	4	15	1	4	7	0	0
NE	1	0	0	0	0	1	0	0	0	0	0	0
NH	73	24	3	25	7	4	3	0	2	3	1	1
NJ	40	1	0	31	0	1	4	2	1	0	0	0
NM	76	3	1	26	0	0	30	0	4	0	12	0
NV	5	0	0	5	0	0	0	0	0	0	0	0
NY	42	6	2	13	5	3	5	2	4	0	2	0
OH	177	8	2	102	7	12	26	1	11	5	2	1
OK	7	2	0	5	0	0	0	0	0	0	0	0
OR	13	0	0	9	1	3	0	0	0	0	0	0

Table 6a – 6b: Complaints Involving Neglect
FY 2015, cont.

States	Number of Neglect Complaints Closed	Failure to Provide for Appropriate										
		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnosis	Medical Diagnostic	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
PA	58	1	2	15	11	5	11	3	5	1	4	0
PR	13	10	0	1	0	0	2	0	0	0	0	0
RI	13	0	0	9	0	1	0	0	2	0	0	1
SC	11	2	0	8	0	0	0	0	0	1	0	0
SD	56	2	0	53	0	0	1	0	0	0	0	0
TN	15	0	0	3	0	4	4	1	2	1	0	0
TX	347	5	0	105	105	64	49	1	10	1	2	5
UT	16	1	0	5	0	0	0	3	4	3	0	0
VA	65	1	0	48	0	2	4	2	3	2	3	0
VI	0	0	0	0	0	0	0	0	0	0	0	0
VT	20	4	0	11	0	2	1	1	0	1	0	0
WA	95	11	1	40	10	6	8	3	5	6	1	4
WI	29	0	0	13	11	4	0	0	0	0	1	0
WV	26	0	1	15	2	3	3	0	1	1	0	0
WY	14	2	0	3	0	0	7	2	0	0	0	0
Total	2,295	158	24	963	246	202	316	97	138	73	51	27
Percentages	100%	6.9%	1%	42%	11%	8.8%	14%	4.2%	6%	3.2%	2.2%	1.2%

Table 6a: Complaints Involving Neglect
FY 2016

States	Number of Neglect Complaints Closed	Failure to Provide for Appropriate										
		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnostic	Medical Diagnosis	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
AK	1	0	0	1	0	0	0	0	0	0	0	0
AL	82	3	4	37	3	8	3	1	9	1	0	13
AR	20	2	0	12	2	3	0	1	0	0	0	0
AS	13	3	3	0	0	3	2	1	0	1	0	0
AZ	11	3	2	3	1	0	1	0	0	0	0	1
CA	49	5	1	5	19	10	8	0	1	0	0	0
CO	6	0	0	2	1	1	1	0	1	0	0	0
CT	23	2	0	12	1	1	2	0	1	3	1	0
DC	42	1	0	15	0	2	16	0	1	6	1	0
DE	9	0	0	6	0	1	1	0	0	0	0	1
FL	40	5	0	16	2	6	8	1	1	0	1	0
GA	70	1	0	40	2	6	2	0	0	0	19	0
GU	7	4	0	0	0	0	0	1	1	1	0	0
HI	3	0	0	1	0	2	0	0	0	0	0	0
IA	3	0	0	0	0	1	1	0	0	0	0	1
ID	82	6	0	62	1	10	0	0	1	1	0	1
IL	64	6	0	39	2	4	4	1	3	1	4	0
IN	10	0	0	3	0	0	2	3	1	0	1	0
KS	43	1	0	19	0	9	11	1	1	1	0	0
KY	13	0	0	3	0	0	1	0	0	9	0	0
LA	13	0	1	6	1	2	2	0	0	1	0	0

Table 6a: Complaints Involving Neglect
FY 2016, cont.

States	Number of Neglect Complaints Closed	Failure to Provide for Appropriate										
		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnostic	Medical Diagnosis	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
MA	26	5	0	21	0	0	0	0	0	0	0	0
MD	25	1	0	19	0	3	1	0	0	0	1	0
ME	37	4	0	29	0	0	0	0	4	0	0	0
MI	13	0	0	3	1	2	2	0	2	2	1	0
MN	33	2	1	14	0	0	11	0	1	4	0	0
MO	104	0	0	25	7	10	16	1	5	40	0	0
MP	0	0	0	0	0	0	0	0	0	0	0	0
MS	7	0	0	2	1	1	0	0	2	0	1	0
MT	81	4	0	4	7	10	6	34	11	3	0	2
Subtotal	930	58	12	399	51	95	101	45	46	74	30	19

Table 6b: Complaints Involving Neglect
FY 2016

States	Number	Failure to Provide for Appropriate
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		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnostic	Medical Diagnosis	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
NA	1	0	0	0	0	0	1	0	0	0	0	0
NC	52	3	0	40	2	3	0	1	0	3	0	0
ND	43	3	0	17	2	4	9	0	1	6	0	1
NE	8	0	0	4	0	0	2	1	1	0	0	0
NH	68	22	1	21	4	1	4	0	4	2	7	2
NJ	41	0	0	31	0	1	6	1	2	0	0	0
NM	65	3	0	25	1	14	11	0	9	0	2	0
NV	9	1	0	5	0	0	0	0	0	2	0	1
NY	28	2	1	13	2	3	3	0	4	0	0	0
OH	142	11	2	53	7	16	35	0	14	1	1	2
OK	3	0	0	3	0	0	0	0	0	0	0	0
OR	2	0	0	2	0	0	0	0	0	0	0	0
PA	32	4	0	11	5	6	3	0	2	1	0	0
PR	24	10	3	4	2	1	1	0	0	0	3	0
RI	23	0	0	9	1	7	2	0	2	0	0	2
SC	15	1	0	6	1	0	0	2	1	1	0	3
SD	49	2	0	43	1	3	0	0	0	0	0	0
TN	8	0	0	4	0	1	2	0	1	0	0	0
TX	356	5	0	102	138	55	25	0	25	1	3	2
UT	5	1	0	0	0	0	0	1	2	1	0	0
VA	40	0	0	29	1	1	1	3	3	0	2	0

Table 6b: Complaints Involving Neglect
FY 2016, cont.

States	Number of Neglect	Failure to Provide for Appropriate
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		Admission to Residential Care or Treatment Facility	Transportation to/from Treatment Facility	Discharge Planning	Mental Health Diagnosis	Medical Diagnostic	Personal Care	Environmental Safety	Personal Safety	No Written Treatment Plans	Rehabilitation/Vocational Programming	Other
VI	0	0	0	0	0	0	0	0	0	0	0	0
VT	31	3	1	12	1	5	1	5	1	1	1	0
WA	48	5	0	19	9	5	3	1	3	0	1	2
WI	25	0	0	7	8	5	0	1	0	4	0	0
WV	17	0	0	14	0	2	1	0	0	0	0	0
WY	9	0	0	6	0	0	2	1	0	0	0	0
Subtotal 6b	1,144	76	8	480	185	133	112	17	75	23	20	15
Subtotal 6a	937	58	12	401	52	96	102	45	46	74	32	19
Total 6a & 6b	2,081	134	20	881	237	229	214	62	121	97	52	34

Table 7a – 7b – 7c: Complaints Involving Rights Violations
FY 2015

States	Number of Rights Complaints Closed	Discrimination in:		Denial of:							Failure to Provide:			Problem with Advance Directives	Denial of Parental/Family Rights	Other
		Discrimination	Employment	Reimbursement and Entitlement	Guardianship/Conservator Problems	Rights Protec Legal Assistance	Privacy	Recreational Opportunities	Visitors	Access to Records	Confidentiality	Informed Consent	Education			
AK	29	3	1	20	1	0	0	0	0	0	0	0	2	0	0	2
AL	70	1	1	3	5	2	1	5	0	1	1	2	38	0	1	9
AR	27	6	1	0	4	2	2	0	0	1	0	0	2	0	0	9
AS	23	1	2	4	1	1	4	0	3	0	0	0	4	1	2	0
AZ	41	2	0	3	0	15	3	2	0	7	3	0	6	0	0	0
CA	796	175	67	238	20	96	4	3	1	5	5	1	39	1	5	136
CO	9	3	1	0	0	1	4	0	0	0	0	0	0	0	0	0
CT	41	3	2	0	1	3	1	1	0	0	0	0	18	0	1	11
DC	22	3	0	4	7	1	0	1	0	0	2	2	0	2	0	0
DE	49	5	1	24	3	1	0	0	0	1	0	0	8	0	2	4
FL	75	4	1	5	1	35	1	4	2	3	2	6	5	1	0	5
GA	19	4	0	1	4	5	0	0	0	0	0	0	2	0	3	0
GU	24	1	1	3	4	4	1	1	0	1	0	0	6	2	0	0
HI	191	2	0	19	17	0	0	4	0	0	0	0	102	32	0	15
IA	49	4	3	2	8	12	2	4	0	0	0	0	12	0	0	2
ID	57	1	0	37	3	7	4	0	0	1	1	1	0	0	1	1
IL	248	7	50	4	19	0	4	10	0	3	0	0	113	0	0	38
IN	42	0	0	6	0	5	1	13	1	0	0	2	14	0	0	0

Table 7a – 7b – 7c: Complaints Involving Rights Violations
FY 2015, cont.

States	Num ber of	Discrimination in:	Denial of:	Failure to Provide:	Probl em with	Denia l of	Other
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		Discrimination	Employment	Reimbursement and Entitlement	Guardianship/Conservator Problems	Rights Protec Legal Assistance	Privacy	Recreational Opportunities	Visitors	Access to Records	Confidentiality	Informed Consent	Education			
KS	439	85	38	58	33	7	20	3	1	3	13	31	54	1	8	84
KY	38	4	2	4	3	3	0	8	3	0	0	0	5	0	2	4
LA	33	2	1	1	2	2	0	2	0	2	0	1	20	0	0	0
MA	64	10	25	2	4	12	1	2	0	0	0	0	2	0	2	4
MD	48	40	0	0	0	0	0	0	0	0	1	2	0	0	1	4
ME	101	29	9	4	8	2	1	2	0	1	0	1	44	0	0	0
MI	21	2	0	2	2	5	5	0	0	0	0	1	4	0	0	0
MN	68	8	1	5	8	2	2	8	0	0	1	0	22	0	1	10
MO	104	6	2	17	44	3	8	6	2	9	0	1	1	2	3	0
MP	5	0	1	1	0	0	0	1	0	0	0	0	2	0	0	0
MS	49	1	0	5	0	3	2	1	0	0	1	0	36	0	0	0
MT	63	2	4	0	3	3	7	0	0	1	0	1	10	0	2	30
NA	42	4	0	24	0	2	0	0	0	0	0	1	10	0	0	1
NC	45	6	3	7	13	12	0	2	0	0	0	0	0	1	0	1
ND	62	0	3	5	7	1	0	0	0	0	0	0	46	0	0	0
NE	6	0	0	0	5	0	0	0	0	0	0	0	0	0	0	1
NH	214	48	28	48	34	4	3	8	1	3	3	0	22	0	5	7
NJ	62	3	4	7	0	2	2	3	0	1	1	0	28	1	1	9
NM	25	0	0	0	2	14	4	0	0	1	1	2	0	0	1	0
NV	22	0	0	1	0	7	0	0	0	1	0	0	0	0	0	13

Table 7a – 7b – 7c: Complaints Involving Rights Violations
FY 2015, cont.

States	Number of Rights Complaints Closed	Discrimination in:		Denial of:							Failure to Provide:			Problem with Advance Directives	Denial of Parental/Family Rights	Other
		Discrimination	Employment	Reimbursement and Entitlement	Guardianship/Conservator Problems	Rights Protec Legal Assistance	Privacy	Recreational Opportunities	Visitors	Access to Records	Confidentiality	Informed Consent	Education			
NY	201	57	41	13	5	4	2	5	0	4	1	3	32	0	0	34
OH	372	47	48	30	48	23	19	30	6	10	3	39	67	0	2	0
OK	380	43	16	125	8	58	1	1	1	5	1	2	102	0	15	2
OR	43	1	0	0	5	2	0	0	3	1	0	0	2	2	1	26
PA	427	63	17	61	20	181	4	0	3	9	1	2	40	4	22	0
PR	69	3	7	5	0	27	0	1	0	1	0	0	25	0	0	0
RI	70	24	0	2	4	3	0	0	0	0	0	0	19	0	0	18
SC	38	10	0	1	2	0	0	0	1	1	0	0	17	0	0	6
SD	59	0	1	15	0	0	1	0	0	0	0	0	38	0	0	4
TN	68	4	2	3	0	16	1	1	0	1	0	0	40	0	0	0
TX	299	11	12	13	19	12	20	50	0	8	12	11	93	1	6	31
UT	110	0	8	19	6	68	2	0	0	0	0	0	1	1	5	0
VA	22	0	0	0	2	0	0	2	0	2	0	0	4	12	0	0
VI	5	1	0	0	1	1	1	0	0	0	0	0	1	0	0	0
VT	21	2	0	0	0	0	2	0	0	0	0	0	0	12	0	5
WA	243	45	42	65	6	40	5	6	3	4	6	1	1	1	9	9
WI	35	4	3	4	1	8	0	0	1	0	1	1	12	0	0	0
WV	22	2	0	0	1	4	3	2	0	1	0	0	5	0	1	3
WY	11	1	0	1	2	4	0	1	0	0	1	1	0	0	0	0
Total	5,818	793	449	921	396	725	148	193	32	92	61	115	1,176	77	102	538
Percentages	100%	14%	7.7%	16%	6.8%	12%	2.5%	3.3%	0.6%	1.6%	1%	2%	20%	1.3%	1.8%	9.2%

Table 7a: Complaints Involving Rights Violations
FY 2016

States	Number of Rights	Discrimination in:	Denial of:
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		Housing	Employment	Reimbursement and Entitlement	Guardianship/Conservator problems	Rights Protec Legal Assistance	Privacy	Recreational Opportunities
AK	14	2	0	10	0	0	0	0
AL	50	6	1	2	5	0	1	1
AR	76	1	3	2	1	1	0	0
AS	15	1	2	1	0	4	2	0
AZ	14	0	1	0	2	2	0	1
CA	703	170	59	99	4	10	2	3
CO	10	5	0	0	0	2	2	0
CT	32	4	1	1	0	1	0	0
DC	28	2	1	3	5	0	0	1
DE	44	8	4	20	2	0	0	0
FL	59	1	2	7	0	33	1	3
GA	20	2	3	0	8	1	0	0
GU	13	0	6	1	0	1	0	0
HI	219	2	0	18	15	0	0	0
IA	31	3	4	2	6	0	0	0
ID	123	8	0	62	6	15	3	9
IL	283	4	25	4	30	0	7	4
IN	42	6	2	2	0	0	0	5
KS	331	65	26	14	17	11	3	0
KY	49	3	0	2	0	11	0	17
LA	48	5	1	6	3	2	2	0

Table 7a: Complaints Involving Rights Violations
FY 2016, cont.

States	Number of Rights	Discrimination in:	Denial of:
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		Housing	Employment	Reimbursement and Entitlement	Guardianship/Conservator problems	Rights Protec Legal Assistance	Privacy	Recreational Opportunities
MA	62	22	23	1	1	4	1	2
MD	87	62	0	1	1	3	1	2
ME	101	22	11	2	8	4	4	6
MI	19	3	0	1	0	1	3	1
MN	84	14	1	8	2	0	1	11
MO	108	3	0	41	32	5	9	8
MP	8	1	0	3	0	0	0	0
MS	33	1	0	0	0	0	2	1
MT	69	0	8	6	3	3	0	0
NA	20	1	0	3	0	0	0	0
NC	59	1	1	8	8	32	2	1
ND	87	3	3	7	10	9	0	0
NE	5	0	0	1	3	0	0	1
NH	215	58	20	44	25	4	2	4
NJ	79	6	12	8	0	1	2	5
NM	42	0	1	2	6	18	2	0
NV	27	0	0	0	0	4	2	1
NY	245	70	39	18	6	8	1	2
OH	397	64	57	18	42	49	12	17
OK	34	2	0	5	0	1	0	0

Table 7a: Complaints Involving Rights Violations
FY 2016, cont.

States	Number of Rights	Discrimination in:	Denial of:
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		Housing	Employment	Reimbursement and Entitlement	Guardianship/Conservator problems	Rights Protec Legal Assistance	Privacy	Recreational Opportunities
OR	33	2	0	0	5	0	0	0
PA	230	19	26	24	2	95	1	2
PR	54	5	7	8	0	19	0	0
RI	90	30	2	4	2	2	0	0
SC	23	4	1	1	0	0	0	0
SD	51	0	0	6	0	0	0	1
TN	44	8	0	0	1	9	0	3
TX	251	9	13	13	19	28	31	35
UT	80	0	19	13	7	35	0	0
VA	15	1	0	0	2	4	1	0
VI	9	2	0	3	4	0	0	0
VT	33	1	2	2	0	3	5	3
WA	212	20	21	37	4	13	10	7
WI	55	8	13	1	0	11	0	0
WV	27	4	0	4	0	0	2	3
WY	4	0	0	0	1	1	1	0
Total	5,196	744	421	549	298	460	118	160
Percentages	100%	14%	8.1%	11%	5.7%	8.9%	2.3%	3.1%

Table 7b: Complaints Involving Rights Violations
FY 2016

States	Number of	Discrimination in:	Failure to Provide:	Problem with	Denial of Par	Other
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		Visitors	Access to Records	Confidentiality	Informed Consent	Education			
AK	14	0	0	0	0	1	1	0	0
AL	50	0	0	3	0	26	2	1	2
AR	76	0	1	0	0	49	0	1	17
AS	15	2	0	0	1	1	2	0	0
AZ	14	1	1	4	0	0	0	2	0
CA	703	2	10	10	5	40	0	3	286
CO	10	1	0	0	0	0	0	0	0
CT	32	1	0	0	0	12	0	0	12
DC	28	0	1	2	3	1	4	1	4
DE	44	0	0	0	0	4	3	0	3
FL	59	0	4	0	2	6	0	0	0
GA	20	0	0	0	4	2	0	0	0
GU	13	0	0	0	0	3	2	0	0
HI	219	0	1	0	0	101	74	0	8
IA	31	1	1	0	0	9	0	0	5
ID	123	0	3	0	1	7	0	3	6
IL	283	0	2	2	1	169	2	0	33
IN	42	4	1	0	1	18	0	0	3
KS	331	1	1	6	2	44	0	10	131
KY	49	6	0	0	0	6	2	2	0
LA	48	0	0	0	3	25	0	1	0

Table 7b: Complaints Involving Rights Violations
FY 2016, cont.

States	Discrimination in:	Failure to Provide:	Pr ob le m	D en ial of	Of he r
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		Visitors	Access to Records	Confidentiality	Informed Consent	Education			
MA	62	0	0	1	0	0	0	1	6
MD	87	0	1	0	1	0	0	1	14
ME	101	1	0	0	0	37	0	0	6
MI	19	0	0	0	1	7	0	0	2
MN	84	1	1	1	0	33	1	1	9
MO	108	1	4	0	3	1	1	0	0
MP	8	0	0	0	0	2	0	0	2
MS	33	0	0	0	0	28	0	1	0
MT	69	0	1	0	2	17	0	3	26
NA	20	0	0	0	1	14	0	0	1
NC	59	0	4	0	0	1	1	0	0
ND	87	0	0	0	0	55	0	0	0
NE	5	0	0	0	0	0	0	0	0
NH	215	1	1	4	0	34	1	8	9
NJ	79	1	0	1	0	36	1	0	6
NM	42	0	1	8	0	3	1	0	0
NV	27	0	0	1	0	0	0	0	19
NY	245	0	3	0	0	40	0	2	56
OH	397	4	7	10	37	74	0	6	0
OK	34	0	0	1	0	25	0	0	0
OR	33	0	0	0	0	4	0	0	22

Table 7b: Complaints Involving Rights Violations
FY 2016, cont.

States	Number of	Discrimination in:	Failure to Provide:	Problem with	Denial of	Paras	Other
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		Visitors	Access to Records	Confidentiality	Informed Consent	Education			
PA	230	0	1	4	1	43	3	9	0
PR	54	0	0	0	0	14	0	0	1
RI	90	0	0	0	2	22	0	0	26
SC	23	0	1	0	0	10	0	0	6
SD	51	0	0	0	1	42	0	0	1
TN	44	0	0	0	0	23	0	0	0
TX	251	3	14	8	16	31	1	3	27
UT	80	0	1	0	0	4	0	1	0
VA	15	0	1	0	2	2	1	1	0
VI	9	0	0	0	0	0	0	0	0
VT	33	0	2	1	2	1	10	0	1
WA	212	1	3	2	3	1	1	6	83
WI	55	0	0	0	0	22	0	0	0
WV	27	1	2	0	0	9	0	0	2
WY	4	0	1	0	0	0	0	0	0
Total	5,196	33	75	69	95	1,159	114	67	835
Percentages	100%	0.6%	1.4%	1.3%	1.8%	22%	2.2%	1.3%	16%

Table 7c: Death Investigations
FY 2015

States	Deaths Reported by				Death Investigations Conducted			
	Total Number of Deaths Reported	States	Number of Deaths Medicaid	Other	Total Number of Death Investigations	Number of Deaths Seclusion	Number of Deaths Restraint	Number of Deaths Non-Seclusion/Restraint
AK	4	0	0	4	0	0	0	0
AL	2	0	0	2	2	0	0	2
AR	0	0	0	0	1	0	0	1
AS	1	0	0	1	1	0	0	1
AZ	1	0	0	1	1	0	0	1
CA	34	33	0	1	8	0	1	7
CO	1	0	0	1	1	0	0	1
CT	5	5	0	0	5	0	0	5
DC	4	3	0	1	2	0	0	2
DE	12	11	0	1	12	0	0	12
FL	7	2	0	5	7	0	0	7
GA	17	0	0	17	17	0	0	17
GU	1	1	0	0	1	0	0	1
HI	0	0	0	0	0	0	0	0
IA	8	4	0	4	8	0	0	8
ID	1	0	0	1	1	0	0	1
IL	20	18	0	2	16	0	0	16
IN	8	0	1	7	2	0	0	2
KS	0	0	0	0	0	0	0	0
KY	15	9	0	6	15	3	1	11
LA	0	0	0	0	0	0	0	0
MA	295	295	0	0	1	0	0	1
MD	6	6	0	0	6	0	0	6
ME	1	0	0	1	0	0	0	0
MI	17	9	0	8	17	0	0	17

Table 7c: Death Investigations
FY 2015, cont.

States	Deaths Reported by				Death Investigations Conducted			
	Total Number of Deaths Reported	States	Number of Deaths Medicaid	Other	Total Number of Death Investigations	Number of Deaths Seclusion	Number of Deaths Restraint	Number of Deaths Non-Seclusion/Restraint
MN	1	0	0	1	1	0	0	1
MO	442	439	0	3	10	0	0	10
MP	0	0	0	0	0	0	0	0
MS	1	0	0	1	1	0	0	1
MT	1	1	0	0	1	1	0	0
NA	0	0	0	0	0	0	0	0
NC	13	10	0	3	2	1	1	0
ND	7	0	0	7	5	0	1	4
NE	1	0	0	1	1	0	0	1
NH	0	0	0	0	0	0	0	0
NJ	19	18	0	1	19	1	1	17
NM	0	0	0	0	1	0	0	1
NV	2	0	0	2	2	0	1	1
NY	8	0	0	8	8	0	0	8
OH	157	155	0	2	157	0	1	156
MN	0	0	0	0	0	0	0	0
OK	0	0	0	0	0	0	0	n/a
OR	5	5	0	0	5	0	0	5
PA	34	34	0	0	0	0	0	0
PR	0	0	0	0	0	0	0	0
RI	0	0	0	0	0	0	0	0
SC	1	0	0	0	1	0	0	1
SD	0	0	0	0	0	0	0	0
TN	0	0	0	0	0	0	0	0

Table 7c: Death Investigations
FY 2015, cont.

States	Deaths Reported by				Death Investigations Conducted			
	Total Number of Deaths Reported	States	Number of Deaths Medicaid	Other	Total Number of Death Investigations	Number of Deaths Seclusion	Number of Deaths Restraint	Number of Deaths Non-Seclusion/Restraint
TX	9	0	0	9	9	0	4	5
UT	13	12	0	1	1	1	0	0
VA	55	54	0	1	7	0	0	7
VI	0	0	0	0	0	0	0	0
VT	4	0	0	4	4	2	0	2
WA	6	0	0	6	6	0	0	6
WI	11	6	0	5	11	0	1	10
WV	0	0	0	0	0	0	0	0
WY	1	1	0	0	1	0	0	1
Total	1,251	937	1	106	203	9	10	184

Table 7c: Death Investigations
FY 2016

States	Deaths Reported by				Death Investigations Conducted			
	Total Number of Deaths Reported	States	Number of Deaths Medicaid	Other	Total Number of Death Investigations	Number of Deaths Seclusion	Number of Deaths Restraint	Number of Deaths Non-Seclusion Restraint
AK	7	0	0	7	7	0	0	7
AL	2	0	0	2	2	0	0	2
AR	1	0	0	1	1	0	0	1
AS	0	0	0	0	0	0	0	0
AZ	0	0	0	0	1	0	0	1
CA	39	39	0	0	44	0	0	44
CO	2	0	0	2	2	0	1	1
CT	6	6	0	0	0	0	0	0
DC	6	5	0	1	2	0	0	2
DE	20	19	0	1	20	0	1	19
FL	5	1	0	4	5	0	0	5
GA	14	0	0	14	14	0	0	14
GU	1	1	0	0	1	0	0	1
HI	0	0	0	0	0	0	0	0
IA	7	0	0	7	7	0	0	7
ID	1	0	0	1	1	0	0	1
IL	17	15	0	2	15	0	0	15
IN	1	0	0	1	1	0	0	1
KS	0	0	0	0	0	0	0	0
KY	6	3	0	3	6	3	0	3
LA	0	0	0	0	0	0	0	0
MA	247	245	0	2	4	1	0	3
MD	64	8	0	56	2	0	0	2
ME	1	0	0	1	1	0	0	1

Table 7c: Death Investigations
FY 2016, cont.

States	Deaths Reported by				Death Investigations Conducted			
	Total Number of Deaths Reported	States	Number of Deaths Medicaid	Other	Total Number of Death Investigations	Number of Deaths Seclusion	Number of Deaths Restraint	Number of Deaths Not Seclusion Restraint
MI	7	1	0	6	7	0	1	6
MN	2	0	0	2	2	0	0	2
MO	364	361	0	3	5	0	0	5
MP	0	0	0	0	0	0	0	0
MS	1	0	0	1	1	0	0	1
MT	6	0	0	6	6	0	0	6
NA	0	0	0	0	0	0	0	0
NC	21	21	0	0	1	0	0	1
ND	4	0	0	4	4	0	0	4
NE	0	0	0	0	0	0	0	0
NH	0	0	0	0	0	0	0	0
NJ	19	18	0	1	19	0	0	19
NM	0	0	0	0	0	0	0	0
NV	1	0	0	1	1	0	0	1
NY	13	0	0	13	13	0	0	13
OH	187	186	0	1	187	0	1	186
OK	0	0	0	0	0	0	0	0
OR	3	2	0	1	3	0	0	3
PA	41	41	0	0	0	0	0	0
PR	2	0	0	2	2	0	0	2
RI	0	0	0	0	0	0	0	0
SC	0	0	0	0	1	0	0	1
SD	0	0	0	0	0	0	0	0
TN	0	0	0	0	0	0	0	0
TX	9	0	0	9	9	0	0	9

Table 7c: Death Investigations
FY 2016, cont.

States	Deaths Reported by				Death Investigations Conducted			
	Total Number of Deaths Reported	States	Number of Deaths Medicaid	Other	Total Number of Death Investigations	Number of Deaths Seclusion	Number of Deaths Restraint	Number of Deaths Not Seclusion Restraint
UT	0	0	0	0	0	0	0	0
VA	42	42	0	0	11	0	0	11
VI	0	0	0	0	0	0	0	0
VT	8	2	0	6	8	0	0	8
WA	1	0	1	0	2	0	0	2
WI	13	7	0	6	13	0	1	12
WV	0	0	0	0	0	0	0	0
WY	2	2	0	0	2	0	0	2
Total	1,193	1,025	1	167	433	4	5	424
Percentages	100%	86%	0.1%	14%	36%	0.3%	0.4%	36%

Table 8a – Analysis of Alleged Abuse
FY 2015

States	Total Complaints Closed	Total Abuse Complaints	Abuse complaints withdrawn, no merit, etc.	Favorably Resolved	Not Favorably Resolved	Percentage Favorably Resolved
AK	32	2	1	1	0	100%
AL	211	48	17	27	4	87%
AR	71	27	20	6	1	86%
AS	40	4	1	2	1	67%
AZ	82	13	5	5	3	63%
CA	921	95	6	89	0	100%
CO	23	11	1	10	0	100%
CT	104	44	4	34	6	85%
DC	105	35	13	19	3	86%
DE	83	12	1	11	0	100%
FL	223	94	42	43	9	83%
GA	112	36	1	35	0	100%
GU	33	2	1	1	0	100%
HI	201	5	4	1	0	100%
IA	74	20	9	10	1	91%
ID	83	4	2	1	1	50%
IL	289	25	2	15	8	65%
IN	133	65	46	9	10	47%
KA	520	28	13	13	2	87%
KY	84	30	1	29	0	100%
LA	59	8	1	7	0	100%
MA	128	29	3	26	0	100%
MD	104	37	5	30	2	94%
ME	234	72	24	33	15	69%
MI	57	12	3	8	1	89%

Table 8a – Analysis of Alleged Abuse
FY 2015, cont.

States	Total Complaints Closed	Total Abuse Complaints	Abuse complaints withdrawn, no merit, etc.	Favorably Resolved	Not Favorably Resolved	Percentage Favorably Resolved
MN	123	23	6	15	2	88%
MO	334	107	7	98	2	98%
MP	7	2	1	1	0	100%
MS	79	13	2	10	1	91%
MT	278	104	69	27	8	77%
NA	46	2	0	1	1	50%
NC	192	42	4	38	0	100%
ND	109	37	4	32	1	97%
NE	33	25	17	4	4	50%
NH	353	64	1	56	7	89%
NJ	203	101	26	71	4	95%
NM	122	21	2	15	4	79%
NV	35	8	2	6	0	100%
NY	315	72	24	44	4	92%
OH	691	142	33	107	2	98%
MN	123	23	6	15	2	88%
OK	417	30	0	30	0	100%
OR	63	7	5	2	0	100%
PA	617	132	63	52	17	75%
PR	88	6	2	2	2	50%
RI	45	1	1	0	0	NA
SC	163	114	7	99	8	93%
SD	124	9	2	6	1	86%
TN	116	33	21	12	0	100%
TX	752	106	37	62	7	90%

Table 8a – Analysis of Alleged Abuse
FY 2015, cont.

States	Total Complaints Closed	Total Abuse Complaints	Abuse complaints withdrawn, no merit, etc.	Favorably Resolved	Not Favorably Resolved	Percentage Favorably Resolved
UT	178	53	28	22	3	88%
VA	138	51	13	38	0	100%
VI	6	1	0	0	1	0%
VT	86	45	19	19	7	73%
WA	433	96	0	96	0	100%
WI	82	18	4	13	1	93%
WV	62	14	2	10	2	83%
WY	48	23	0	23	0	100%
Total	10,344	2,260	628	1,476	156	90%

Table 8a: Analysis of Alleged Abuse
FY 2016

States	Total Complaints Closed	Total Abuse Complaints	Abuse complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
AK	29	14	12	2	0	100%
AL	181	49	29	11	9	55%
AR	113	17	9	7	1	88%
AS	43	3	1	2	0	100%
AZ	40	15	2	10	3	77%
CA	857	105	9	93	3	97%
CO	30	14	10	4	0	100%
CT	115	60	11	42	7	86%
DC	92	22	9	11	2	85%
DE	64	11	0	11	0	100%
FL	149	51	31	20	0	100%
GA	129	39	8	30	1	97%
GU	24	4	0	4	0	100%
HI	202	5	4	1	0	100%
IA	52	18	10	8	0	100%
ID	232	27	13	14	0	100%
IL	330	37	9	16	12	57%
IN	82	28	0	28	0	100%
KS	404	30	15	13	2	87%
KY	75	13	5	7	1	88%
LA	70	9	2	7	0	100%
MA	107	19	0	19	0	100%
MD	143	31	14	17	0	100%
ME	206	67	26	38	3	93%
MI	43	11	2	6	3	67%

Table 8a: Analysis of Alleged Abuse
FY 2016, cont.

States	Total Complaints Closed	Total Abuse Complaints	Abuse complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
MN	144	29	8	16	5	76%
MO	303	76	5	70	1	99%
MP	10	2	1	1	0	100%
MS	52	11	1	1	9	10%
MT	249	99	32	44	23	66%
NA	23	2	0	2	0	100%
NC	168	57	8	49	0	100%
ND	125	47	3	43	1	98%
NE	34	21	17	3	1	75%
NH	350	67	8	58	1	98%
NJ	208	88	22	57	9	86%
NM	144	37	2	32	3	91%
NV	41	5	2	2	1	67%
NY	353	80	27	52	1	98%
OH	682	144	16	120	8	94%
OK	46	10	0	10	0	100%
OR	38	3	0	3	0	100%
PA	319	57	17	37	3	93%
PR	88	10	6	4	0	100%
RI	73	5	1	4	0	100%
SC	180	142	8	129	5	96%
SD	110	10	3	6	1	86%
TN	92	40	24	16	0	100%
TX	683	79	42	24	13	65%
UT	87	2	0	2	0	100%

Table 8a: Analysis of Alleged Abuse
FY 2016, cont.

States	Total Complaints Closed	Total Abuse Complaints	Abuse complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
VA	97	42	9	32	1	97%
VI	8	1	0	1	0	100%
VT	111	46	23	18	5	78%
WA	351	91	1	90	0	100%
WI	91	11	1	7	3	70%
WV	50	6	2	4	0	100%
WY	29	16	0	16	0	100%
Total	9,151	2,035	520	1,374	141	90%

Table 8b: Analysis of Alleged Neglect
FY 2015

States	Total Complaints Closed	Total Neglect Complaints	Neglect complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
AK	32	1	0	1	0	100%
AL	211	93	20	71	2	97%
AR	71	17	7	6	4	60%
AS	40	13	3	8	2	80%
AZ	82	28	7	20	1	95%
CA	921	30	1	28	1	97%
CO	23	3	0	3	0	100%
CT	104	19	3	16	0	100%
DC	105	48	9	36	3	92%
DE	83	22	1	21	0	100%
FL	223	54	13	38	3	93%
GA	112	57	4	51	2	96%
GU	33	7	2	5	0	100%
HI	201	5	4	1	0	100%
IA	74	5	2	3	0	100%
ID	83	22	7	11	4	73%
IL	289	61	10	33	18	65%
IN	133	25	16	4	5	44%
KA	520	53	15	35	3	92%
KY	84	12	1	9	2	82%
LA	59	17	3	14	0	100%
MA	128	35	3	32	0	100%
MD	104	17	3	13	1	93%
ME	234	41	7	24	10	71%

Table 8b – Analysis of Alleged Neglect
FY 2015, cont.

States	Total Complaints Closed	Total Neglect Complaints	Neglect complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
MI	57	24	1	21	2	91%
MN	123	32	4	28	0	100%
MO	334	113	6	104	3	97%
MP	7	0	0	0	0	n/a
MS	79	17	2	12	3	80%
MT	278	110	30	73	7	91%
NA	46	3	0	3	0	100%
NC	192	105	8	97	0	100%
ND	109	30	0	30	0	100%
NE	33	1	0	1	0	100%
NH	353	75	1	71	3	96%
NJ	203	40	12	26	2	93%
NM	122	76	3	67	6	92%
NV	35	5	5	0	0	n/a
NY	315	42	13	27	2	93%
OH	691	177	17	156	4	98%
OK	417	7	0	7	0	100%
OR	63	13	3	6	4	60%
PA	617	58	10	44	4	92%
PR	88	13	1	11	1	92%
RI	45	11	3	7	1	88%
SC	163	11	0	11	0	100%
SD	124	56	3	52	1	98%
TN	116	15	7	8	0	100%

Table 8b – Analysis of Alleged Neglect
FY 2015, cont.

States	Total Complaints Closed	Total Neglect Complaints	Neglect complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
TX	752	347	147	174	26	87%
UT	178	16	2	13	1	93%
VA	138	65	1	64	0	100%
VI	6	0	0	0	0	0%
VT	86	20	8	8	4	67%
WA	433	95	0	95	0	100%
WI	82	29	8	21	0	100%
WV	62	26	3	18	5	78%
WY	48	14	0	14	0	100%
Total	10,344	2,331	439	1,752	140	89%

Table 8b: Analysis of Alleged Neglect
FY 2016

States	Total Complaints Closed	Total Neglect Complaints	Neglect complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
AK	29	1	1	0	0	NA
AL	181	82	19	51	12	81%
AR	113	20	11	8	1	89%
AS	43	13	0	13	0	100%
AZ	40	11	0	10	1	91%
CA	857	49	3	46	0	100%
CO	30	6	3	2	1	67%
CT	115	23	3	20	0	100%
DC	92	42	10	27	5	84%
DE	64	9	1	8	0	100%
FL	149	39	17	21	1	95%
GA	129	70	10	58	2	97%
GU	24	7	0	7	0	100%
HI	202	3	2	1	0	100%
IA	52	3	1	2	0	100%
ID	232	82	16	64	2	97%
IL	330	59	15	25	19	57%
IN	82	10	0	10	0	100%
KS	404	43	20	21	2	91%
KY	75	13	3	10	0	100%
LA	70	13	2	10	1	91%
MA	107	26	1	25	0	100%
MD	143	25	5	20	0	100%
ME	206	38	8	27	3	90%

Table 8b: Analysis of Alleged Neglect
FY 2016, cont.

States	Total Complaints Closed	Total Neglect Complaints	Neglect complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
MI	43	13	3	8	2	80%
MN	144	31	3	23	5	82%
MO	303	100	8	92	0	100%
MP	10	0	0	0	0	n/a
MS	52	8	0	7	1	88%
MT	249	81	34	42	5	89%
NA	23	1	0	1	0	100%
NC	168	52	4	48	0	100%
ND	125	29	0	28	1	97%
NE	34	8	2	6	0	100%
NH	350	68	2	62	4	94%
NJ	208	41	4	37	0	100%
NM	144	65	0	55	10	85%
NV	41	9	2	6	1	86%
NY	353	28	13	14	1	93%
OH	682	141	17	118	6	95%
OK	46	3	0	3	0	100%
OR	38	2	0	2	0	100%
PA	319	32	5	24	3	89%
PR	88	24	3	19	2	90%
RI	73	23	4	2	17	11%
SC	180	15	2	13	0	100%
SD	110	49	1	47	1	98%
TN	92	8	4	4	0	100%

Table 8b: Analysis of Alleged Neglect
FY 2016, cont.

States	Total Complaints Closed	Total Neglect Complaints	Neglect complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
TX	683	353	169	126	58	68%
UT	87	5	0	5	0	100%
VA	97	40	3	37	0	100%
VI	8	0	0	0	0	n/a
VT	111	31	9	18	4	82%
WA	351	48	0	48	0	100%
WI	91	25	7	15	3	83%
WV	50	17	5	10	2	83%
WY	29	9	0	9	0	100%
Total	9,151	2,046	455	1,415	176	89%

Table 8c – Analysis of Alleged Rights Violations
FY 2015

Sates	Total Complaints Closed	Total Rights Complaints Closed	Rights complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
AK	32	29	18	11	0	100%
AL	211	70	0	69	1	99%
AR	71	27	14	10	3	77%
AS	40	23	3	20	0	100%
AZ	82	41	6	26	9	74%
CA	921	796	50	727	19	97%
CO	23	9	0	8	1	89%
CT	104	41	8	33	0	100%
DC	105	22	6	13	3	81%
DE	83	49	4	45	0	100%
FL	223	75	13	53	9	85%
GA	112	19	1	18	0	100%
GU	33	24	2	21	1	95%
HI	201	191	37	149	5	97%
IA	74	49	12	37	0	100%
ID	83	57	5	50	2	96%
IL	289	203	27	106	70	60%
IN	133	43	22	18	3	86%
KS	520	439	153	224	62	78%
KY	84	42	11	26	5	84%
LA	59	34	7	23	4	85%
MA	128	64	13	51	0	100%
MD	104	50	5	44	1	98%
ME	234	121	39	72	10	88%
MI	57	21	4	14	3	82%

Table 8c – Analysis of Alleged Rights Violations
FY 2015, cont.

Sates	Total Complaints Closed	Total Rights Complaints Closed	Rights complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
MN	123	68	7	60	1	98%
MO	334	114	17	90	7	93%
MP	7	5	1	3	1	75%
MS	79	49	3	43	3	93%
MT	278	64	13	38	13	75%
NA	46	41	13	16	12	57%
NC	192	45	0	43	2	96%
ND	109	42	4	38	0	100%
NE	33	7	1	6	0	100%
NH	353	214	1	200	13	94%
NJ	203	62	15	46	1	98%
NM	122	25	3	18	4	82%
NV	35	22	8	12	2	86%
NY	315	201	106	92	3	97%
OH	691	372	39	326	7	98%
OK	417	380	3	376	1	100%
OR	63	43	11	21	11	66%
PA	617	427	67	356	4	99%
PR	88	69	5	56	8	88%
RI	45	33	15	18	0	100%
SC	163	38	9	27	2	93%
SD	124	59	23	34	2	94%
TN	116	68	33	35	0	100%
TX	752	299	86	179	34	84%
UT	178	109	14	91	4	96%

Table 8c – Analysis of Alleged Rights Violations
FY 2015, cont.

Sates	Total Complaints Closed	Total Rights Complaints Closed	Rights complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
VA	138	22	2	20	0	100%
VI	6	5	2	1	2	33%
VT	86	21	4	16	1	94%
WA	433	242	1	241	0	100%
WI	82	35	5	29	1	97%
WV	62	22	3	18	1	95%
WY	48	11	0	11	0	100%
Total	10,344	5,753	974	4,428	351	93%

Table 8c: Analysis of Alleged Rights Violations
FY 2016

Sates	Total Complaints Closed	Total Rights Complaints Closed	Rights complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
AK	29	14	4	8	2	80%
AL	181	50	19	24	7	77%
AR	113	76	18	56	2	97%
AS	43	15	1	1	0	100%
AZ	40	14	1	13	0	100%
CA	857	703	56	633	14	98%
CO	30	10	5	5	0	100%
CT	115	32	7	23	2	92%
DC	92	28	10	18	0	100%
DE	64	44	2	42	0	100%
FL	149	59	19	40	0	100%
GA	129	20	0	20	0	100%
GU	24	13	1	12	0	100%
HI	202	194	51	133	10	93%
IA	52	31	12	18	1	95%
ID	232	123	14	108	1	99%
IL	330	234	25	134	75	64%
IN	82	44	10	34	0	100%
KS	404	331	148	160	23	87%
KY	75	49	7	36	6	86%
LA	70	48	13	34	1	97%
MA	107	62	14	48	0	100%
MD	143	87	12	73	2	97%
ME	206	101	43	54	4	93%
MI	43	19	6	10	3	77%

Table 8c: Analysis of Alleged Rights Violations
FY 2016, cont.

Sates	Total Complaints Closed	Total Rights Complaints Closed	Rights complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
MN	144	84	15	64	5	93%
MO	303	127	26	91	10	90%
MP	10	8	2	4	2	67%
MS	52	33	3	30	0	100%
MT	249	69	8	34	27	56%
NA	23	20	3	14	3	82%
NC	168	59	4	55	0	100%
ND	125	49	2	47	0	100%
NE	34	5	2	1	2	33%
NH	350	215	15	193	7	97%
NJ	208	79	34	45	0	100%
NM	144	42	0	37	5	88%
NV	41	27	9	14	4	78%
NY	353	245	143	92	10	90%
OH	682	397	44	344	9	97%
OK	46	33	0	32	1	97%
OR	38	33	5	28	0	100%
PA	319	230	40	184	6	97%
PR	88	54	15	33	6	85%
RI	73	45	22	2	21	9%
SC	180	23	0	20	3	87%
SD	110	51	12	35	4	90%
TN	92	44	18	26	0	100%
TX	683	251	103	119	29	80%
UT	87	80	15	63	2	97%

Table 8c: Analysis of Alleged Rights Violations
FY 2016, cont.

Sates	Total Complaints Closed	Total Rights Complaints Closed	Rights complaints withdrawn, no merit, etc.	Favorably Resolved	Favorably Not Resolved	Percentage Favorably Resolved
VA	97	15	6	9	0	100%
VI	8	7	4	2	1	67%
VT	111	34	10	22	2	92%
WA	351	212	0	212	0	100%
WI	91	55	8	40	7	85%
WV	50	27	4	21	2	91%
WY	29	4	0	4	0	100%
Total	9,151	5,058	1,070	3,654	321	89%

Table 9: Intervention Strategies
FY 2015

States	Total Intervention Strategies	Short-term Assistance	Abuse & Neglect Investigation	Technical Assistance	Administrative Remedies	Negotiation/ Investigations	Legal Remedies
AK	32	24	1	0	5	2	0
AL	211	124	50	12	3	8	14
AR	95	74	6	13	0	1	1
AS	46	12	13	2	0	18	1
AZ	82	63	1	11	4	3	0
CA	952	907	14	6	12	9	4
CO	23	5	9	5	3	1	0
CT	104	27	26	15	15	17	4
DC	105	48	34	5	8	10	0
DE	83	33	13	12	15	10	0
FL	223	96	39	45	15	27	1
GA	112	13	35	3	1	58	2
GU	33	9	6	1	1	6	10
HI	201	117	10	21	18	34	1
IA	74	33	16	7	4	9	5
ID	107	43	9	55	0	0	0
IL	396	181	8	110	9	72	16
IN	132	55	60	11	2	1	3
KS	726	283	3	429	1	0	10
KY	145	25	49	24	2	33	12
LA	58	33	9	0	4	9	3
MA	130	78	8	2	0	38	4
MD	104	24	36	28	5	6	5
ME	240	106	10	8	19	85	12
MI	64	11	36	3	4	2	8

Table 9: Intervention Strategies
FY 2015, cont.

States	Total Intervention Strategies	Short-term Assistance	Abuse & Neglect Investigation	Technical Assistance	Administrative Remedies	Negotiation/ Investigations	Legal Remedies
MN	123	41	5	44	7	19	7
MO	214	13	4	69	9	92	27
MP	6	0	2	0	4	0	0
MS	92	28	16	6	6	26	10
MT	284	127	142	3	5	1	6
NA	47	7	3	18	11	4	4
NC	186	155	0	17	2	10	2
ND	155	47	56	0	0	50	2
NE	15	0	11	0	0	0	4
NH	353	40	0	306	2	3	2
NJ	203	31	111	30	5	20	6
NM	123	66	37	3	9	5	3
NV	36	16	1	18	0	0	1
NY	315	197	12	72	7	26	1
OH	691	570	79	24	6	12	0
OK	417	364	9	2	0	40	2
OR	132	33	9	5	1	17	67
PA	617	223	11	377	1	2	3
PR	67	1	11	1	5	46	3
RI	88	32	6	32	2	14	2
SC	164	11	108	13	1	29	2
SD	124	91	1	3	10	18	1
TN	116	38	38	10	0	30	0
TX	752	327	211	36	38	89	51
UT	172	133	36	0	0	2	1

Table 9: Intervention Strategies
FY 2015, cont.

States	Total Intervention Strategies	Short-term Assistance	Abuse & Neglect Investigations	Technical Assistance	Administrative Remedies	Negotiation/ Investigations	Legal Remedies
VA	138	61	26	4	10	33	4
VI	11	6	1	2	2	0	0
VT	86	33	35	6	6	1	5
WA	433	1	2	430	0	0	0
WI	86	34	12	6	5	25	4
WV	62	38	0	13	0	11	0
WY	48	17	28	0	0	3	0
Total	10,834	5,205	1,524	2,378	304	1,087	336
Percentages	100%	48%	14%	22%	2.8%	10%	3.1%

Table 9: Intervention Strategies
FY 2016

States	Total Intervention Strategies	Short-term Assistance	Abuse & Neglect Investigation	Technical Assistance	Administrative Remedies	Negotiation/ Investigations	Legal Remedies
AK	44	14	26	0	0	4	0
AL	181	58	52	41	0	27	3
AR	106	68	6	23	6	0	3
AS	31	3	11	6	0	11	0
AZ	40	31	3	3	1	1	1
CA	1149	817	8	5	11	187	121
CO	60	0	56	0	0	0	4
CT	115	51	15	15	22	12	0
DC	91	35	11	17	1	25	2
DE	64	31	4	12	12	5	0
FL	149	42	33	36	5	31	2
GA	129	26	45	10	0	46	2
GU	24	9	7	0	0	4	4
HI	223	165	8	14	14	22	0
IA	52	17	14	5	1	9	6
ID	223	71	12	132	5	1	2
IL	424	212	1	84	16	91	20
IN	53	35	18	0	0	0	0
KS	404	55	3	310	24	1	11
KY	119	22	34	17	1	34	11
LA	70	34	13	0	2	19	2
MA	107	50	0	0	0	57	0
MD	70	11	48	7	2	0	2
ME	212	77	2	18	16	95	4
MI	46	9	19	4	7	0	7

Table 9: Intervention Strategies
FY 2016, cont.

States	Total Intervention Strategies	Short-term Assistance	Abuse & Neglect Investigation	Technical Assistance	Administrative Remedies	Negotiation/ Investigations	Legal Remedies
MN	227	61	10	54	6	80	16
MO	282	19	2	93	26	118	24
MP	10	3	4	0	3	0	0
MS	92	23	21	7	10	19	12
MT	261	189	50	2	6	8	6
NA	25	1	2	5	2	14	1
NC	168	145	4	0	1	18	0
ND	201	69	83	0	0	49	0
NE	35	2	32	0	0	1	0
NH	350	37	5	301	0	4	3
NJ	208	56	87	29	7	24	5
NM	190	120	44	1	5	18	2
NV	40	22	1	17	0	0	0
NY	353	197	10	102	11	30	3
OH	633	508	80	15	7	22	1
OK	46	15	2	0	0	29	0
OR	38	26	5	1	3	3	0
PA	324	156	15	124	2	6	21
PR	88	9	27	6	12	25	9
RI	73	20	7	35	1	4	6
SC	180	14	141	7	0	18	0
SD	110	54	4	5	7	37	3
TN	92	21	41	7	2	21	0
TX	682	255	231	33	84	62	17
UT	78	64	5	1	2	4	2

Table 9: Intervention Strategies
FY 2016, cont.

States	Total Intervention Strategies	Short-term Assistance	Abuse & Neglect Investigation	Technical Assistance	Administrative Remedies	Negotiation/ Investigations	Legal Remedies
VA	97	29	46	2	6	12	2
VI	18	8	1	5	0	4	0
VT	111	75	29	1	4	0	2
WA	351	346	1	4	0	0	0
WI	86	39	3	16	3	22	3
WV	50	34	0	10	1	5	0
WY	29	8	16	0	1	4	0
Total	9,714	4,568	1,458	1,642	358	1,343	345
Percentages	100%	47%	15%	17%	3.7%	14%	3.6%

Table 10: Non-case Directed Services
FY 2015

States	Non-Litigation Advocacy		Class Action Litigation		Legislative & Regulatory Advocacy	
	Number of Events	Total Number of Individuals Impacted	Number of events	Total Number of Individuals Impacted	Number of events	Total Number of Individuals Impacted
AK	2	1,000	1	0	0	0
AL	5	196,107	1	10,000	10	610,721
AR	13	1,000,000	0	0	6	856,410
AS	3	300	0	0	0	0
AZ	1	48	1	11,000	1	2,400
CA	4	14,100	2	13,000	0	0
CO	1	1,800	1	150	1	250
CT	48	11,039	0	0	13	240,663
DC	13	10,000	1	200	4	10,000
DE	25	1,200	0	0	1	120
FL	0	0	3	13,300	16	877,600
GA	3	1,451,812	2	1,464,012	2	1,456,812
GU	0	0	0	0	0	0
HI	1	1,000	1	1,400	1	500
IA	26	1,134,765	0	0	2	500,000
ID	2	55	0	0	1	0
IL	1	701,000	3	52,026	0	0
IN	14	12,786	1	5,900	1	3,000
KS	1	464,842	0	0	0	0
KY	4	874,000	0	0	4	874,000
LA	11	53,393	2	207,675	8	274,755
MA	4	1,000	0	0	0	0
MD	1	4,000	1	1,000	2	250,000

Table 10: Non-case Directed Services
FY 2015, cont.

States	Non-Litigation Advocacy		Class Action Litigation		Legislative & Regulatory Advocacy	
	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted
ME	11	16,730	1	0	0	0
MI	1	39,805	0	0	1	578,015
MN	4	15,611	0	0	4	43,525
MO	7	425	1	3,000	0	0
MP	0	0	0	0	0	0
MS	2	1,000	2	15,000	0	0
MT	1	530	1	1,450	1	52,000
NA	3	22,650	0	0	1	540
NC	1	6,000	0	0	0	0
ND	0	0	0	0	0	0
NE	5	54	0	0	1	45,850
NH	0	0	1	10,000	3	10,000
NJ	2	20,000	1	250	0	0
NM	7	25,420	1	25,420	9	30,000
NV	1	5,000	0	0	1	10,000
NY	8	22,650	4	16,995	0	0
OH	26	297,541	6	260,200	57	609,861
OK	10	17,280	0	0	2	5,000
OR	2	7,200	0	0	1	800,000
PA	1	91,852	1	1,090	0	0
PR		94	0	0	0	0
RI	8	32,420	0	0	0	0
SC	3	170,663	1	2,400	1	23,000
SD	1	11	0	0	0	0

Table 10: Non-case Directed Services
FY 2015, cont.

States	Non-Litigation Advocacy		Class Action Litigation		Legislative & Regulatory Advocacy	
	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted
TN	52	555,855	0	0	19	1,202,000
TX	16	12,000	0	0	4	150,000
UT	6	10,000	1	50	5	110,000
VA	1	517	0	0	0	0
VI	0	0	0	0	0	0
VT	4	2,700	0	0	1	3,100
WA	10	13,281	7	4,700	7	41,732
WI	3	20,000	0	0	2	500,000
WV	3	33,750	2	81,000	0	0
WY	5	170	0	0	0	0
Total	387	7,375,456	50	2,201,218	193	10,171,854

Table 10: Non-case Directed Services
FY 2016

States	Non-Litigation Advocacy		Class Action Litigation		Legislative & Regulatory Advocacy	
	Number of Events	Total Number of Individuals Impacted	Number of events	Total Number of Individuals Impacted	Number of events	Total Number of Individuals Impacted
AK	2	3,500	1	68	0	0
AL	31	1,565,181	1	13,000	11	499,344
AR	15	775,900	0	5,000	6	146,634
AS	2	25,000	0	0	0	0
AZ	1	111	1	11,270	1	2,789
CA	3	10,300	1	201	0	0
CO	1	1,800	1	40,000	1	3,000
CT	6	248,000	1	178,000	1	70,055
DC	5	19,000	1	200	4	19,000
DE	1	875	0	0	0	0
FL	0	0	2	13,300	9	561,500
GA	17	7,816,687	1	5,000	5	2,265,658
GU	0	0	0	0	0	0
HI	0	0	1	1,400	1	500
IA	31	1,482,076	0	0	1	57,000
ID	4	18,255	0	0	7	75,000
IL	1	701,000	3	52,026	0	0
IN	1	500	1	647	0	0
KS	1	422,549	0	0	0	0
KY	6	874,000	1	874,000	9	874,000
LA	15	4,312	5	1,250	17	26,975
MA	5	1,500	0	0	0	0
MD	1	3,250	1	1,000	2	250,000
ME	9	20,000	1	5,000	0	0

Table 10: Non-case Directed Services
FY 2016, cont.

States	Non-Litigation Advocacy		Class Action Litigation		Legislative & Regulatory Advocacy	
	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted
MI	7	228,138	1	7	11	897,152
MN	3	11,900	1	500	5	54,190
MO	6	520	1	3,000	0	0
MP	0	0	0	0	0	0
MS	3	1,150	2	150	1	10,000
MT	2	5,000	0	0	2	52,000
NA	1	22,500	1	9,000	2	25,000
NC	1	6,000	0	0	0	0
ND	0	0	0	0	0	0
NE	54	0	0	0	3	43,792
NH	0	0	1	0	2	0
NJ	2	320,000	0	0	0	0
NM	4	150,982	0	0	2	1,500
NV	1	1,000	0	0	1	1,000
NY	33	259,747	7	15,070	0	0
OH	45	565,177	2	15,000	47	1,781,054
OK	4	3,351	0	0	2	5,000
OR	1	7,860	0	0	1	145,000
PA	9	88,978	2	1,890	4	800
PR	1	2,893	0	0	1	337
RI	4	8,800	0	0	1	8,800
SC	3	170,550	1	2,400	0	0
SD	1	822	0	0	0	0
TN	45	607,380	0	0	21	2,285,045

Table 10: Non-case Directed Services
FY 2016, cont.

States	Non-Litigation Advocacy		Class Action Litigation		Legislative & Regulatory Advocacy	
	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted	Number of Events	Total Number of Individuals Impacted
TX	14	10,000	1	0	6	200,000
UT	3	32	3	540	5	35
VA	1	1,460	1	75	0	0
VI	1	20,600	0	0	0	0
VT	4	2,700	0	0	1	350
WA	10	102,906	11	40,894	9	39,669
WI	8	119,000	0	0	6	118,000
WV	2	0	2	83,000	2	1
WY	4	144	0	0	0	0
Total	435	16,713,386	60	1,372,888	210	10,520,180

Table 11: Information and Referral/Public Education/Awareness & Training Activities
FY 2015

States	Number of Information and Referral Requests	Number of Public Awareness Events	Number of Education/Training Activities Undertaken	Total Number of Individuals Trained	Number of Individuals Receiving Public Awareness Information
AK	487	4	1	12	204
AL	547	6	36	1489	110
AR	238	11	15	331	3626
AS	24	4	3	860	860
AZ	88	13	15	731	1840
CA	72	238	104	2,444	14,255
CO	488	1	19	900	75
CT	203	3	16	975	200
DC	21	50	56	1157	2112
DE	84	10	27	657	1824
FL	1,840	53	10	635	54,169
GA	443	7	57	3,275	5,300
GU	37	29	19	1,634	1,841
HI	658	202	49	5,169	4,592
IA	195	29	29	1078	1380
ID	115	14	28	700	658
IL	806	77	228	13683	10103
IN	651	79	31	257	10795
KS	56	90	26	1,660	1,893
KY	877	6	29	973	2,541
LA	603	30	12	349	4,189
MA	55	4	8	457	6880
MD	278	3	50	1,304	500
ME	592	73	283	4322	1758
MI	2,411	12	27	743	1,125

Table 11: Information and Referral/Public Education/Awareness & Training Activities
FY 2015, cont.

States	Number of Information and Referral Requests	Number of Public Awareness Events	Number of Education/Training Activities Undertaken	Total Number of Individuals Trained	Number of Individuals Receiving Public Awareness Information
MN	191	14	47	2,298	2,745
MO	752	30	9	239	8426
MP	226	193	4	263	3135
MS	161	19	74	1945	4575
MT	200	7	2	55	665
NA	19	1	7	553	50
NC	4006	17	10	318	300
ND	283	29	7	350	2646
NE	214	100	12	521	1585
NH	400	23	13	537	100000
NJ	844	42	28	1001	12271
NM	454	48	52	682	589
NV	648	15	10	147	1717
NY	621	11	21	669	657
OH	529	38	49	1,737	1,460
OK	496	26	18	912	5,234
OR	443	11	6	192	378
PA	198	15	25	735	1,275
PR	1,309	120	60	1,245	4,652
RI	227	5	9	529	4,365
SC	630	18	24	732	2,940
SD	483	153	19	807	2,869
TN	656	221	23	1,128	1,354,334
TX	1,205	22	179	14,465	1,780
UT	415	12	10	394	6,705

Table 11: Information and Referral/Public Education/Awareness & Training Activities
FY 2015, cont.

States	Number of Information and Referral Requests	Number of Public Awareness Events	Number of Education/Training Activities Undertaken	Total Number of Individuals Trained	Number of Individuals Receiving Public Awareness Information
VA	1078	12	58	1243	1243
VI	5	12	4	120	766
VT	824	5	46	662	350
WA	7,963	3	28	1,442	1,163
WI	562	2	5	100	450
WV	161	27	9	165	1538
WY	99	20	2	27	13,926
Total	38,171	2,319	2,048	82,008	1,677,619

Table 11: Information and Referral/Public Education/Awareness & Training Activities
FY 2016

States	Number of Information and Referral Requests	Number of Public Awareness Events	Number of Education/Training Activities Undertaken	Number of Individuals Trained	Number of Individuals Receiving Public Awareness Information
AK	328	2	2	20	100
AL	566	3	24	994	160
AR	286	24	10	353	1,750
AS	68	3	5	1500	4,500
AZ	124	21	28	666	2,517
CA	53	150	87	87	22,396
CO	700	2	5	144	1,000
CT	326	17	8	226	4,212
DC	258	34	91	1,577	2,810
DE	100	9	35	840	4,439
FL	2,191	89	22	1,475	13,801
GA	490	4	44	2,325	3,690
GU	42	54	17	1,459	2,351
HI	859	173	46	615	1,951
IA	332	8	26	780	388
ID	256	11	14	532	745
IL	645	47	88	4,013	5,810
IN	532	74	7	180	3,085
KS	27	45	23	707	2,430
KY	851	8	95	1,248	3,359
LA	464	34	9	152	3,305
MA	65	8	11	877	6,000
MD	303	1	1	110	500
ME	757	124	160	3,920	4,014
MI	2,318	15	22	434	1,013
MN	410	15	35	1,152	4,760

Table 11: Information and Referral/Public Education/Awareness & Training Activities
FY 2016, cont.

States	Number of Information and Referral Requests	Number of Public Awareness Events	Number of Education/Training Activities Undertaken	Number of Individual Trained	Number of Individuals Receiving Public Awareness Information
MO	775	20	9	395	6,800
MP	298	60	60	4,197	4,197
MS	144	16	49	1,138	3,000
MT	197	10	5	297	2,313
NA	17	3	1	200	2,000
NC	2,061	1	10	525	30
ND	356	13	19	354	2,750
NE	242	41	19	745	2,318
NH	345	0	21	538	0
NJ	749	39	34	1,204	11,514
NM	428	15	52	1,400	525
NV	480	14	5	95	918
NY	623	8	34	2,014	1,337
OH	505	51	38	1,668	4,023
OK	280	10	38	2,242	1,735
OR	711	0	4	231	0
PA	431	11	21	816	1,032
PR	1,435	23	88	1,779	1,114
RI	257	9	5	138	8,526
SC	683	17	26	749	4,190
SD	328	86	25	659	2,444
TN	462	188	16	1,041	1,611,042
TX	1,234	22	150	6,820	1,838
UT	545	10	11	521	257
VA	251	37	11	499	499
VI	9	21	6	39	2,128,534

Table 11: Information and Referral/Public Education/Awareness & Training Activities
FY 2016, cont.

States	Number of Information and Referral Requests	Number of Public Awareness Events	Number of Education/Training Activities Undertaken	Number of Individuals Trained	Number of Individuals Receiving Public Awareness Information
VT	856	13	54	491	400
WA	11,310	4	49	1,675	51,089
WI	543	26	14	460	2,141
WV	220	22	21	223	10,597
WY	126	13	3	0	227
Total	40,252	1,778	1,813	58,189	3,968,476

ACRONYMS

ACF	Administration for Children and Families
ADD	Administration on Developmental Disabilities
AIDD	Administration on Intellectual and Developmental Disabilities
CAU	Crisis and Admissions Unit
CHA	Children's Health Act
CMHS	Center for Mental Health Services
CYFD	Children, Youth & Families Department
DD Act	Developmental Disabilities Assistance and Bill of Rights Act
DMHA	Department of Mental Health and Addictions
DOC	Department of Corrections
DOL	Department of Licensing
FY	Fiscal Year
HHS	Department of Health and Human Services
IAA	Interagency agreement
ICU	Intensive care unit
IMD	Institution for mental disease
LCH	Larue D. Carter Hospital
MOU	Memorandum of Understanding
MSH	Minnesota Security Hospital
NDSH	North Dakota State Hospital
OIG	Office of Inspector General
P&A	Protection and Advocacy systems
PAC	PAIMI Advisory Council
PADD	Protection and Advocacy for Developmental Disabilities Program
PAIMI	Protection and Advocacy for Individuals with Mental Illness
PIW	Psychiatric Institute of Washington
PPR	Program Performance Report
RSA	Rehabilitation Services Administration
RTC	Residential treatment center
SAMHSA	Substance Abuse and Mental Health Services Administration
TASC	Training Advocacy and Support Center
T/TA	Training and technical assistance
UNMPC	University of New Mexico Psychiatric Center
VOCAL	Virginia Organization of Consumers Asserting Leadership
WORK	Working Opportunities Reward Kansas
WSH	Wyoming State Hospital