**Procedure No:** I.F.PR.003 **Issue Date:** August 14, 2009

**Subject: Abuse and Neglect/Investigations**: **Effective Date:** August 14, 2009

 **Assignment, Tracking, Review and Closure** **Revised:** June 30, 2021

**Section:** Human Rights and Legal Responsibilities **Approved**:/s/Jordan A. Scheff

**Policy Statement**

The Department of Developmental Services (DDS) has the statutory obligation to maintain and preserve the health and safety of individuals with intellectual disability or other developmental disabilities and therefore does not tolerate abuse or neglect of any person who has intellectual disability in Connecticut or any person who receives services from the Department of Social Services’ Division of Autism Spectrum Disorder Services. As an agency that offers supports and services through federal Medicaid Waivers, DDS is also responsible for assuring an effective system for assuring the health and welfare of waiver participants. This procedure demonstrates that the department identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.

The department is committed to the use of prevention best practices intended to minimize potential incidents of abuse or neglect.  The department’s Division of Investigations, DDS Abuse Investigation Division Central Intake, Legal and Government Affairs Division, Internal Audit Unit, and Quality and Systems Improvement Division work together with regional staff and DDS qualified providers to identify any potential for abuse or neglect of a person, promptly report any incidents of suspected abuse or neglect, review and investigate reported allegations of abuse or neglect, and examine the outcomes of investigations to develop best practices to mitigate and to the extent possible, eliminate any further incidents of abuse and neglect.

1. **Purpose**

This procedure establishes the department’s process for assignment, tracking and closure of investigations into allegations of abuse and neglect as reported by or on behalf of a person who has intellectual disability or a person who receives services from the Department of Social Services’ Division of Autism Spectrum Disorder Services.

1. **Applicability**

This procedure applies to any person who has intellectual disability, or any person who is receiving services from the Department of Social Services’ Division of Autism Spectrum Disorder Services as per subsection (a) of section 17a-210 of the Connecticut General Statutes.

The procedure applies to all department employees, all employees of DDS qualified providers, all employees of DDS contractors, all DDS Community Companion Home licensees and any professional listed in section 46a-11b of the Connecticut General Statutes and any employee of the Department of Social Services’ Division of Autism Spectrum Disorder Services. Any employee of DDS, a DDS qualified provider, or a DDS contractor, any CCH licensee or any professional listed in section 46a-11b CGS or any employee of the DSS Division of Autism Spectrum Disorder Services, who reports, in good faith, incidents of suspected abuse or neglect shall not be subjected to any penalty or reprisal by administrators or supervisors for making that report.

1. **Definitions**

Abuse and Neglect Definitions and Examples (also see Attachment A DDS Abuse and Neglect – Definitions and Examples)

1. **Implementation**
2. All state and local agencies, DDS qualified providers, DDS contractors, DDS CCH licensees and any professional listed in section 46a-11b of the Connecticut General Statutes are **required to cooperate with any abuse or neglect investigation**.
	1. This cooperation shall include the release of complete records of the named person for review, inspection and copying, except when the individual, or the individual’s legal representative, refuses permission for the records to be released.
	2. The Commissioner of Developmental Services, or the Commissioner’s designee, may issue a subpoena to compel any person who refuses to release information or records related to the investigation of the alleged abuse or neglect to release such information or records.
3. **Investigations of allegations of abuse or neglect involving individuals who receive services from a DDS qualified provider, or a DDS contractor** shall be assigned as follows:
4. For allegations in which the DDS Abuse Investigation Division (DDS AID) Central Intake assigns a DDS qualified provider that is a DDS-certified investigatory agency to conduct the investigation of the allegations of abuse or neglect, the investigation shall be assigned to a DDS-certified investigatory agency’s DDS Division of Investigations (DDS DOI)-trained pool investigator. The DDS-certified investigatory agency shall ensure that the investigator who is assigned to the investigation is free from potential conflicts of interest and does not have a personal relationship (e.g., relative, friend) with any employee under investigation or any employee who may be involved in the investigation.
5. DDS-certified investigatory agencies are required to have an adequate number of investigators trained by the DDS DOI to meet the investigative needs of the provider.
6. DDS-certified investigatory agencies may contract with a licensed private investigator for the purposes of completing assigned investigations of allegations of abuse or neglect.
	1. Contracted investigators shall be trained and approved by the DDS DOI.
	2. Contracted investigators shall be licensed by the State of Connecticut.
	3. Contracted investigators may employ investigators who work under their direct supervision and license. Such investigators shall be trained and approved by the DDS DOI.
7. DDS DOI shall maintain and make available, upon request, a list of DDS DOI-trained licensed private investigators that may be available to contract with a DDS-certified investigatory agency.
8. For an investigation of allegations of abuse or neglect of an individual who receives services from a DDS qualified provider or a DDS contractor that falls within the jurisdiction of (1) the Department of Children and Families (DCF), (2) the Department of Public Health (DPH), or (3) the Department of Social Services (DSS), the regional Abuse and Neglect Liaison shall confirm with the state agency the status of the investigation into the allegation of abuse or neglect and request the investigation’s written findings and any recommendations stemming from the investigation upon the completion of the investigation by such state agency.

1. If DCF or DSS does not conduct an investigation of alleged abuse or neglect that falls within its jurisdiction, the DDS Director of Investigations, or the Director’s designee, shall determine if an investigation of the alleged abuse or neglect is warranted, except in a case that involves the death of an individual who is the victim of the alleged abuse or neglect, either the DDS Abuse Investigation Division (DDS AID) or the DDS DOI may make the determination if an investigation is warranted. If the Director of Investigations, or the Director’s designee, determines that an investigation is warranted, DDS may assume jurisdiction of the investigation. The DDS Director of Investigations, or the Director’s designee, shall assign a DDS DOI investigator, DDS DOI-trained DDS AID investigator or a DDS-certified investigatory agency to conduct the investigation in cases where DDS has assumed jurisdiction.
2. If an investigation by DCF or DSS has not been undertaken, the regional Abuse and Neglect Liaison, or the liaison’s designee, shall record that the investigation was not undertaken and close the entry under DCF or DSS. In cases where DDS assumes jurisdiction of the investigation, the regional liaison, or the liaison’s designee shall record the assignment of an investigatory agency in eCAMRIS.
3. The regional Abuse and Neglect Liaison, or the liaison’s designee, shall record assignments of investigatory agencies in eCAMRIS.
4. The provisions of any collective bargaining agreement or employment policy shall be adhered to during the investigative process.
5. An investigation of alleged abuse or neglect of an individual who resides in a DDS qualified provider’s Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) shall be completed not later than five (5) business days after the initial report of the allegation of abuse or neglect. If this deadline cannot be met, the reasons for the delay in the completion of the investigation shall be documented by the assigned investigatory agency in the investigation report and the investigation shall be completed as soon as possible.

1. If an investigation of allegations of abuse or neglect involves a criminal investigation by a state or local law enforcement agency, the law enforcement agency investigation shall take precedence over a DDS DOI, DDS AID, or a DDS-certified investigatory agency investigation. If the criminal investigation goes beyond 90 days following the date of the intake, the regional DOI supervisor, or the supervisor’s designee, shall determine, through direct contact with the law enforcement agency, if the DDS DOI, DDS AID or the DDS-certified investigatory agency investigation into the alleged abuse or neglect may continue or commence. The regional DOI supervisor shall notify DDS-certified investigatory agency of the determination and shall record the details of the notification in the DDS Abuse and Neglect Database.
2. **Investigations of allegations of abuse or neglect that involve individuals who receive services directly from DDS** shall be assigned as follows:

1. For investigations of allegations that the DDS AID Central Intake assigns to either the DDS Division of Investigations (DDS DOI) or the DDS Abuse Investigation Division (DDS AID), the regional Abuse and Neglect Liaison shall notify the regional DOI supervisor, or the supervisor’s designee.
2. For investigations assigned to DDS DOI, the regional DOI supervisor shall assign the investigation to a DDS DOI investigator or a DDS DOI-trained pool investigator.
3. For investigations assigned to DDS AID, the DDS AID Supervisor shall assign the investigation to a DDS DOI-trained DDS AID investigator.
4. The DDS AID Central Intake shall forward all intakes that have been assigned to DDS DOI or DDS AID for investigation to the DDS Director of Investigations.
5. The regional Abuse and Neglect Liaison, or the liaison’s designee, shall record the assignment of the investigatory agency in eCAMRIS.
6. The regional DOI supervisor, or the supervisor’s designee, upon receipt of an intake shall assign and record the name of the investigator in the DDS Abuse and Neglect Database. The supervisor, or the supervisor’s designee, shall ensure that the investigator who is assigned to the investigation is free from potential conflicts of interest and does not have a personal relationship (e.g., relative, friend) with any employee under investigation or any employee who may be involved in the investigation.
7. The provisions of any collective bargaining agreement or employment policy shall be adhered to during the investigative process.
8. An investigation of alleged abuse or neglect of an individual who resides in a public employee-staffed Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) shall be completed not later than five (5) business days after the initial report of the allegation of abuse or neglect. If this deadline cannot be met, the reasons for the delay in the completion of the investigation shall be documented by either DDS DOI or DDS AID, whichever has been assigned the investigation, in the investigation report and the investigation shall be completed as soon as possible. If the investigation cannot be completed by the deadline, preliminary findings and recommendations from the investigation shall be reported to the Regional or Training School Director, or the Director’s designee, not later than five (5) business days after the initial report of the allegation.
9. For allegations of abuse or neglect of individuals who receive services directly from DDS that fall within the jurisdiction of (1) the Department of Children and Families (DCF), (2) the Department of Public Health (DPH), or (3) the Department of Social Services (DSS), the regional Abuse and Neglect Liaison shall confirm with the state agency the status of the investigation into the allegation of abuse or neglect and request the investigation’s written findings and any recommendations stemming from the investigation upon the completion of the investigation by such state agency.

1. If DCF or DSS does not conduct an investigation of alleged abuse or neglect that falls within its jurisdiction, the DDS Director of Investigations, or the Director’s designee, shall determine if an investigation of the alleged abuse or neglect is warranted, except in a case that involves the death of an individual who is the victim of the alleged abuse or neglect, either the DDS Abuse Investigation Division (DDS AID) or the DDS DOI may make the determination if an investigation is warranted. If the Director of Investigations, or the Director’s designee, determines that an investigation is warranted, DDS may assume jurisdiction of the investigation. The DDS Director of Investigations, or the Director’s designee, shall assign a DDS DOI investigator or DDS AID investigator to conduct the investigation in cases where DDS has assumed jurisdiction.
2. If an investigation by DCF or DSS has not been undertaken, the regional Abuse and Neglect Liaison, or the liaison’s designee, shall record that the investigation was not undertaken and close the entry under DCF or DSS. In cases where DDS assumes jurisdiction of the investigation, the regional liaison, or the liaison’s designee shall record the assignment of an investigatory agency in eCAMRIS.
3. If an investigation of allegations of abuse or neglect involves a criminal investigation by a state or local law enforcement agency, the law enforcement agency investigation shall take precedence over a DDS DOI or DDS AID investigation. If the criminal investigation goes beyond 90 days following the date of the intake, the regional DOI supervisor, or the supervisor’s designee, shall determine, through direct contact with the law enforcement agency, if the DDS DOI or DDS AID investigation into the alleged abuse or neglect may continue or commence. The regional DOI supervisor shall notify the assigned DDS DOI investigator or pool investigator of the determination and shall record the details of the notification in the DDS Abuse and Neglect Database.
4. **Investigations of allegations of abuse or neglect of individuals who do not receive DDS funding or services or who live in their own home or a family home** shall be assigned as follows:
5. If the alleged abuse or neglect occurred in an individual’s own home or a family home, the DDS Abuse Investigation Division (DDS AID) shall have jurisdiction and conduct the investigation under most circumstances.
6. If the allegation of abuse or neglect falls within the jurisdiction of the Department of Social Services (DSS), the DDS AID Central Intake shall complete the intake and forward it to the regional Abuse and Neglect Liaison who shall send the allegation to the DSS Centralized Intake Unit. The regional liaison shall follow up with the DSS Centralized Intake Unit to determine if there will be an investigation of the alleged abuse or neglect conducted by DSS.
7. If the allegation of abuse or neglect falls within the jurisdiction of the Department of Children and Families (DCF), the DDS AID Central Intake shall complete the intake and forward it to the regional Abuse and Neglect Liaison who shall send the allegation to the DCF Complaint Supervisor. The regional liaison shall follow up with the DCF Complaint Supervisor to determine if there will be an investigation of the alleged abuse or neglect conducted by DCF.
8. If the allegation of abuse or neglect falls within the jurisdiction of the Department of Public Health (DPH), the DDS AID Central Intake shall complete the intake and forward it to the regional Abuse and Neglect Liaison who shall send the allegation to either the DPH Facility Licensing and Investigations Section for allegations related to a medical facility or the DPH Practitioner Licensing and Investigations Section **for allegations related to a licensed professional.** The regional liaison shall follow up with the appropriate DPH Complaint Supervisor to determine if there will be an investigation of the alleged abuse or neglect conducted by DPH.
9. **Investigations of allegations of abuse or neglect of individuals who directly hire, employ and manage their own staff** or who have a legal representative or family member as the employer of record shall be assigned as follows:
10. Investigations of alleged abuse or neglect by staff directly hired, employed and managed by the individual, the individual’s legal representative, or the individual’s family members (i.e., employer of record) are conducted by the Department of Children and Families (DCF), the Department of Social Services (DSS) or the Department of Developmental Services (DDS) based upon the age of the individual who is the victim of the alleged abuse or neglect. The DDS Director of Investigations, or the Director’s designee, shall assign an DDS DOI investigator, DDS AID investigator or a DDS-certified investigatory agency to conduct the investigation in cases where DDS has jurisdiction.
11. If DCF or DSS does not conduct an investigation of alleged abuse or neglect that falls within its jurisdiction, the DDS Director of Investigations, or the Director’s designee, shall determine if an investigation of the alleged abuse or neglect is warranted, except in a case that involves the death of an individual who is the victim of the alleged abuse or neglect, either the DDS Abuse Investigation Division (DDS AID) or the DDS DOI may make the determination if an investigation is warranted. If the Director of Investigations, or the Director’s designee, determines that an investigation is warranted, DDS may assume jurisdiction of the investigation. The DDS Director of Investigations, or the Director’s designee, shall assign an DDS DOI investigator, DDS AID investigator or a DDS-certified investigatory agency to conduct the investigation in cases where DDS has assumed jurisdiction.
12. **Investigations of alleged abuse or neglect shall be tracked** by the regional Abuse and Neglect Liaisons and the regional Division of Investigations (DOI) supervisors to assure timely completion of the investigations as follows:
13. A completed investigation report shall be submitted by a DDS-certified investigatory agency to the regional Abuse and Neglect Liaison not later than 60 days after the date of intake to allow adequate time for the investigation report and its findings to be reviewed, revised, as needed, and given final approval not later than 90 days after the date of the intake.
14. A DDS Division of Investigations (DDS DOI) investigation shall be submitted by the assigned investigator to the DOI Supervisor not later than 60 days after the date of intake to allow adequate time for the investigation report and its findings to be reviewed, revised, as needed, and given final approval not later than 90 days after the date of the intake.
15. The regional Abuse and Neglect Liaison or the regional DOI supervisor shall contact a DDS-certified investigatory agency that has been assigned an investigation and has not submitted a completed investigation report within 60 days of the date of intake.
16. Any investigation report returned to an investigator for additional information or revisions shall be completed and returned as soon as possible to keep within the 90-day final approval timeframe. Any investigation that has not been submitted and finalized within 90 days shall be considered overdue and referred to the Regional Director or the Director’s designee, for further action.
17. The regional Abuse and Neglect Liaison shall request and work to obtain any investigation report from DCF, DPH, or DSS, if it is not received within 90 days of the date of intake.
18. When an investigation report from a DDS-certified investigatory agency has been received, the regional Abuse and Neglect Liaison, or liaison’s designee, shall record the date of receipt in the DDS Abuse and Neglect Database and shall forward the report to the regional DOI supervisor, or the supervisor’s designee, for review.
19. When an investigation report from the DDS Division of Investigations (DDS DOI) has been completed, the investigator shall send the report to the regional DOI supervisor, who shall review and approve the investigation report, its findings and any recommendations, and shall send the report to the regional Abuse and Neglect Liaison, or the liaison’s designee, who shall record the date the investigation was closed and the report’s findings in eCAMRIS.
20. Certain investigations (e.g., an individual’s death, law enforcement involvement) may require additional time to complete. DDS DOI or DDS AID shall work with a law enforcement agency or other agencies to obtain periodic status updates on the investigation. Such updates shall be recorded by the regional DOI supervisor, or the supervisor’s designee, in the DDS Abuse and Neglect Database.
21. The regional DOI supervisor, or the supervisor’s designee, shall record the DDS DOI contact dates and any update that has been made with the DDS-certified investigatory agencies or assigned DOI investigators in the DDS Abuse and Neglect Database pending the completion of the investigation.
22. For investigations conducted by the DDS Abuse Investigation Division (DDS AID), the DDS AID Supervisor shall ensure that DDS AID investigations are completed not later than 60 days after the date of the intake. If an investigation conducted by DDS AID requires more than 60 days to complete, the DDS AID Supervisor, or the Supervisor’s designee, shall notify the DDS Director of Investigations of the reasons for the delay in completing the investigation.
23. A **completed investigation report of alleged abuse or neglect, the report’s findings and any recommendations shall be reviewed and approved** as follows:
24. All completed investigations by the DDS Abuse Investigation Division (DDS AID**)** of alleged abuse or neglect shall be submitted to the DDS AID Supervisor who shall:

1. Review and approve the completed investigation report; and send to the Director of Investigations for review and final approval.
2. The Director of Investigations shall return the approved investigation report, its findings and any recommendations to the DDS AID Supervisor, who shall send a copy of the approved investigation report, its findings and exhibits, and any recommendations to the Regional Abuse and Neglect Liaison, or the liaison’s designee.
3. All completed investigations of alleged abuse or neglect conducted a DDS-certified investigatory agency shall be submitted to the regional Abuse and Neglect Liaison who shall:
	1. Record the receipt of the completed investigation report in the DDS Abuse and Neglect Database.
	2. Send the completed DDS-certified investigation report to the regional DOI supervisor, or the supervisor’s designee, for review.
4. All completed investigations of alleged abuse or neglect conducted by the DDS Division of Investigations (DDS DOI) shall be submitted to the regional DOI supervisor, who shall:
5. Review and approve the completed investigation report.
6. Send the completed DOI investigation report to the regional Abuse and Neglect Liaison.
7. If an investigation is completed by a regional DOI supervisor, the regional DOI supervisor shall send the completed investigation report and exhibits to the DDS Director of Investigations for review and approval.  Once approved, the DDS Director of Investigations shall send the completed investigation report and exhibits to the regional Abuse and Neglect Liaison to forward to the Regional or Training School Director, or the Director’s designee, for review and approval.
8. The regional DOI supervisor, or the supervisor’s designee, shall review all submitted DDS DOI or DDS-certified investigatory agency investigation reports to ensure that the investigations are complete, and the findings are supported by the facts and evidence in the case. Once the review is completed, the regional DOI supervisor, or the supervisor’s designee, (1) may make additional findings and recommendations, (2) shall sign the investigation report, (3) shall complete the Abuse/Neglect Investigation Review form, and (4) shall send the completed investigation report to the regional Abuse and Neglect Liaison.
9. If the perpetrator of the substantiated abuse or neglect identified in the investigation report has been or will be terminated or separated from employment because of the findings of the investigation, the regional DOI supervisor, or the supervisor’s designee, shall complete the DDS Abuse/Neglect Registry: Monitoring Form if the DDS-certified investigatory agency conducted the investigation and send the completed monitoring form to the regional Abuse and Neglect Liaison, or the liaison’s designee.
10. If the regional DOI supervisor, or the supervisor’s designee, determines that an investigation report is not complete, the regional DOI supervisor, or the supervisor’s designee, shall contact the DDS-certified investigatory agency or the assigned investigator to discuss the investigation and its findings and obtain additional information, as needed. The supervisor, or the supervisor’s designee, shall detail such discussion in the DDS Abuse and Neglect Database.
11. If the regional DOI supervisor, or the supervisor’s designee, disagrees with the DDS-certified investigatory agency’s or the assigned investigator’s report findings, the regional DOI supervisor, or the supervisor’s designee, shall discuss the findings with the DDS-certified investigatory agency or the assigned investigator.
12. If an agreement cannot be reached between the regional DOI supervisor, or the supervisor’s designee, and the DDS-certified investigatory agency or the assigned investigator concerning the investigation report and its findings, the Director of Investigations or the Director’s designee, has the authority to disagree with and override any report finding or any recommendation. Details of any disagreement shall be recorded by the Director of Investigations, or the Director’s designee, on the Abuse/Neglect Investigation Review form in the investigation file and the file shall be sent to the regional Abuse and Neglect Liaison.
13. The regional Abuse and Neglect Liaison shall record the date the investigation was closed and the investigation’s findings in eCAMRIS and send the completed investigation report, its findings and any recommendations or exhibits to the Regional or Training School Director, or the Director’s designee, for review and approval.

1. The Regional or Training School Director, or the Director’s designee, shall review all DDS DOI and DDS-certified investigatory agency investigation reports, may add recommendations, and shall document agreement or disagreement with the report’s findings, as part of the Director’s approval process for completed investigation reports.
2. If the Regional or Training School Director, or the Director’s designee, does not agree with the findings in the investigation report or has additional evidence to present, the Regional or Training School Director, or the Director’s designee, shall meet with the regional DOI supervisor to discuss the findings or the additional evidence.
3. The regional DOI supervisor shall consider the Regional or Training School Director’s expressed concerns including any new evidence and whether a revision to the investigation report is warranted.
	1. If agreement on the investigation report, its findings, and any recommendations cannot be reached between the Regional or Training School Director and the regional DOI supervisor, the Regional or Training School Director, or the Director’s designee, may contact the DDS Director of Investigations to discuss the investigation report and its findings.

* 1. If the DDS Director of Investigations determines that the regional DOI supervisor’s review of the investigation report and its findings is appropriate, then:
	2. The Director of Investigations shall note the determination that the investigation report and its findings are appropriate on the Abuse/Neglect Investigation Review form in the investigation file.
	3. If the Regional or Training School Director, or the Director’s designee, continues to disagree, the Director, or the Director’s designee, shall document any disagreements with the investigation report, its findings or any recommendations on the Abuse/Neglect Investigation Review form in the investigation file.
1. The Regional or Training School Director, or the Director’s designee, having documented any disagreements with the investigation report, its findings and any recommendations on the Abuse/Neglect Investigation Review form, shall complete and sign the signature pages of the investigation report and the investigation review form and send the completed investigation file to the regional Abuse and Neglect Liaison.
2. Investigations of alleged abuse or neglect completed by the Department of Children and Families (DCF), the Department of Public Health (DPH), or the Department of Social Services (DSS) shall be closed in eCAMRIS by the regional Abuse and Neglect Liaison, or the liaison’s designee, upon the confirmation of the investigation’s findings and closure by DCF, DPH or DSS. The regional Abuse and Neglect Liaison shall request a copy of the written findings and recommendations of the investigation from DCF, DPH or DSS for the DDS investigation file.
3. The regional Abuse and Neglect Liaison, or the liaison’s designee, shall record in eCAMRIS, any adjustments to the findings deemed appropriate during the DDS review of the completed investigation.
4. **Findings and recommendations of completed and approved investigations of allegations of abuse or neglect shall be distributed** as follows:
5. The regional Abuse and Neglect Liaison, or the liaison’s designee, shall distribute, electronically, the completed and approved investigation report findings, any monitoring results, and any recommendations made by the assigned investigator; or the DDS Director of Investigations, DDS AID Supervisor, DDS Regional or Training School Director, or their designees; or the DDS Qualified Provider Administrator, or the Administrator’s designee.
	1. The investigation report’s findings and any recommendations shall be distributed by the regional liaison to the following personnel:
		1. Individual’s case manager;
		2. Individual’s case management supervisor;
		3. Assistant Regional or Assistant Training School Director;
		4. Regional or Training School Director;
		5. DDS Qualified Provider Administrator or Administrator’s designee, if applicable;
		6. Regional DOI supervisor, or the supervisor’s designee;
		7. Regional designee assigned by the State of CT Human Resources business partner Manager responsible for Labor Relations;
		8. CT Human Resources business partner Manager responsible for Labor Relations, if applicable;
		9. Designees of any state agency involved in the investigation; and
		10. Any person the regional Abuse and Neglect Liaison determines should receive the investigation report’s findings and any recommendations.
6. The regional Abuse and Neglect Liaison shall direct the DDS qualified provider of the individual who was the victim of the abuse or neglect, or the individual’s case manager, or a regional employee identified by the Regional Abuse and Neglect Liaison, as appropriate, to respond to the investigation’s recommendations not later than 30 days after receiving the recommendations and provide the date of implementation or completion of each recommended action. The individual’s qualified provider shall maintain in the completed investigation file documented proof that the recommendations have been implemented. The individual’s case manager shall maintain information regarding the investigation’s recommendations in the individual’s master file.
7. The recommendations and their implementation or completion dates shall be recorded by the regional Abuse and Neglect Liaison, or the liaison’s designee, in the DDS Abuse and Neglect Database.
8. If a DDS employee, a DDS qualified provider employee, or an employee of a DDS contractor has been terminated or would have been terminated had the employee not otherwise separated from employment (e.g., resigned, retired) because of the findings of an investigation, a notice of substantiation of abuse or neglect by an authorized agency shall be forwarded to the employer. (**Attachment I** DDS Abuse/Neglect Investigation Review form)
9. The regional Abuse and Neglect Liaison, or the liaison’s designee, shall ensure that all case-related documents are included with the intake, the investigation report, its findings and exhibits, and any additional recommendations in the abuse and neglect investigation file.
10. The DDS regional Abuse and Neglect Liaison and the qualified provider, if applicable, shall maintain the completed investigation file in accordance with the State of Connecticut’s Records Retention Schedule, as applicable.
11. If an investigation involves the death of the individual who is the victim of the alleged abuse or neglect, the investigation into the alleged abuse or neglect which may have contributed to the individual’s death shall be completed by the DDS Division of Investigations (DDS DOI) or the DDS Abuse Investigation Division (DDS AID).
12. The completed investigation report shall be reviewed and approved by the DDS AID Supervisor and sent to the Director of Investigations for review and final approval.
13. The Director of Investigations shall review and approve the investigation report and shall return the approved report, its findings, and any recommendations to the DDS AID Supervisor.
14. The DDS AID Supervisor shall send the approved investigation report, its findings and exhibits, and any recommendations to the regional Abuse and Neglect Liaison, or the liaison’s designee.
15. The regional Abuse and Neglect Liaison shall record the findings and the closure date of the investigation in eCAMRIS and record any recommendations in DDS Abuse and Neglect Database.
16. The regional Abuse and Neglect Liaison, or the liaison’s designee, shall distribute, electronically, the completed and approved investigation report findings and any recommendations made by the assigned investigator; or the DDS Director of Investigations, DDS AID Supervisor, DDS Regional or Training School Director, or their designees.
17. The Regional or Training School Director, or the Director’s designee, upon receipt of the completed DDS investigation report shall notify, share the investigation’s findings and, if applicable, any recommendations with, the following persons, as applicable:
18. The individual’s legal representative, except in cases where the legal representative has been substantiated as the perpetrator of the abuse or neglect or is a person who resides with the substantiated perpetrator, shall be (1) informed that the investigation and the investigation report have been completed, as mandated in state statute; and (2) provided with the report’s findings and any recommendations.
19. The Qualified Provider Administrator shall be (1) informed that the investigation and the investigation report has been completed, as mandated in state statute; (2) provided with the report’s findings and any recommendations; and (3) informed of the requirement that the Administrator respond to recommendations contained in the investigation report that relate to the qualified provider.
20. **References**

DDS Policies and Procedures

I.D.PR.001 Mortality Reporting Deaths of Individuals

I.D.PR.009 Incident Reporting

I.D.PR.009a Incident Reporting for Individuals who live in Own /Family Home & Receive DDS Funded Services

I.F.PR.001 Abuse and Neglect/Allegations: Reporting

I.F.PR.002 Abuse and Neglect/Allegations: Intake and Initial Notification Process

I.F.PR.004 Abuse and Neglect/Investigations: Recommendations, Protective Services and Prevention Activities

I.F.PR.005 Abuse and Neglect/Investigations: Access to Completed Investigations

I.F.PR.006a Abuse and Neglect/DDS Abuse and Neglect Registry

I.F.PR.007a Abuse and Neglect/Access to the DDS Abuse and Neglect Registry

Connecticut General Statutes (CGS)

Section 1-210 CGS: “Access to Public Records. Exempt Records.”

Section 4-33a CGS: “Illegal, irregular or unsafe handling of state or quasi-public agency funds”

 Section 17a-101 et seq. CGS: “Abuse of Children”

 Section 17a-210 et seq. CGS: “Department and Commissioner of Developmental Services”

 Section 17a-238 CGS: “Rights of Persons under Supervision of Commissioner of Developmental Services”

Section 17a-247a – 247e CGS: Statutes Governing the “DDS” Abuse/Neglect Registry

 Section 17b-451 CGS: “Protective Services for the Elderly”

 Section 29-15a: Qualifications for Private Detective or Private Detective Agency License Appeal.

 Section 46a-11a – 11h CGS: “Protection and Advocacy for Persons with Disabilities”

 Section 46a-13a CGS: “Requirements for other agencies. Release of client records by other agencies”

 Section 53-20 CGS: “Cruelty to Persons”

Section 53a-59a, 53a-60b, 53a-60c, 53a-61a, 53a-65 et seq. CGS: “Penal Code”

Regulations of Connecticut State Agencies

Sections 17a-247e-1 through 17a-247e-9, inclusive, “DDS” Abuse and Neglect Registry

Sections 17a-238-1 through 17a-238-13, inclusive, “Rights of Persons Under the Supervision of the Commissioner of Developmental Disabilities”

Sections 29-161-2, inclusive, “Requirements for Licensing as a Private Detective or Private Detective Agency”

Federal Registry

42 C.F.R. 442.1 through 442.119 – ICF/IID Regulations

* 1. **Attachments**

**Abuse and Neglect Procedures Attachments A through L** (Link to all Attachments)

**Attachment A** Department of Developmental Services (DDS) Abuse and Neglect – Definitions and Examples (Link available in Section C, Definitions)

**Attachment B** DDS AID Intake/Investigation Report Form

**Attachment D** PA-6: Report of Suspected Abuse or Neglect of an Adult with Intellectual Disability

**Attachment E** DCF-136: Report of Suspected Child Abuse or Neglect

**Attachment G** Guidelines for Case Managers When Communicating with Legal Representatives

**Attachment H** DDS Investigation Report form

**Attachment I** DDS Abuse/Neglect Investigation Review form

**Attachment J** DDS Abuse Neglect Registry: Monitoring form

**Attachment K** DDS Notice of Termination or Separation for Registry Purposes form