

**STATE OF CONNECTICUT  
DEPARTMENT OF MENTAL RETARDATION**

**Procedure No.:** I.F.PR.003

**Issue Date:** March 15, 2002

**Subject:** Abuse and Neglect Investigation  
Recommendation Tracking

**Effective Date:** March 15, 2002

**Designated Area Of Responsibility:** Quality Improvement

**A. PURPOSE**

The purpose of this procedure is to facilitate standard consistent monitoring of the implementation of abuse or neglect recommendations in both the public and the private sector. This procedure will guide administrative oversight of the timely implementation of recommendations.

**B. APPLICABILITY**

This procedure shall apply to individuals served by programs licensed, operated and/or funded by DMR. This includes individuals living in campus facilities, community living arrangements, community training homes, supported living and to individuals to whom abuse or neglect occurred in the day program.

**C. DEFINITIONS**

**Individual Specific Recommendations:** Courses of action advised by the appropriate professional(s) to address issues personal to the client in light of an abuse or neglect investigation's findings and communicated to the DMR case manager and the interdisciplinary team (IDT) by the abuse and neglect liaison.

**Programmatic and Administrative Recommendations:** Courses of action advised by the appropriate manager to address the procedural and/or systemic issues raised by an abuse or neglect investigation findings and communicated to the applicable private provider and DMR contract manager.

**Office of Protection and Advocacy (OPA) Recommendations:** Courses of action that are received from OPA following their review of the investigation findings.

## **D. IMPLEMENTATION**

### **Private Sector**

Within seven (7) days of the regional director's review of the recommendations of the completed abuse or neglect investigation, the abuse and neglect liaison or designee shall request of the private provider a written response on the status of the actions taken on the recommendations. A written response is due within thirty (30) days of the request date.

If the provider fails to respond within thirty (30) days, the contract manager and/or the director of Contract Administration will convene a meeting with the private provider to ascertain that recommendations are addressed and that a review of a compliance plan *occurs*.

Individual specific recommendations are forwarded by the abuse and neglect liaison to the DMR case manager and a copy is sent to the case management supervisor. The case manager will communicate the recommendations to the client/individual's IDT within five (5) working days, which will follow up on the concerns. The case manager will document the IDT's follow-up of the recommendations in the client/individual record according to the timeframes noted in the recommendations.

Programmatic and administrative recommendations are forwarded by the abuse and neglect liaison to the DMR contract manager with a copy to the director of Contract Administration. If the investigation was completed by an entity other than the provider, the abuse and neglect coordinator will forward the findings and recommendations to the executive director of the private agency.

The contract manager shall monitor compliance with the recommendations through site visits.

The promptness of complying with the abuse or neglect recommendations will be addressed at the provider's annual contract review and mid-year contract review. The lack of prompt responses by a provider may be addressed in the contract for the following year.

### **Public**

Within seven (7) days of the abuse and neglect liaison's (or designee's) review of the completed abuse or neglect investigation, the abuse and neglect liaison or designee shall forward correspondence to the residential manager and to the division director of public programs with a request for recommendations to address the findings. A written response is due within thirty (30) days.

If a response is not received within thirty (30) days, the regional director will be notified and a compliance plan with specific timelines will be required.

The individual specific recommendations are forwarded by the abuse and neglect liaison to the DMR case manager and a copy is sent to the case management supervisor. The case

manager will communicate the recommendations to the client/individual's IDT, which will follow up on the concerns. The case manager will document the IDT's follow-up of the recommendations in the client/individual record according to the timeframes noted in the recommendations.

### **Tracking System**

A standard tracking system will be developed by a group comprised of members of Quality Improvement Divisions across the state. The regional Quality Insurance Director or designee will track the responses to recommendations. A monthly report will be generated by the abuse and neglect liaison and sent to the quality improvement director, lead investigator, division directors and the regional director.

### **E. REFERENCES**

[Policy No. I.F.PO.001 Abuse and Neglect](#)