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118 CMR 1.00: SCOPE AND AUTHORITY

Section

- 1.01: Scope and Purpose
- 1.02: Commentaries
- 1.03: Construction
- 1.04: Severability

1.01: Scope and Purpose

(1) Scope.

(a) 118 CMR applies to all cases of abuse and retaliation reported to, investigated by or on the behalf of the Disabled Persons Protection Commission and remediated as a result of such investigations pursuant to M.G.L. c. 19C and 118 CMR.

(b) 118 CMR does not provide for an adjudicatory hearing within the meaning of M.G.L. c. 30A, § 1(1), except as provided for in 118 CMR 5.04 (4). 118 CMR is not intended to constitute an administrative remedy under the doctrine of exhaustion of administrative remedies or otherwise, except in cases appealed to the Division of Administrative Law Appeals pursuant to M.G.L. c. 19C, § 15 and 118 CMR 14.03 or 118 CMR 14.04.

(2) Purpose. The purpose of 118 CMR is to establish the procedures and standards the Commission utilizes to effectuate the purposes of the Commission including but not limited to, the investigation and remediation of abuse of persons with disabilities who reside in the Commonwealth of Massachusetts, or of non-resident persons with disabilities who are abused while in the Commonwealth of Massachusetts, ~~and~~ the investigation and remediation of instances of retaliation against a person for having reported such abuse or cooperated in the investigation of abuse, and the administration of the registry of care providers against whom the Commission has made a substantiated finding of registrable abuse. In pursuing its statutory purposes, the Commission shall endeavor to respect the privacy, self-determination rights and dignity of persons with disabilities.

1.02: Commentaries

Commentaries may be used throughout 118 CMR to clarify certain issues, concepts, or problems, as well as to give specific examples of typical situations that may arise under 118 CMR. These commentaries are intended to be illustrative only, and do not apply to fact situations different from those specifically described in 118 CMR.

1.03: Construction

(1) In interpreting 118 CMR, words and phrases shall be construed according to common and approved usage; provided, however, that technical words and phrases and such others as may have acquired a special and appropriate meaning in law shall be construed and understood according to such meaning.

(2) The generally-accepted rules of construction shall be observed in 118 CMR unless their observance requires a construction inconsistent with the manifest intent of M.G.L. c. 19C or is repugnant to its context.

(3) The time frames for performing acts required by M.G.L. c. 19C and 118 CMR shall be determined as follows: a time requirement which refers to "business days" shall refer to Mondays through Fridays, excluding legal holidays; a time requirement which refers to "calendar days," shall refer to all the days of the week within the time frame, provided that if the final day of the time frame regarding either "business days" or "calendar days" is a Saturday or Sunday or a legal holiday, the time requirement shall be extended to the next regular business day. References to "days" shall refer to calendar days unless otherwise specifically indicated.

1.04: Severability

If any regulation, section, sub-section, division, subdivision, sentence, clause, phrase, word, or portion of 118 CMR is found to be invalid by a court of competent jurisdiction for any reason, said portion shall be deemed a separate, distinct, and independent provision, and the validity of the remainder of 118 CMR shall be unaffected.

REGULATORY AUTHORITY

118 CMR 1.00: M.G.L. c. 19C, §§ 2, 3(b), 4(b), 11 and ~~15~~.

118 CMR 2.00: DEFINITIONS

Section

2.01: Scope and Purpose

2.02: Meaning of Terms

2.01: Scope and Purpose

118 CMR 2.00 provides definitions for terms frequently used in M.G.L. c. 19C and 118 CMR. The terms are based on M.G.L. c. 19C and Disabled Persons Protection Commission usage common to the implementation of the Commission's duties and obligations.

The terms used in 118 CMR have the meanings ascribed in M.G.L. c. 19C unless otherwise specified in 118 CMR 2.00, elsewhere in 118 CMR, or unless the context otherwise requires. In any event no term shall be given a meaning that is either inconsistent with the manifest intent of M.G.L. c. 19C or repugnant to its context.

2.02: Meaning of Terms

Abuse. An Act or Omission which results in Serious Physical Injury or Serious Emotional Injury to a Person with a Disability.

However, no person shall be considered to be abused or subjected to Abuse Per Se for the sole reason that such person is being furnished or relies upon treatment in accordance with the tenets and teachings of a church or religious denomination by a duly accredited practitioner thereof; nor for the sole reason that, consistent with the stated or implied wishes of a competent person or a duly appointed representative of an incapacitated person, he or she is not receiving medical treatment or care. As used throughout 118 CMR, the term Abuse shall be construed to include Abuse Per Se, regardless of whether Abuse Per Se is explicitly referenced.

Abuse Per Se. An Act or Omission of a Caretaker that includes or results in the following, regardless of whether a Serious Physical Injury or ~~serious emotional injury~~ Serious Emotional Injury is manifested:

- (a) Sexual Abuse;
- (b) the withholding of adaptive aids used by the Person with a Disability, provided that said withholding is unrelated to safety, care or treatment;

Commentary: For purposes of 118 CMR 2.02: Abuse Per Se (b), examples of the withholding of adaptive aids include, but are not limited to, prevention of access to and/or removal of the ~~solepresently relied upon~~ means of communication, in the case of a deaf or hard-of-hearing person or other Person with a Disability with communication deficits, or of the ~~solepresently relied upon~~ apparatus to assist mobility, in the case of a ~~person~~ Person with a ~~physical disability~~ Physical Disability.

(c) a pattern of touching neither required nor appropriate for tending to the safety and welfare of a Person with a Disability. For purposes of 118 CMR 2.02: Abuse Per Se (c) only, the term "pattern" shall mean "~~Two~~ two or more separate instances of touching";

(d) the intentional, wanton or reckless application of a physical force in a manner that inflicts physical pain or Serious Emotional Injury as determined by an evaluation of the totality of the circumstances. For the exclusive purposes of 118 CMR 2.02: Abuse Per Se (d), when a person as a result of his or her disability is unable to express or demonstrate a Serious Emotional Injury or a reaction to physical pain, the investigator may use the reasonable person standard solely for the purposes of evaluating whether the intentional, wanton or reckless application of a physical force inflicted physical pain or Serious Emotional Injury. Using the reasonable person standard, the investigator determines whether, by a preponderance of the evidence, given the same set of factual circumstances, a reasonable person would have experienced ~~Physieal~~ physical pain or Serious Emotional Injury.

Reasonable person shall mean "A person who in similar circumstances would exercise the qualities of attention, knowledge, intelligence and judgment which society requires of its members for the protection of himself or herself and the interest of others."

Accident. It shall be considered an Accident and not Abuse when a Person with a Disability incurs a Serious Physical Injury or Serious Emotional Injury and/or is subjected to Abuse *Per Se*, and the injury at the time it is incurred:

~~2.02: continued~~

- (a) is not the result of a Caretaker's negligent Act;
- (b) is not the result of a Caretaker's reckless Act;
- (c) is not the result of a Caretaker's Omission;
- (d) is caused by a Caretaker's application of an appropriate degree of physical force given the circumstances; or
- (e) is caused by a Caretaker's good faith attempt to prevent physical injury, pain or Serious Emotional Injury to the Person with a Disability.

Act. A Caretaker's intentional, reckless, or negligent action, regardless of whether the Act is performed with an intent to harm.

Capacity to Consent. The ability of the Person with a Disability to make informed decisions concerning his or her own person or property, including but not limited to, whether or not to accept Protective Services.

Caretaker. Any State Agency or any individual responsible for the health and welfare of a Person with a Disability by providing for or directly providing assistance in meeting a Daily Living Need, which cannot otherwise be performed by the Person with a Disability without assistance, regardless of the location at which such assistance occurs. Minor children, unless the minor child is receiving compensation for serving as a Caretaker, and adults adjudicated incapacitated by a court of law shall not be deemed to be Caretakers. Caregiver and Caretaker may be used interchangeably without changing the meaning of either.

Care Provider. A Caretaker who is employed by, or contracts with, the Department or an Employer to provide services or supports to a Person with an Intellectual Disability or a Person with a Developmental Disability. Care Providers include Caretakers in any program licensed, contracted, or funded by the Department.

A Care Provider shall be considered to be contracting with or employed by the Department or an Employer irrespective of whether the Care Provider is receiving compensation for services, including volunteers, interns, work-study participants, or any other similar unpaid position.

Commission. The Disabled Persons Protection Commission.

Commissioners. The Commissioners of the Disabled Persons Protection Commission.

Department. The Department of Developmental Services as organized under M.G.L. c. 19B.

Daily Living Needs. The essential requirements necessary to safeguard the well-being, physical and mental health and welfare, and basic safe daily functioning of a Person with a Disability, including but not limited to, the provision of medical care for physical and mental health needs, assistance with personal hygiene, the provision of food, clothing, heated and ventilated habitable shelter, transportation, and protection from health and safety hazards.

Division. The Division of Administrative Law Appeals as organized under M.G.L. c. 7, § 4H.

Disclosure of Documents. The right of the assigned investigator to inspect and copy any document required to be made available pursuant to M.G.L. c. 19C, § 5(1), including any document plainly not irrelevant to any matter under investigation pursuant to M.G.L. c. 19C and in the possession of any ~~mandated reporter~~ Mandated Reporter or any State Agency, Employer, or any other entity which employs a mandated reporter and which is acting as custodian of the documents; provided that a written request has been submitted by the assigned investigator.

Emergency. A situation involving an allegation of the presence of imminent Serious Physical Injury or Serious Emotional Injury, ~~or both~~ Abuse Per Se, to a Person with a Disability that requires an immediate response to protect the Person with a Disability from such Serious Physical Injury ~~or~~ Serious Emotional Injury or Abuse Per Se.

Emergency Protective Services. Those services provided in response to an Emergency to

mitigate and/or eliminate imminent Serious Physical Injury or Serious Emotional Injury, or ~~both~~ Abuse Per Se, to a Person with a Disability.

Employer. An entity that provides services or treatment to a Person with an Intellectual Disability or a Person with a Developmental Disability pursuant to: (a) a contract or agreement with the Department; (b) funding administered by the Department; or (c) a license issued pursuant to M.G.L. c. 19B, § 15 or 15A.

False Report. A report of Abuse which at the time it is made is known by the reporter not to be true and is maliciously made for: the purpose of harassing, embarrassing or harming another person; the personal financial gain of the reporter; acquiring custody of the Person with a Disability; or the personal benefit of the reporter in any other private dispute. A False Report does not include a report of Abuse of a Person with a Disability that is made in good faith to the Commission and subsequently is unsubstantiated or screened out for lack of jurisdiction under M.G.L. c. 19C.

Formal Investigation. Any discretionary investigation conducted at the direction of the Commissioners pursuant to M.G.L. c. 19C, § 8 and 118 CMR 6.00: *Formal Commissioners' Investigations.* —A Formal Investigation may also be known as a Commissioners' Investigation.

2.02: ~~continued~~

Intake Form. The document generated by the Commission based upon the initial report of an allegation of Abuse of a Person with a Disability.

Long-term Care Facility. A convalescent home, nursing home, rest home, or charitable home for the aged licensed by the Department of Public Health under the provisions of M.G.L. c. 111, § 71.

Mandated Reporter. Any physician, medical intern, or hospital personnel engaged in the examination, care or treatment of persons; medical examiner; dentist; psychologist; nurse; chiropractor; podiatrist; osteopath; public or private school teacher; educational administrator; guidance or family counselor; day care worker; probation officer; animal control officer; social worker; foster parent; police officer; or person employed by a state agency within the executive office of health and human services as defined by M.G.L. c. 6A, § 16, or employed by a private agency providing services to a Person with a Disability; who, in his Professional Capacity shall have Reasonable Cause to Believe that a Person with a Disability is suffering from a Reportable Condition.

Non-emergency. A situation of alleged Abuse that is not an Emergency.

Omission. A Caretaker's failure, whether intentional or not, to take action to protect a Person with a Disability, or to provide for the Daily Living Needs of a Person with a Disability, including, but not limited to, failing to prevent another person from committing Abuse or Abuse *Per Se* against a Person with a Disability.

Partially Dependent. A determination made by the Commission that as a result of a disability, a Person with a Disability is unable to meet some, but not all, of his or her Daily Living Needs without the intervention of at least a single caretaker.

Commentary. Partial Dependence is not established by the mere existence of a disability. Partial dependence is established by the existence of both a disability and the individual's partial inability to provide for his or her Daily Living Needs without assistance because of the underlying disability.

Person with a Developmental Disability. A person with a severe, chronic disability that is attributable to a mental or physical impairment resulting from intellectual disability, autism, Smith-Magenis syndrome or Prader Willi syndrome; is manifested before the individual attains 22 years of age; is likely to continue indefinitely; results in substantial functional limitations in three or more areas of major life activity; and reflects the individual's need for a combination and sequence of special, interdisciplinary or generic services, supports or other assistance that is of a lifelong or extended duration and is individually planned and coordinated; as delineated and more specifically defined in the statute and regulations of the Department of Developmental Services at M.G.L. c. 123B and 115 CMR 2.01.

Person with a Disability. A person 18 through 59 years of age, who is a Person with an Intellectual Disability or a Person with a Developmental Disability, as used in M.G.L. c. 123B, § 1, or who is otherwise mentally or physically disabled, and, such mental or physical disability prevents or restricts the individual's ability to provide for his or her own Daily Living Needs; provided, however, that a person who is temporarily dependent upon a medically prescribed device or procedure to solely treat a transitory physical ailment or injury shall not be considered a Person with a Disability for the purposes of M.G.L. c. 19C unless that person otherwise meets the definition of a Person with a Disability.

Person with an Intellectual Disability. A person who has an intellectual disability, characterized by significant limitations in both intellectual functioning and adaptive behavior beginning before 18 years of age, as expressed in conceptual, social and practical adaptive skills as delineated and more specifically defined in the statute and regulations of the Department of Developmental Services at M.G.L. c. 123B and 115 CMR 2.01: ~~Definitions~~, and consistent with the most recent definition provided by the American Association on Intellectual and Developmental Disabilities.

Person with a Mental Disability. An individual having a condition, not including an

intellectual or developmental disability, causing mental dysfunction or emotional impairment as determined by a mental health professional.

Person with a Physical Disability. A person with a permanent or long-term physical impairment.

Professional Capacity. The activities that are performed in conjunction with an individual's employment or volunteer service during which they may come in contact with Persons with Disabilities.

~~2.02: continued~~

Commentary. The purpose of mandating certain professions to report instances of Abuse is to require reports from those individuals who, as part of their employment or voluntary service, have contact with Persons with Disabilities and thus a greater opportunity to observe Abuse or its effects. As a result, the mandate applies, as specifically stated in the statute, when the ~~mandated-reporter~~ Mandated Reporter, working in a Professional Capacity, has Reasonable Cause to Believe that Abuse exists.

Protective Services. The services arranged for or implemented by a protective service agency as designated by the Commission pursuant to M.G.L. c. 19C, § 3(d) and provided to a Person with a Disability who has been determined to be in a state of Abuse or neglect. Protective Services include, but are not limited to, social casework, case management, arranging for medical/psychiatric evaluations, home care, day care, social service, health care and other services as may be required to ensure that the Person with a Disability is protected from Abuse or neglect and that the effects of Abuse or neglect are remediated.

Reasonable Cause to Believe.

(a) For purposes of reporting and screening allegations of Abuse pursuant to M.G.L. c. 19C, §§ 4, 5(4) and 10, Reasonable Cause to Believe is a threshold function of judgment triggered by a presentation of facts either directly observed or obtained from reliable sources that creates a suspicion that Abuse exists.

(b) For purposes of substantiating or un-substantiating the existence of Abuse after investigation, Reasonable Cause to Believe pursuant to M.G.L. c. 19C, §§ 5 and 8 is a basis for judgment that rests upon specific facts, either directly observed or obtained from reliable sources, which leads to a conclusion regarding whether Abuse and/or Abuse *Per Se* occurred based upon the preponderance of the evidence.

Records. All documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, videotapes, digital files, electronic files, or other documentary material, regardless of physical form or characteristics, collected or generated as a result of a report or investigation of ~~abuse~~ Abuse or retaliation pursuant to M.G.L. c. 19C. Such records shall not be considered "public records" and the disclosure of the material and data contained therein shall be limited to the extent required by M.G.L. c. 19C, ~~§§§ 3 and 15~~, c. 66, c. 66A, and -c. 4, § 7, cl. 26.

Referral Agency. An agency of the Commonwealth that receives from the Commission a report of Abuse of a Person with a Disability in order to perform investigations, protective service assessments, or to provide Protective Services pursuant to M.G.L. c. 19C, §§ 4, 5 and 6.

Registry. The registry of Care Providers against whom the Commission has made a substantiated finding of Registrable Abuse as organized under M.G.L. c. 19C, §15.

Registrable Abuse. An Act or Omission of a Care Provider that results in Serious Physical Injury or Serious Emotional Injury or constitutes Abuse *Per Se* of a Person with an Intellectual Disability or a Person with a Developmental Disability between the ages of 18 and 59. Registrable Abuse shall not include instances in which the Commission, after review of an objection under 118 CMR 14.02 (3), issues a decision pursuant to 118 CMR 14.02 (4) (b) 2, that upon weighing the conduct of the Care Provider and its outcome, the Commission determines that the incident was isolated and unlikely to reoccur and that the Care Provider is fit to provide services or supports to persons with intellectual or developmental disabilities.

Reportable Condition. A Serious Physical Injury or Serious Emotional Injury incurred by a Person with a Disability and for which there is Reasonable Cause to Believe resulted from the Act or Omission of a Caretaker or an Act or Omission of a Caretaker that a reporter has Reasonable Cause to Believe constitutes Abuse *Per Se*.

Screener. A Commission employee who determines the urgency and nature of each report of alleged Abuse received by the Commission and who refers it for investigation and/or Protective Services pursuant to M.G.L. c. 19C, § 4 and 118 CMR.

Serious Emotional Injury. An injury to the intellectual functioning or emotional state of a

Person with a Disability ~~caused by either the verbal or nonverbal conduct of a Caretaker,~~ including but not limited to, coercion; harassment; the inappropriate isolation of a Person with a Disability from family, friends or regular activity; and verbal assault, including but not limited to, ridiculing, intimidating, yelling or swearing. A Serious Emotional Injury is evidenced by an observable and measurable reduction in the person's ability to function from the person's customary range of performance or customary behavior including, but not limited to, a state of anxiety, fear, depression or withdrawal; or the development of post-traumatic stress disorder, including but not limited to, symptoms resulting from being forced to engage in ~~un-assented to~~ nonconsensual sexual activity.

2.02: ~~continued~~

~~Commentary. A Serious Emotional Injury is determined by examining the effect of the Act or Omission of the Caretaker(s) upon the ability of the Person with a Disability to function.~~

Commentary. Finding a reduction of function is not solely dependent upon the duration of the reduction. The fact that the resulting reduction of function from the person's customary range of performance or customary behavior does not extend for a particular period of time does not preclude a finding that a Serious Emotional Injury has occurred. The length of time the reduction in function lasts must be evaluated in conjunction with the severity of the reduction in function in determining whether a Serious Emotional Injury has occurred.

Serious Physical Injury. Impairment of the physical condition of a Person with a Disability ~~resulting from an Act or Omission of a Caretaker~~, including, but not limited to:

- (a) death;
- (b) brain damage; permanent disfigurement; fracture of any bone; subdural hematoma; intramuscular injury;
- (c) bedsores or similar condition;
- (d) any significant: bleeding; bruising; burn; sunburn; abrasion; laceration; or puncture of the skin;
- (e) any significant impairment of a: bodily system; function; limb; or organ, including human skin;
- (f) harmful symptoms resulting from the use of medication or chemicals without informed consent or appropriate authorization; or
- (g) malnutrition or dehydration.

Commentary. In determining whether there is Reasonable Cause to Believe that the injury is a Serious Physical Injury resulting from Abuse, the Commission shall consider the significance of the injury in the totality of the circumstances, including, but not limited to:

- the shape, size, number and/or pattern of the injury(ies), including indicators that the injury(ies) may have been sustained by the application of force from an identifiable object (*i.e.*, belt, hand, blunt object);
- the location of the injury on the ~~alleged victim~~ Person with a Disability;
- prior injuries of a similar nature;
- the level of dependence of the ~~alleged victim~~ Person with a Disability, including but not limited to: his or her supervision requirements; ability to ambulate; the requirements of his or her care; and the extent to which the individual is able to participate in activities of daily living;
- the effect the injury had on the ~~alleged victim's~~ Person with a Disability's ability to function physically;
- the nature and ~~history~~, if any, of prior self-injurious behavior by the ~~alleged victim~~ Person with a Disability; and
- the nature and extent of any medical treatment needed to address the injury.

Sexual Abuse. Occurs when a Caretaker forces, tricks, threatens, coerces, exploits or otherwise engages a Person with a Disability or permits another person to force, trick, threaten, coerce, exploit or otherwise engage a Person with a Disability in ~~an un-assented to nonconsensual~~ sexual activity. Sexual activities may include but are not limited to unwanted or inappropriate touching, kissing, touching of the clothed or unclothed inner thigh, breast, groin, buttock, anus, pubes or genitalia; or any ~~un-assented to nonconsensual~~ sex act including but not limited to: sexual intercourse; sexually explicit photographing, including the use, publication or dissemination of nude or sexually explicit photographs or recordings to exploit, manipulate, threaten or coerce; or exposure to sexually explicit material, activity or language.

Sexual Abuse also includes, but is not limited to, instances in which:

- (a) the Person with a Disability lacks the capacity to ~~assent~~ consent to the sexual activity with the Caretaker or other person, even if the Person with a Disability has purportedly ~~assented~~ consented; or
- (b) due to the nature of his or her disability, fear of retribution or hardship, or the inequality of position and power, the Person with a Disability was inappropriately engaged in the sexual activity with the Caretaker or other person.

Commentary. Sexual Abuse does not include a touching which is part of a necessary examination, treatment or care by a Caretaker acting within the scope of the practice or employment of the Caretaker; or the exchange of a brief touch or hug between the Person with a Disability and a Caretaker for the purpose of reassurance, comfort, or casual friendship.

~~2.02: continued~~

Special Investigative Unit. The investigative unit within the Commission to which state police are assigned to coordinate and conduct investigations of reports of Abuse received by the Commission where there is an allegation of criminal conduct pursuant to M.G.L. c. 19C, §§ 3(i) and 4.

Staff Investigation. An investigation conducted by the staff of the Commission that is not a Formal Investigation pursuant to M.G.L. c. 19C, § 8 and 118 CMR 6.00: *Formal Commissioners' Investigations*.

State Agency. Any agency of the Commonwealth that provides services or treatment to Persons with Disabilities, as well as private agencies or other entities providing any services or treatment pursuant to a contract, license, or agreement including, but not limited to, a contract, license, or agreement for reimbursement, with an agency of the Commonwealth.

Wholly Dependent. A determination made by the Commission that as a result of a disability, a Person with a Disability is completely unable to meet all of his or her Daily Living Needs without the intervention of at least a single Caretaker.

Commentary. The state of being Wholly Dependent is not established by the mere existence of a disability. The state of being Wholly Dependent is established by the existence of both a disability and the individual's complete inability to provide for all of his or her Daily Living Needs without assistance because of his or her underlying disability.

#### REGULATORY AUTHORITY

118 CMR 2.00: M.G.L. c. 19C, §§ ~~1, 3(b)~~ and ~~3(b)-15~~.

118 CMR 3.00: REPORTERS

Section

3.01: Scope and Purpose

3.02: Contents of Reports of Abuse

3.03: Mandated Reporters

3.04: Non-mandated Reporters

3.05: Reports Involving Deaths of Individuals with Disabilities Whose Caretaker was a State Agency, an ~~Agency of Any Subdivision of the Commonwealth or a Private Entity Contracting with or Licensed~~

~~by the Commonwealth~~

3.06: Reporter Immunity

3.07: Penalties for Failure of a Mandated Reporter to Report

3.08: Penalties for Retaliation Against Reporters

3.01: Scope and Purpose

118 CMR 3.00 establishes the requirements for reporting abuse and/or death of persons with disabilities to the Commission, the penalties for not reporting and the protections afforded to reporters and participants in investigations conducted pursuant to M.G.L. c. 19C.

3.02: Contents of Reports of Abuse

Each oral and written report of abuse and/or death of a person with a disability made to the Commission shall contain information as deemed appropriate and relevant by the Commission.

3.03: Mandated Reporters

(1) A mandated reporter as defined by M.G.L. c. 19C, § 1 shall immediately make to the Commission's Hotline an oral report of suspected abuse when the mandated reporter has reasonable cause to believe that a reportable condition exists.

(2) A mandated reporter is required to report suspected abuse without regard to professional privileges established by statute, code of ethics or court decision. However, no mandate to report exists after a person with a disability invokes a privilege established by law or professional code and thereby requests that a report not be made. The invocation of such a privilege by a person with a disability shall convert a mandated reporter to a non-mandated reporter.

(3) In addition to making an oral report to the Commission's Hotline, a ~~reporter, whether~~ mandated ~~or not, reporter~~ shall also send to the Commission a written report regarding the existence of a reportable condition as prescribed by M.G.L. c. 19C, § 10.

(4) In all events in which the ~~reportable-condition allegation~~ being reported is ~~of~~ a death which the mandated reporter has reasonable cause to believe was the result of a reportable condition, the mandated reporter shall file a written report with the Commission, the District Attorney for the county in which the death occurred, and the Office of the Chief Medical Examiner.

(5) If an investigator designated by the Commission has reasonable cause to believe that a person with a disability has died as a result of abuse, the investigator shall immediately report said death to the Commission, the Attorney General, the District Attorney for the county in which such death occurred, and the Office of the Chief Medical Examiner.

(6) It is the personal responsibility of each mandated reporter to ensure that he or she makes a report to the Commission when he or she has reasonable cause to believe that a reportable condition exists based upon the facts known to him or her. However, when more than one mandated reporter is aware of the same situation of suspected abuse, one mandated reporter may report on behalf of all the mandated reporters by making a report which contains the names of all the mandated reporters. If such a report by multiple reporters is received by the Commission, that single report shall satisfy the reporting requirement for all the named

mandated reporters. It shall be the responsibility of each of the mandated reporters to ensure that such a report is actually made on his or her behalf in order to satisfy his or her responsibility to report pursuant to M.G.L. c. 19C, § 10.

3.04: Non-mandated Reporters

Any person, who is not a mandated reporter and has reasonable cause to believe that a reportable condition may exist, may make a report to the Commission pursuant to the requirements contained in 118 CMR. Said reporter shall be referred to in 118 CMR as a "non-mandated reporter."

3.05: Reports Involving Deaths of Individuals with Disabilities Whose Caretaker Was a State Agency, an Agency of Any Subdivision of the Commonwealth or a Private Entity Contracting with or Licensed by the Commonwealth

(1) Upon the death of a person with a disability whose caretaker was a state agency, an agency of any subdivision of the Commonwealth or a private entity contracting with or licensed by an agency of the Commonwealth, even if there is no suspicion that the death is the result of abuse, the caretaker agency is required to immediately provide an oral report of said death to the Commission's Hotline, and to local law enforcement officials and to provide within 24 hours a written report to the Commission and to local law enforcement officials.

(2) Each oral and written report of a death made to the Commission shall contain information as deemed appropriate and relevant by the Commission.

3.06: Reporter Immunity

(1) A mandated reporter shall not be liable in any civil or criminal action by reason of having made a report under M.G.L. c. 19C; provided, however, that if said report is a false report, the protections provided by M.G.L. c. 19C, §§ 10 and 11 shall not be available to the mandated reporter.

(2) A non-mandated reporter shall not be liable in any civil or criminal action by reason of having made a report under M.G.L. c. 19C; provided, however, that if said report is a false report, the protections provided by M.G.L. c. 19C, §§ 10 and 11 shall not be available to the non-mandated reporter.

(3) In no event shall a person who abuses a person with a disability be exempt from civil or criminal liability for such abuse by reason of his or her reporting such abuse.

3.07: Penalties for Failure of a Mandated Reporter to Report

Upon completion of an investigation and determination by the Commission that:

(1) a mandated reporter has failed to report either a reportable condition or a death when required; and

(2) the person with a disability has not knowingly invoked a privilege in accordance with M.G.L. c. 19C, § 10;

The Commission may cause a fine of up to \$1,000.00 to be imposed upon a mandated reporter who fails to comply with the requirements of M.G.L. c. 19C, § 10.

3.08: Penalties for Retaliation Against Reporters

(1) Any person who is discharged, disciplined or in any manner discriminated against for filing a report with or providing information to the Commission or to any agency conducting an investigation under M.G.L. c. 19C shall have the right to have the Commission review and, at its discretion, further investigate an allegation of retaliation.

(2) Upon the completion of an investigation and a determination by a preponderance of the evidence by the Commission that the alleged retaliation occurred as a result of the complainant's filing a report with or providing information during an investigation conducted pursuant to M.G.L. c. 19C, the Commission, at its discretion, may:

(a) request from the Attorney General appointment of Commission's counsel as a Special Assistant Attorney General to prosecute such cases, and if so appointed, file an

application for a complaint at the state District Court for the judicial district in which the alleged violation of M.G.L. c. 19C, § 11 occurred; or

~~3.08: continued~~

(b) refer the matter for prosecution to the Attorney General, or the District Attorney for the county where the alleged violation occurred. If the Commission reports a case to the Attorney General or to a District Attorney, consistent with the provisions of M.G.L. c. 19C, § 3, a copy of the Commission's investigation report and all relevant information in the possession of the Commission shall be sent to the Attorney General or to the appropriate District Attorney.

(3) When an individual notifies the Commission of alleged retaliation or provides the Commission with information during the course of an investigation, all information that the individual provides to the Commission, including his or her own identity, shall be maintained as confidential information. The Commission shall not release such information except as provided in 118 CMR, M.G.L. c. 19C, § 3, c. 66 and c. 66A.

#### REGULATORY AUTHORITY

118 CMR 3.00: M.G.L. c. 19C, §§ 3(b), 5(4), 10, 11, 13 and ~~13~~14; c. 66, and c. 66A.

~~NON-TEXT PAGE~~

118 CMR 4.00: SCREENING OF REPORTS AND REFERRALS TO OTHER AGENCIES

Section

- 4.01: Scope and Purpose
- 4.02: Screening
- 4.03: Determination of Jurisdiction
- 4.04: Determination of Urgency
- 4.05: Referral to Other Agencies
- 4.06: Reports Involving Deaths of Individuals with Disabilities
- 4.07: Reports Involving Suspected Criminal Activity
- 4.08: Reports not within the Jurisdiction of M.G.L. c. 19C
- 4.09: Monitoring of Referrals, Concurrent or Joint Investigations, and Agency Deferral

4.01: Scope and Purpose

118 CMR 4.00 establishes the procedures and requirements to be followed to determine the nature of the reports received by the Commission and the processing of those reports based upon that determination.

4.02: Screening

(1) Immediately upon its receipt, a report of abuse of a person with a disability shall be evaluated to determine:

- (a) whether the Commission has jurisdiction over the complaint;
- (b) the urgency of the complaint; and
- (c) the appropriate action to be taken by the Commission.

(2) If the Commission is unable to make a screening decision based upon the information received from the reporter, the Commission shall immediately seek such further information as is necessary to facilitate the making of such a decision.

4.03: Determination of Jurisdiction

(1) Based upon the information contained in any report received and any additional information otherwise obtained by the Commission, the Commission shall determine whether it has jurisdiction over the matter reported.

(2) A jurisdictional determination shall be based upon the following factors:

- (a) Whether the alleged victim is a person with a disability as defined by M.G.L. c. 19C and 118 CMR.
- (b) Whether the alleged abuser is a caretaker, as defined by M.G.L. c. 19C and 118 CMR, of the alleged victim.
- (c) Whether it appears the acts or omissions of the alleged victim's caretaker have resulted in the alleged victim suffering serious physical injury or serious emotional injury, or both, or because of the nature of the caretaker's act or omission it is reasonable to conclude that abuse *per se* may have occurred.

4.04: Determination of Urgency

(1) The Commission shall determine the urgency of all reports it receives based upon the information which the Commission deems appropriate to collect in all such cases. The urgency of these reports shall be classified:

- (a) Emergency; or
- (b) Non-emergency

(2) Emergencies.

- (a) If the Commission determines that an emergency exists, the Commission shall:
  - 1. immediately refer the case to the appropriate agency pursuant to the requirements of M.G.L. c. 19C, § 4 and 118 CMR 4.05 to ensure immediate action is taken to end the emergency situation; and

4.04: ~~continued~~

2. subsequently refer the report for investigation, if appropriate.
  - (b) The designated investigator shall conduct and complete an initial response within 24 hours of the investigating agency's receipt of the report of the existence of an emergency and shall submit an Initial Response form as required by 118 CMR 5.02~~(3)~~ (4)(a)1: *Requirements of Initial Response*.
  - (c) The designated investigator shall subsequently prepare and submit to the Commission an Investigation Report as required by 118 CMR 5.02~~(34)~~(a)2: *Requirements of Investigation Report*.
  - (d) In the event that the report concerns a situation involving an immediate danger to the alleged victim, the Commission shall take appropriate steps to end the abusive situation including, but not limited to, calling local police authorities or referring the report pursuant to 118 CMR 4.05 for the provision of protective services before making a screening decision, as set out in 118 CMR 4.03.
- (3) Non-emergencies. If the Commission determines that a non-emergency exists, the Commission shall:
  - (a) note that the report has been designated a non-emergency; and
  - (b) refer the report to the appropriate agency within 24 hours of the day of receipt of the report; or
  - (c) refer the report to the appropriate agency on the next business day if the report is received by the Commission during non-business hours.
- (4) Downgrading Urgency Determination.
  - (a) In cases designated an emergency, the referral agency shall:
    1. investigate the matter as required by M.G.L. c. 19C and 118 CMR;
    2. ensure that the emergency is ended and that the person with a disability is safe from further abuse through the implementation of protective services;
    3. report to the Commission what protective actions have been offered/taken to ensure the safety of the person with a disability and confirm that the emergency situation no longer exists.
  - (b) Based upon all the information received by the Commission, the Commission will determine whether and when the urgency determination originally made should be downgraded.

4.05: Referral to Other Agencies

- (1) Reports Regarding Elders, Children, or Patients/Residents of Certain Long-term Care Facilities.
  - (a) Upon receipt of a report alleging abuse of an elderly person (defined as an individual who is 60 years of age or older), the Commission shall immediately refer such report to the Executive Office of Elder Affairs for appropriate action pursuant to M.G.L. c. 19A.
  - (b) Upon receipt of a report alleging abuse of a child (defined as an individual who is younger than 18 years old), the Commission shall immediately refer such report to the Department of Children and Families for appropriate action pursuant to M.G.L. c. 119.
  - (c) Upon receipt of a report alleging abuse of a patient or resident of a long-term care facility as defined in M.G.L. c. 111, § 71 and 118 CMR 2.02, the Commission shall immediately refer such report to the Department of Public Health for appropriate action pursuant to M.G.L. c. 111.
- (2) Reports Regarding Individuals Whose Caretaker is a State Agency.
  - (a) Upon receipt of a report alleging abuse of a person with a disability whose caretaker is a state agency, the Commission, after making the jurisdictional and urgency determinations required by 118 CMR 4.03 and 4.04, shall refer the report for investigation to either an investigator of the Commission, or to the investigation division of the agency within the Executive Office of Health and Human Services that has jurisdiction over the entity providing services or treatment to the person with a disability or that provides or has contracted for or licensed the provision of services or treatment to the person with a disability.

4.05: ~~continued~~

(b) For purposes of investigation, when a person with a disability has multiple caretaker agencies, the agency which is designated as the referral agency shall be that agency which is deemed by the Commission to be the agency with sufficient contacts with the person with a disability and the circumstances of the alleged abuse so as to allow for the most efficient and expedient investigation of the alleged abuse and the provision of protective services. Unless the Commission intervenes in the case pursuant to 118 CMR 4.09(2)(b) or (c), each referral agency shall collaborate, as needed, with other agencies in the investigation of cases involving such individuals, but shall retain the responsibility for completing the investigation and preparing an evaluation and investigation ~~and evaluation~~ report.

(c) If the referral agency objects to the Commission's designation of that agency as the appropriate referral agency, the referral agency shall immediately contact the Executive Director of the Commission, or his or her designee, and request an immediate ruling on the designation. The ruling of the Executive Director or designee shall be final.

(3) Reports Regarding Individuals Whose Caretaker Is Not a State Agency.

(a) Upon receipt of a report alleging abuse of a person with a disability whose caretaker is not a state agency, and the person with a disability has a single type of disability, the Commission, after making the determinations required by 118 CMR 4.03 and 4.04, shall refer the report for investigation to either an investigator of the Commission or to the appropriate agency as specified in 118 CMR 4.05(3)(b) and (c) which agency shall appoint an investigator who shall conduct an investigation pursuant to the time requirements of M.G.L. c. 19C, § 5 and 118 CMR 5.01(2). Unless the Commission intervenes in the case pursuant to 118 CMR 4.09(2)(b), each referral agency shall collaborate, as needed, with other agencies in the investigation of cases involving such individuals, but shall retain the responsibility for completing the investigation and preparing an evaluation and investigation ~~and evaluation~~ report.

(b) The case shall be referred by the Commission as follows:

1. When, as can best be determined from the intake, the alleged victim is a person with a developmental disability or a person with an intellectual disability, as defined by M.G.L. c. 123B, the case shall be referred to and investigated by the Department of Developmental Services or an investigator of the Commission.

2. When, as can best be determined from the intake, the alleged victim has a mental disability which is not the result of a head injury nor is the alleged victim a person with a developmental disability or person with an intellectual disability, the case shall be referred to and investigated by the Department of Mental Health or an investigator of the Commission.

3. When, as can best be determined from the intake, the person who is the subject of the abuse report has a head injury or one or more other physical disabilities and does not have a mental disability, the case shall be referred to and investigated by the Massachusetts Rehabilitation Commission or an investigator of the Commission.

4. When a person with a disability who is the subject of an abuse report has more than one type of disability, the agency which is designated as the referral agency shall be that agency deemed by the Commission to be the agency with sufficient contacts with the person with a disability and the circumstances of the alleged abuse so as to allow for the most efficient and expedient investigation of the alleged abuse and the provision of protective services.

(c) If the referral agency objects to the designation of that agency as the appropriate referral agency, the referral agency shall immediately contact the Executive Director of the Commission, or his or her designee, and request an immediate ruling on the designation. The ruling of the Executive Director or designee shall be final.

4.06: Reports Involving Deaths of Individuals with Disabilities

(1) Reports Involving Deaths of Individuals with Disabilities as the Result of Abuse. Upon receipt of a report of death as- the result of abuse, the Commission shall process and assign said report for investigation in conformance with the provisions of 118 CMR 4.00.

~~4.06: continued~~

(2) Reports Involving Deaths of Individuals with Disabilities Whose Caretaker Was a State Agency, an Agency of Any Subdivision of the Commonwealth or a Private Agency Contracting with or Licensed by the Commonwealth. Upon receipt of a report involving the death of an individual with a disability whose caretaker was a state agency, an agency of any subdivision of the Commonwealth, or a private agency contracting with or licensed by the Commonwealth, the Commission, pursuant to the authority contained in M.G.L. c. 19C, § 13 shall make an initial determination of whether there is reasonable cause to believe that abuse contributed to the death of a person with a disability. If ~~said preliminary investigation concludes that there is reasonable cause to believe that abuse contributed to the death of the person with a disability, the Commission shall authorize further investigation of the death.~~ ~~Said further investigation~~so, it shall be assigned ~~and conducted for investigation~~ pursuant to the provisions of M.G.L. c. 19C and 118 CMR regarding investigations of abuse conducted by and for the Commission. In addition, the Commission shall give notice of the death to the Attorney General, the Office of the Chief Medical Examiner and the District Attorney for the county in which the death occurred.

4.07: Reports Involving Suspected Criminal Activity

Upon the receipt of a report that indicates to the Commission that there is reasonable cause to believe that a person with a disability is the victim of criminal activity, the Commission shall:

- (1) Review and screen the report;
- (2) Refer the matter to the Special Investigations Unit assigned to the Commission for further evaluation, investigation and/or referral, including:
  - (a) Referring the matter to the Attorney General or to the District Attorney for the county in which the criminal activity allegedly occurred in cases involving sexual abuse; assault or battery; or where it is indicated the person with a disability has suffered brain injury, loss or substantial impairment of a bodily function or organ, substantial disfigurement, or a serious bodily injury as a result of a pattern of repetitive actions or inactions by a caretaker; and
  - (b) Referring, as it may determine, any report indicating criminal activity to the Attorney General or to the District Attorney for the county or the local police department in the municipality in which the criminal activity allegedly occurred.

4.08: Reports not within the Jurisdiction of M.G.L. c. 19C

Upon the receipt of a report or a request for assistance which does not fall within the jurisdiction of M.G.L. c. 19C and 118 CMR, the Commission shall make all reasonable efforts to refer the reporter and the matter to an appropriate agency, including, but not limited to, legal services, law enforcement, advocacy, and/or human services agencies.

4.09: Monitoring of Referrals, Concurrent or Joint Investigations, and Agency Deferral

- (1) All adult protective services (APS) investigations which are referred by the Commission to other agencies to be conducted pursuant to M.G.L. c. 19C shall be conducted subject to the Commission's oversight authority and subject to the Commission's authority to conduct its own investigations.
- (2) The Commission shall exercise its authority in this matter as follows:
  - (a) The Commission shall monitor the APS investigation conducted by any referral agency to ensure such an investigation is completed in accordance with M.G.L. c. 19C, § 5 and 118 CMR 5.00: *Investigations*.
  - (b) If the Commission determines that the best interests of the person with a disability require that the Commission conduct a staff investigation in place of, ~~concurrent~~concurrently with, or jointly with that of the referral agency, the Commission shall so inform the referral agency and commence such an investigation; and
  - (c) If, based upon the circumstances of the case, the Commission determines that the Commission should conduct its staff investigation under M.G.L. c. 19C prior to or in place of that of the referral agency, the Commission shall inform the referral agency to

defer its investigation under M.G.L. c. 19C until further notice from the Commission.

~~4.09: continued~~

(3) All criminal investigations which are referred by the Commission to its Special Investigations Unit, the Attorney General, the appropriate District Attorney or the local police department in the municipality in which the criminal activity allegedly occurred shall be coordinated with any APS investigation being conducted pursuant to M.G.L. c. 19C and shall be conducted so as to ensure the safety of the victim with a disability.

(4) Where the Commission has agreed to defer or delay the APS investigation being conducted pursuant to M.G.L. c. 19C during the pendency of a criminal investigation, the Commission shall monitor the progress of the criminal investigation and shall determine, after consultation with the Special Investigations Unit and/or the law enforcement agency(ies) conducting the criminal investigation, when or whether the Commission's investigation should be initiated or resumed.

(5) While an investigation conducted by or on behalf of the Commission pursuant to M.G.L. c. 19C and 118 CMR is independent of an investigation conducted by any agency within the Executive Office of Health and Human Services pursuant to the respective statutory and regulatory authority of each such agency, in all cases in which an investigation is being conducted by or on behalf of the Commission (the M.G.L. c. 19C investigation), the referral agency within the Executive Office of Health and Human Services shall take reasonable steps to avoid unnecessary, unwarranted or counterproductive duplication between any investigation or inquiry being conducted by said agency and the investigation being conducted by or on behalf of the Commission by utilizing the M.G.L. c. 19C investigation in *lieu* of an investigation conducted by said agency.

(6) While an investigation conducted by or on behalf of the Commission pursuant to M.G.L. c. 19C and 118 CMR is independent of an investigation conducted by the police, the District Attorney, or the Attorney General, the Commission may establish policies and procedures pertaining to such investigations to avoid unnecessary, unwarranted, or counterproductive duplication of investigatory efforts.

REGULATORY AUTHORITY

118 CMR 4.00: M.G.L. c. 19C, §§ 3(b), (c), 4, 5(4), 11 and 13.

~~NON-TEXT PAGE~~

118 CMR 5.00: INVESTIGATIONS

Section

- 5.01: Scope and Purpose
- 5.02: Conduct of Abuse Investigations
- 5.03: Conduct of Retaliation Investigations
- 5.04: Registry Compliance Investigations
- 5.05: Delay or Deferral of Abuse Investigations
- ~~5.0506~~: Commission Review of Investigation Report

5.01: Scope and Purpose

118 CMR 5.00 establishes the requirements for investigations conducted by and on the behalf of the Commission, the standards to be used in delaying or deferring the investigation, and the review and oversight standards to be used by the Commission.

5.02: Conduct of Abuse Investigations

All investigations conducted pursuant to M.G.L. c. 19C shall be conducted by all investigators in accordance with 118 CMR 5.00 and with any standards approved and adopted by the Commission for the conducting of such investigations.

(1) Minimum Requirements of Abuse Investigations. Each investigation ~~and evaluation~~ conducted pursuant to M.G.L. c. 19C, § 5 by the Commission or the referral agency, at a minimum, shall be conducted in accordance with 118 CMR 5.02 and with any additional standards for the conduct of investigations adopted by the Commission, including but not limited to:

- (a) an interview with the person with a disability who was allegedly abused. Such an interview does not require the prior permission of the guardian of the alleged victim; however, the guardian may be notified that such an interview is to take place unless it is determined by the assigned investigator that giving such notification to the guardian would not be in the best interests of the alleged victim. Such an interview shall include a review of the allegations and a discussion with the person with a disability regarding the needs and wishes of that person regarding protective services. The interview must take place unless it will create a foreseeable risk of harm to the person with a disability. The interview shall occur at such time and in such place that it may be conducted without a risk of harm to the person with a disability;
- (b) a visit to and evaluation of the site of alleged abuse, including, the victim's residence and day program. The evaluation shall include a determination of the risk of physical or emotional injury to the victim or other persons with disabilities at the same location;
- (c) a determination of the nature, extent, and cause or causes of the injuries, if possible; or a determination of whether abuse *per se* exists;
- (d) use of the preponderance of evidence standard to substantiate or un-substantiate the existence of abuse leading the investigator to conclude that it is more likely than not that abuse does or does not exist;
- (e) a determination or confirmation, if possible, of the identity of the alleged abuser(s), whether named or not named in the Intake, and who shall be referred to as an "alleged abuser," by whose act or omission the person with a disability has incurred a serious physical injury, serious emotional injury, or has been subjected to abuse *per se*;
- (f) a determination of the identity of the person(s) who was/were responsible for the health and welfare of the alleged victim(s) when the alleged incident occurred, whether said person(s) is/are named or not named in the Intake;
- (g) an initial assessment of the immediate protective services needs of the person with a disability who is the alleged victim of abuse (*See 118 CMR 7.03: Protective Services Assessment* for requirements of the protective services assessment);
- (h) an interview with all available witnesses to the abuse, subject to the following conditions:

~~5.02: continued~~

1. If any said witness falls within the category of a mandated reporter, he or she has an obligation pursuant to M.G.L. c. 19C to cooperate in the investigation and truthfully provide to the investigator all information he/she may possess that is relevant to the matter under investigation. Refusal to be interviewed or to otherwise cooperate in the investigation will be made a part of the report, and if the witness is an employee of a state agency, unless a mandated reporter's response to a question could be used against him or her in a criminal proceeding, his or her failure to cooperate shall be reported to the person's supervisor and to the appropriate public agency for possible disciplinary action under that agency's regulations or pursuant to the provisions of any relevant collective bargaining agreement or any other contract;
  2. Said witness may be accompanied during an interview by a person of his or her own choice who is 18 years of age or older; provided, that said companion shall not be a supervisor or administrator employed by the alleged abuser's employer, unless requested by said witness and agreed to by the investigator; or is not otherwise involved or has an interest in the matter under investigation. Other than being present during the interview, said companion shall not participate in the actual conduct of the interview;
  3. Said witness shall be informed of the existence of the complaint and the general nature of the allegations. Under no circumstances shall the identity of the reporter be disclosed.
- (i) an interview with the alleged abuser(s), unless such an interview would create additional risk of harm to the person with a disability;
  - (j) a determination that all relevant physical evidence of the alleged abuse has been preserved, if possible, including taking measures to ensure that such evidence is preserved by the person having control of the evidence;
  - (k) the review and obtaining of copies of all documents which are not plainly irrelevant to the matter under investigation, as permitted by M.G.L. c. 19C, § 5(1), from a mandated reporter or a mandated reporter's employer acting as custodian of the documents, including but not limited to:
    1. medical and clinical records pertaining to any injury sustained by any person with a disability involved in the matter under investigation;
    2. any other medical and clinical records of the alleged victim, or of any other party with a disability involved in the matter under investigation, including but not limited to, any records designated as subject to the "peer review privilege" pursuant to M.G.L. c. 111, § 204 and any psychotherapeutic records, including but not limited to, hospital admissions, hospital discharges, dates of hospitalization, purpose of admission, notations of objective *indicia* of emotional disturbance, and objective accounts of a patient's past medical and psychiatric histories which may include earlier hospitalizations, treatments and diagnoses. If such psychotherapeutic records contain the communications or notes of communications between the patient and the psychotherapist, such communications or notes of communications between the patient and the psychotherapist shall be deleted before the remaining portions of the psychotherapeutic record are provided to the investigator. If the investigator submits a release of the psychotherapeutic records executed by the patient or the patient's guardian, the entire psychotherapeutic record, including the communications or notes of communications between the patient and the psychotherapist, shall be released to the investigator;
    3. any incident report filed pursuant to the requirements of any state agency;
    4. relevant portions of the case records of any person with a disability provided services and involved in the matter under investigation;
    5. any restraint forms completed in connection with any person with a disability who is involved in the matter under investigation;
    6. personnel records, including but not limited to, documents regarding employee disciplinary action, employee evaluations, employee training, employment application and an employee's medical information that is "plainly not irrelevant" to either the allegation of abuse being investigated by the Commission or to the Commission's ability to ensure appropriate protective services to the alleged victim of abuse;
    7. any policies, procedures or guidelines of the state agency or of the service provider involved in the matter under investigation or employing the alleged abuser;
    8. any existent photographs of any physical injury or property damage plainly not

irrelevant to the incident being investigated;

~~5.02: continued~~

9. any documents relating to previous cases involving the alleged victim or the alleged abuser in which a complaint was filed or investigated pursuant to M.G.L. c. 19C or pursuant to the authority of any other agency of the Commonwealth; and
  10. any other documents specifically identified by the investigator and which are plainly not irrelevant to the matter under investigation.
- (l) an interview with the reporter;
  - (m) a determination in cases in which abuse is not substantiated as to whether the allegation reported to the Commission constitutes a false report and if so, an explanation of the investigator's rationale which supports this conclusion;
  - (n) any other tasks that, in the discretion of the Commission, are deemed appropriate and are ~~not~~ plainly not irrelevant to the investigation; and
  - (o) if an investigator does not perform one or more of the requirements in 118 CMR 5.02(1)(a) through (n), the investigator shall detail in the Investigation Report why the requirement was not met and the Commission shall determine whether said requirement(s) is material to the investigation.

~~(2)~~ (2) Substantiated Investigations of Abuse of Persons with an Intellectual or Developmental Disability.

(a) Each investigation conducted pursuant to M.G.L. c. 19C, §§ 5 and 15 by the Commission or the referral agency as assigned by the Commission, shall be conducted in accordance with 118 CMR 5.02 (1), and if substantiated for abuse of a person with an intellectual or developmental disability, must also meet the following additional standards, including but not limited to:

1. a determination of the identity of the caretaker, and whether the caretaker is a care provider;
2. a determination of whether the care provider is employed by the department or an employer;
3. obtaining a copy from the department or employer of the personnel, training, and disciplinary records of the care provider at the time of the substantiated finding of abuse or abuse *per se* and verifying and documenting the care provider's name, date of birth, and any other unique identifiers such as last four digits of Social Security number, and any known aliases; and
4. if there is reasonable cause to believe that an employer or the department failed to comply with M.G.L. c. 19C, §15 (d), provide the basis for this belief.

(b) If, after an investigation conducted pursuant to 118 CMR 5.02 (a), a caretaker is determined to be a care provider employed by the department or an employer, the Commission shall find that registrable abuse occurred.

(3) Rights of the Alleged Abuser. During interviews, the alleged abuser shall have the following rights:

- (a) to be accompanied during an interview by a person of his or her own choice who is 18 years of age or older; provided, that said companion shall not be a supervisor or administrator employed by the alleged abuser's employer, unless requested by the alleged abuser and agreed to by the investigator; or is not otherwise involved or has an interest in the matter under investigation. Other than being present during the interview, said companion shall not participate in the actual conduct of the interview;
- (b) to be informed of the existence of the complaint and the general nature of the allegations. Under no circumstances shall the identity of the reporter be disclosed;
- (c) to be informed that if he or she falls within the category of a mandated reporter, he or she has an obligation pursuant to M.G.L. c. 19C to cooperate in the investigation and truthfully provide to the investigator all information he or she may possess that is relevant to the matter under investigation; ~~and~~
- ~~(d)~~ if alleged victim is a person with an intellectual or developmental disability, to be informed of the existence of the Registry and its potential impact on his or her employment status; and
- (e) to be informed that his or her refusal to be interviewed or to otherwise cooperate in the investigation will be made a part of the report, and that if the person is an employee of a state agency, unless his or her response to a question could be used against him or her in a criminal proceeding, his or her failure to cooperate shall be reported to the person's

supervisor and to the appropriate public agency for possible disciplinary action under that agency's regulations or pursuant to the provisions of any relevant collective bargaining agreement or any other contract.

(34) Requirements of Evaluation and Investigation and Evaluation Reports.

(a) Evaluation and Investigation and Evaluation Report. The evaluation and investigation and evaluation report required to be filed with the Commission pursuant to M.G.L. c. 19C, § 5 (1) shall be composed of two distinct parts which shall be respectively known as the "Initial Response" and the "Investigation Report".

1. Requirements of Initial Response.

a. The initial portion of the report shall be known as the "Initial Response," and shall be submitted to the Commission by the investigator within 24 hours after a case is initially reported pursuant to M.G.L. c. 19C, § 4 if the case has been determined to be an emergency, and within ten calendar days for non-emergency reports of abuse. ~~Upon request and for good cause shown, the~~The Commission may extend these filing deadlines, provided protective services have been put in place to address risk.

b. The Initial Response shall contain all the information deemed appropriate by the Commission to ensure that the designated investigator has conducted a preliminary ~~investigation and evaluated~~evaluation of the allegation of abuse reported to the Commission and ~~evaluated~~determined whether the allegation is within the jurisdiction of M.G.L. c. 19C, whether the person with a disability ~~has been abused, whether the person with a disability is at risk of further abuse~~is at risk, and if so, that appropriate protective action has been taken.

~~5.02: continued~~2. Requirements of Investigation Report.

a. The second portion of the report shall be known as the "Investigation Report," and shall be submitted to the Commission by the investigator within ~~30~~~~45~~ calendar days from the date the report of abuse was referred by the Commission for investigation. ~~Upon request and for good cause shown, the~~The Commission may extend this filing deadline, provided protective services have been put in place to address risk.

b. The Investigation Report shall contain the information acquired during the completion of the required tasks set out in 118 CMR 5.02(1) ~~and, when applicable 118 CMR 5.02 (2)~~, and all other information deemed appropriate by the Commission to ensure that the designated investigator has properly investigated and evaluated the allegation of abuse reported to the Commission; has made appropriate findings of fact and conclusions; and has made appropriate recommendations regarding the protective services required to remedy the situation when abuse is substantiated.

c. In addition, regardless of whether abuse is substantiated or not, the designated investigator may make a ~~determination~~ that a violation of other state statutes and/or regulations may exist and whether such a violation poses a risk of harm to persons with disabilities. If such a violation is suspected the investigator may make recommendations regarding actions needed to remedy the suspected violation including, but not limited to, referral of the matter to the appropriate agency of the Commonwealth that has jurisdiction over the violation. The investigator may also make ~~recommendations~~ for remedial actions based upon the statutory and regulatory authority of the agency conducting the investigation for the Commission.

~~d. If during the course of an investigation, the investigator has knowledge of or observes an animal whom he or she knows or reasonably suspects has been the victim of animal cruelty, abuse or neglect, the investigator may report the allegation to entities that investigate reports of animal cruelty, abuse or neglect as described in M.G.L. c. 22C, § 57, or any local animal control authority. Any applicable privilege that relates to confidential communication shall not prohibit the filing of such report, and any report made in good faith shall be immune from all criminal and civil liability.~~

(b) Recipients of Report.

1. Initial Response. Consistent with its authority pursuant to M.G.L. c. 19C, § 3, as part of its case processing, the Commission shall distribute a copy of the Initial Response to the designated service-providing agency within the Executive Office of Health and Human Services.

2. Investigation Report. Consistent with its authority pursuant to M.G.L. c. 19C, § 3, as part of its case processing, the Commission shall forward a copy of the Investigation Report to the appropriate agency within the Executive Office of Health and Human Services and any other agency of the Commonwealth, including but not limited to the Attorney General or appropriate District Attorney, who has jurisdiction over the alleged victim, the matter under investigation, or jurisdiction over professional misconduct, for possible prosecution or the imposition of remedial or disciplinary measures in accordance with the requirements of any applicable law or regulation.

5.03: Conduct of Retaliation Investigations

(1) Minimum Requirements of Retaliation Investigation. Each retaliation investigation conducted by the Commission, at minimum, shall include:

- (a) an interview of the alleged victim of retaliation;
- (b) an interview of the alleged retaliator;
- (c) interviews with any witnesses to the alleged retaliatory incident(s) subject to the following conditions:

1. If any witness falls within the category of a mandated reporter, he or she has an obligation pursuant to M.G.L. c. 19C to cooperate in the investigation and truthfully provide to the investigator all information he or she may possess that is relevant to the matter under investigation. Refusal to be interviewed or to otherwise cooperate in the

investigation will be made a part of the report, and if the witness is an employee of a state agency, unless a mandated reporter's response to a question could be used against him or her in a criminal proceeding, his or her failure to cooperate shall be reported to the person's supervisor and to the appropriate public agency for possible disciplinary action under that agency's regulations or pursuant to the provisions of any relevant collective bargaining agreement or any other contract;

2. Said witness may be accompanied during an interview by a person of his or her own choice who is 18 years of age or older; provided that said companion shall not be a supervisor or administrator employed by his or her employer, unless requested by said witness and agreed to by the investigator; or is not otherwise involved or has an interest in the matter under investigation. Other than being present during the interview, said companion shall not participate in the actual conduct of the interview; and

~~5.03: continued~~

3. Said witness shall be informed of the existence of the complaint and the general nature of the allegations. Under no circumstances shall the identity of the reporter be disclosed.
  - (d) the review and obtaining of copies of all documents which are not plainly irrelevant to the matter under investigation, from a mandated reporter or a mandated reporter's employer acting as custodian of the documents, and of which disclosure is required pursuant to M.G.L. c. 19C, § 5(1) and 118 CMR;
  - (e) any other tasks which, in the discretion of the Commission, are deemed appropriate and are not plainly irrelevant to the investigation; and
  - (f) if an investigator does not perform one or more of the requirements in 118 CMR 5.03(1)(a) through ~~(e)~~, the investigator shall detail in the Investigation Report why the requirement was not met and the Commission shall determine whether said requirement(s) is material to the investigation.
- (2) Requirements of Retaliation Investigation Report. The Investigation Report of the investigation conducted by the Commission shall be submitted to the Commission's Director of Investigations within ~~45~~60 business days from the date on which the allegation of retaliation was assigned for investigation. Said Report shall contain the information acquired during the completion of the required tasks set out in 118 CMR 5.03(1) and all other information deemed appropriate by the Commission to ensure that the designated investigator has properly investigated and evaluated the allegation of retaliation reported to the Commission and has made appropriate findings of fact and conclusions. ~~Upon request and for good cause shown, the~~The Commission may extend this filing deadline.
- (3) Rights of the Alleged -Retaliator. During an interview, the- alleged retaliator shall have the following rights:
- (a) to be informed of the existence of the complaint and the general nature of the allegations. Under no circumstances shall the identity of the reporter of the complaint be disclosed;
  - (b) to be accompanied during an interview by a person of his or her own choice who is 18 years of age or older provided that said companion shall not be a supervisor or administrator, unless requested by the alleged retaliator and agreed to by the investigator; or not otherwise involved or has an interest in the matter under investigation. Other than being present during the interview, said companion shall not -participate in the actual conduct of the interview; and
  - (c) to be informed that a refusal to be interviewed will be made a part of the report and that if the person is an employee of a state agency, unless his or her response to a question could be used against him or her in a criminal proceeding, his or her failure to cooperate shall be reported to the person's supervisor and to the appropriate state agency for possible disciplinary action under that agency's regulations or pursuant to the provisions of any collective bargaining agreement or any other contract.

5.045.04: Registry Compliance Investigations

The Commission may initiate an investigation upon learning of a suspected violation of any provision of 118 CMR 15.00 by an employer or the department in the hiring or retention of a care provider.

(1) Minimum Requirements of a Registry Compliance Investigation. Each Compliance investigation conducted by the Commission, at minimum, shall include:

- (a) an interview with a representative of the employer or department who is responsible for or knowledgeable of compliance procedures pursuant to 118 CMR 15.00;
- (b) an interview with all other relevant witnesses with regard to the employer's or department's compliance with provisions of 118 CMR 15.00;

1. If any witness falls within the category of a mandated reporter, he or she has an obligation pursuant to M.G.L. c. 19C to cooperate in the investigation and truthfully provide to the investigator all information he or she may possess that is relevant to the matter under investigation. Refusal to be interviewed or to otherwise cooperate in the investigation will be made a part of the report, and if the witness is an employee of a state agency, unless a mandated reporter's response to a question could be used against him or her in a criminal proceeding, his or her failure to cooperate shall be

reported to the person's supervisor and to the appropriate public agency for possible disciplinary action under that agency's regulations or pursuant to the provisions of any relevant collective bargaining agreement or any other contract;

2. Said witness may be accompanied during an interview by a person of his or her own choice who is 18 years of age or older; provided that said companion shall not be a supervisor or administrator of the employer or department whose compliance is at issue, unless requested by said witness and agreed to by the investigator; or is not otherwise involved or has an interest in the matter under investigation. Other than being present during the interview, said companion shall not participate in the actual conduct of the interview; and

3. Said witness shall be informed of the existence of the complaint and the general nature of the allegations. Under no circumstances shall the identity of the reporter be disclosed.

(d) the review and obtaining of copies of all documents which are plainly not irrelevant to the matter under investigation from the employer or department and of which disclosure is required pursuant to M.G.L. c. 19C, §§ 5 (1) and 15, and 118 CMR;

(e) any other tasks which, in the discretion of the Commission, are deemed appropriate and are not plainly irrelevant to the compliance investigation; and

(f) if an investigator does not perform one or more of the requirements in 118 CMR 5.04 (1) (a) through (e), the investigator shall detail in the Compliance Investigation Report why the requirement was not met and the Commission shall determine whether said requirement(s) is material to the compliance investigation.

(2) Requirements of a Registry Compliance Investigation Report. The Investigation Report of the registry compliance investigation conducted by the Commission shall be submitted to the Commission's Director of Investigations within 60 business days from the date on which the allegation was assigned for investigation. Said Report shall contain the information acquired during the investigation of an alleged violation of 118 CMR 15.00, completion of the required tasks set out in 118 CMR 5.04 (1) and all other information deemed appropriate by the Commission to ensure that the designated investigator has properly investigated and evaluated the allegation reported to the Commission and has made appropriate findings of fact and conclusions. Upon request, the Commission may extend this filing deadline.

(3) In the event the Registry Compliance Investigation Report finds the employer failed to comply with 118 CMR 15.00, the Report may recommend one or more of the following:

(a) the imposition of a monetary fine of not more than \$5,000;

(b) the revocation or downgrade of a license maintained by the employer; or

(c) the forfeiture of a state contract.

(4) The Commission may cause a fine of up to \$5,000.00 to be imposed upon an employer who fails to comply with the requirements of M.G.L. c. 19C, § 15.

(a) If the Commission seeks to impose a fine on an employer, the employer may request a hearing be held pursuant to 801 CMR 1.00: *Standard Adjudicatory Rules of Practice and Procedure* by filing a Notice of Claim for a hearing and an answer within 21 days of receipt of the Compliance Investigation Report.

(b) A hearing officer shall be designated by the Executive Director. The hearing officer shall enter a recommended decision. A final agency decision shall be issued by the Executive Director or his/her designee. Hearings shall be in accordance with the provisions of 801 CMR 1.01. Failure to request a hearing and file timely answers may be deemed a waiver of such right and a fine may be imposed by the Commission without further notice.

(5) The Commission may refer any recommendation made pursuant to 118 CMR 5.04 to the department or any other applicable state agency.

#### 5.05: Delay or Deferral of Abuse Investigations

(1) The Commission may determine that an abuse investigation pursuant to M.G.L. c. 19C, §§ 4 and 5 and 118 CMR would duplicate or jeopardize either an ongoing investigation by law enforcement officials concerning possible criminal conduct involved in the case of abuse reported to the Commission, or any corrective action undertaken by the referral agency. If such a determination is made by the Commission, the M.G.L. c. 19C investigation may be delayed or deferred.

(2) The delay or deferral of investigations pursuant to M.G.L. c. 19C, § 12 can occur only after the Commission has determined that:

- (a) appropriate protective services have been provided to ensure the continued safety of the alleged victim from further risk of harm;
- (b) the delay or deferral will not adversely affect the on-going provision of protective services nor the health and safety of persons with disabilities found at risk of harm;
- (c) the Commission's ability to conduct a later investigation will not be unreasonably impaired; and

~~5.04:—continued~~

(d) all corrective action taken by another official or agency will be conducted in good faith in an impartial manner by qualified personnel.

(3) The Commission shall monitor the progress of any criminal investigations and any corrective action taken by the referral agency to determine when or whether any investigation by the Commission pursuant to M.G.L. c. 19C, §§ 4 and 5 should be initiated or resumed. Such initiation or resumption of an investigation shall be at the sole discretion of the Commission.

5.0506: Commission Review of Investigation Report

(1) Upon receipt by the Commission of the Initial Response ~~and~~ the Investigation Report prepared by the designated investigator, the Commission shall review each document and determine whether each document contains the information as required by the Commission; and whether the Initial Response ~~and~~ the Investigation Report are filed with the Commission within their respective time frames.

(2) If following a review of either the Initial Response or the Investigation Report, the Commission determines that the investigator must obtain further information for the document to be complete, and/or must perform additional work on a task previously begun or required for either document to be complete, the Commission shall require the obtaining of such information or performing of such tasks. Determination of the completeness of either document for the purposes of M.G.L. c. 19C is solely within the discretion of the Commission. Additional tasks as may be required by the Commission, and the re-submission of the revised Initial Response or Investigation Report, shall be completed within such timeframe as determined appropriate by the Commission.

(3) In addition, where the investigation has been conducted by a referral agency, the Commission not only may request further investigation as set out in 118 CMR 5.0506(2), but the Commission, in its discretion, may conduct an investigation utilizing Commission staff in accordance with M.G.L. c. 19C, §§ 4 and 5 and 118 CMR 5.00. The Commission shall notify the designated referral agency of the Commission's decision to conduct an investigation utilizing Commission staff.

REGULATORY AUTHORITY

118 CMR 5.00: M.G.L. c. 19C, §§ 3(b), (c), (e), (h), 4, 5, 12 and ~~12~~15.

118 CMR 6.00: FORMAL COMMISSIONERS' INVESTIGATIONS

Section

- 6.01: Scope and Purpose
- 6.02: Initiation
- 6.03: Requirements of a Commissioners' Investigation
- 6.04: Investigatory Hearings
- 6.05: Actions Following a Commissioners' Investigation
- 6.06: Delay or Deferral of a Commissioners' Investigation

6.01: Scope and Purpose

118 CMR 6.00 establishes the requirements for initiation and conducting of a Commissioners' Investigation, the actions to be taken as a result of the conducting of such investigation and the requirements for the delay or deferral of a Commissioners' Investigation.

6.02: Initiation

(1) Pursuant to M.G.L. c. 19C, § 8, the Commission by a majority vote of the Commissioners may initiate a formal investigation which shall be referred to as a Commissioners' Investigation when:

- (a) upon completion of an investigation pursuant to M.G.L. c. 19C, § 5, where the caretaker of the person with a disability is a state agency and the investigation report finds that the allegation of abuse is substantiated; or
- (b) at their discretion, the Commissioners determine that the best interests of persons with disabilities would be served by the initiation of such an investigation to ascertain the scope, remedy for and recommendations regarding abuse of persons with disabilities whose caretaker is a state agency.

(2) In determining whether to initiate a Commissioners' Investigation, the Commissioners shall consider:

- (a) possible duplication of investigations;
- (b) the best interests of the particular person(s) with a disability(ies) involved; or
- (c) the best interests of persons with disabilities in general.

6.03: Requirements of a Commissioners' Investigation

A Commissioners' Investigation shall include:

- (1) The investigation requirements enumerated in 118 CMR 5.02: *Conduct of Abuse Investigations*; and
- (2) An investigatory hearing, unless it is determined by a majority vote of the Commissioners, following an investigation and a review of the results of the investigation, that a hearing is not required; and
- (3) Any other measures determined by the Commissioners as appropriate for and not plainly irrelevant to the investigation.

6.04: Investigatory Hearings

(1) Conduct of Investigatory Hearings.

- (a) The attendance of at least two Commissioners, which shall be a quorum, shall be required to conduct an investigatory hearing pursuant to this provision.
- (b) The Commissioners shall preside over the process of conducting investigatory hearings pursuant to M.G.L. c. 19C, § 8 and 118 CMR. The Commissioners shall:
  - 1. determine the parties to each hearing;
  - 2. determine which evidence they wish to consider;
  - 3. receive evidence;
  - 4. determine the conduct and scope of such hearing; and

~~6.04: continued~~

5. make findings at the conclusion of the hearing based upon the preponderance of evidence presented.
  - (c) General Counsel for the Commission shall represent the Commission at said hearings and shall act at the direction of the Commissioners.
  - (d) Unless an emergency investigatory hearing is convened by a majority vote of the Commissioners, in which case 72 hour telephone notice shall be given to all the parties enumerated in 118 CMR 6.04(2)(a), the Commission shall give written notice of an investigatory hearing at least ten business days prior to the commencement of the hearing.
  - (e) Unless otherwise required by 118 CMR, notice of said hearings shall be made:
    1. by posting said notice at the office of the Secretary of the Commonwealth;
    2. by certified or first class mail to required parties; and
    3. by mail to federal protection and advocacy agencies for persons with disabilities which have filed with the Commission a request to be so notified.
- (2) Parties to Investigatory Hearings.
- (a) Required parties to investigatory hearings shall be as follows:
    1. a representative from the state agency that provided services to the person(s) with a disability(ies) at the time of the alleged abuse;
    2. a representative from the state agency which is providing services to the person(s) with a disability(ies) at the time of the hearing, if different from that state agency providing services to the person(s) with a disability(ies) at the time of the alleged abuse;
    3. a representative from the referral agency which performed the initial investigation of the initial report of abuse, if not the Commission; and
    4. any other person or entity that the Commissioners, in their discretion, determine may provide relevant information to the Commission regarding the matter under investigation.
  - (b) Other interested parties may be allowed to participate in the hearing at the discretion of the Commissioners under such terms and conditions as the Commissioners may determine appropriate.
  - (c) The failure of a required party to attend a hearing after receiving notice shall not prevent a hearing from proceeding; however, the Commissioners may determine not to proceed without the absent required party.
- (3) Testimony.
- (a) Testimony taken at investigatory hearings shall be recorded by the Commission, either by electronic or video recording device or stenographic method. All other recording or transcription of hearings shall be prohibited unless specifically authorized by the Commissioners after a written request made to them at least two business days prior to the commencement of the hearing.
  - (b) At the discretion of the presiding Commissioners, testimony at any hearing may be taken under oath.
- (4) Witnesses.
- (a) Prior to testifying, each witness called by the Commission shall be given a copy of 118 CMR 6.00 and any protocols and procedures published thereto.
  - (b) Each witness shall have the right to be represented by counsel at a hearing.
  - (c) Each witness may refuse to submit evidence or give testimony if such evidence or testimony could tend to incriminate him or her, but witnesses who are mandated reporters who refuse to submit evidence or to give testimony unless a response to a question could be used against him or her in a criminal proceeding, shall have his or her failure to cooperate reported to the person's supervisor and to the appropriate state agency for possible disciplinary action.
- (5) Evidence.
- (a) The rules of evidence observed by courts shall not be observed in any hearing conducted pursuant to M.G.L. c. 19C and 118 CMR; however, subject to the exemptions contained in M.G.L. c. 19C, § 5(1), the rules of privilege as recognized by law shall be observed.
  - (b) Unless it is determined by the Commissioners that such disclosure is required to

118 CMR: DISABLED PERSONS PROTECTION COMMISSION

carry out the responsibilities of M.G.L. c. 19C, personally identifiable and confidential information shall not be revealed at a hearing.

6.04: ~~continued~~

(c) If the Commissioners determine that during the course of the hearing disclosure of personally identifiable or confidential information will occur, the Commissioners or their designee shall:

1. give notice ten business days prior to the commencement of the hearing to the person whose data will be disclosed or to his or her authorized representative of the Commission's intent to disclose personally identifiable or confidential information;
2. give that person or authorized representative an opportunity to object to the disclosure prior to the commencement of the hearing;
3. presume that the person has no objection to such disclosure if the person fails to affirmatively notify the Commission of his or her objection regarding the disclosure of such information within five business days of being notified by the Commission;
4. seek a judicial determination regarding the proposed disclosure if the affected person is a person with a disability and deemed by the Commission to be incapable of exercising his or her rights to object to such disclosure and there is no authorized representative, or the authorized representative is the alleged abuser;
5. not disclose the information if the person with a disability, authorized representative or the Court, as the case may be, expressly objects to the disclosure;
6. disclose as little information as is necessary in the event disclosure of personally identifiable or confidential information is made during a hearing; or
7. vote to go into executive session in accordance with the provisions of the Open Meeting Law, M.G.L. c. 30A, §§ 18 through 25, and the requirements of M.G.L. c. 19C, §§ 3 and 8, to consider the reputation, character, physical condition or mental health of an individual.

6.05: Actions Following a Commissioners' Investigation

(1) Commissioners' Investigation Report.

(a) Upon completion of the investigative activities of the Commissioners' Investigation including the conducting of a hearing, if one is held, a report shall be prepared by the staff of the Commission, which shall be known as the Commissioners' Investigation Report.

(b) Unless otherwise determined by the Commissioners, a Commissioners' Investigation shall be completed and the Commissioners' Investigation Report shall be issued within a reasonable time from the date on which the Commissioners initially authorized the investigation.

(c) The requirements enumerated in 118 CMR 5.02(~~34~~)(b): *Recipients of Report* shall apply to a Commissioners' Investigation Report.

(d) Upon completion of the report, the Commissioners shall vote to approve it by a majority vote.

(e) Upon its approval by the Commissioners, the report, with an Executive Summary appended, shall be issued by the Commission.

(2) Other Actions to Be Taken. Upon the completion of a Commissioners' Investigation and the issuance of the Commissioners' Investigation Report, the Commission shall:

(a) ensure that the matters contained therein, if appropriate, be referred to the Commission's Oversight Unit for protective service monitoring.

(b) take all other appropriate actions consistent with the provisions of M.G.L. c. 19C, § 3, to have the recommendations contained in the Commissioners' Investigation Report implemented; including but not limited to, those referral activities enumerated in M.G.L. c. 19C, § 9, referral to all parties to the Commissioner's Investigation, to the Commissioner of the public agency that licensed or approved the service provider against which there is reason to believe that professional misconduct has occurred, to the Commissioner of the public agency that has licensed or approved the service provider for state funding, to the Secretary of the Executive Office of Health and Human Services, and to any other agency which requested to be so notified.

6.06: Delay or Deferral of Commissioners' Investigation

- (1) The Commissioners may determine, in their discretion, based upon the standards enunciated in M.G.L. c. 19C, § 12, to delay or defer the commencement of a Commissioners' Investigation pursuant to M.G.L. c. 19C, § 8 and 118 CMR 6.00 because they have determined that said Commissioners' Investigation would duplicate or jeopardize an investigation then being conducted by law enforcement officials or another agency of the Commonwealth.
- (2) The delay or deferral of Commissioners' Investigations pursuant to M.G.L. c. 19C, § 12 can occur only after the Commission has determined that:
  - (a) appropriate protective services have been provided to ensure the continued safety of the alleged victim from further risk of harm;
  - (b) the delay or deferral will not adversely affect the on-going provision of protective services nor the health and safety of persons with disabilities found at risk of harm;
  - (c) the Commission's ability to conduct a later investigation will not be unreasonably impaired; and
  - (d) the investigation of the incident by another official or agency will be conducted in good faith by an impartial, qualified investigator.
- (3) If such determination to delay or defer the commencement of a Commissioners' Investigation is made, the Commission shall exercise its monitoring responsibilities pursuant to M.G.L. c. 19C, § 12 on a continuing basis until the conclusion of the investigation and issuance of a report in such other investigation.

REGULATORY AUTHORITY

118 CMR 6.00: M.G.L. c. 19C, §§ 3(b), (e), (h), 5, 8, 9 and 12.

118 CMR 7.00: PROTECTIVE SERVICES

Section

- 7.01: Scope and Purpose
- 7.02: General Principles
- 7.03: Protective Services Assessment
- 7.04: Provision of Protective Services
- 7.05: Monitoring

7.01: Scope and Purpose

118 CMR 7.00 establishes the responsibilities and obligations of the Commission in ensuring that protective services are provided to persons with disabilities who are the subjects of reports made to the Commission and who require such protective services.

7.02: General Principles

Regarding the provision of protective services, the Commission shall:

- (1) ensure that protective services are provided in the least restrictive and most appropriate manner possible to a person with a disability with his or her consent, or that of his or her guardian, or by order of a court of competent jurisdiction as indicated in 118 CMR 7.02(4);
- (2) designate a state agency to act as a protective services provider, and cooperate with that agency and any other agency to provide those protective services that ensure that the person with a disability is protected from abuse and that the effects of abuse are remediated;
- (3) ensure the appropriate provision of emergency protective services by the designated protective services provider; and
- (4) petition the Probate and Family Court for the county in which the person with a disability resides, pursuant to M.G.L. c. 19C, § 7 and 118 CMR, for a judicial determination regarding the issue of the provision of protective services, the appointment or removal of a conservator, limited or general guardian, or for issuance of an order for protective services when a person with a disability refuses or is unable to consent to the provision of necessary protective services or when the guardian of a person with a disability is: unavailable or unwilling to consent to the provision of necessary protective services; suspected of involvement with the alleged abuse; or is not acting in the best interests of the person with a disability.

7.03: Protective Services Assessment

- (1) The initial determination of the need for and requirements of protective services shall be part of the investigative process conducted pursuant to M.G.L. c. 19C, §§ 4 and 5, shall be consistent with the protocols adopted by the Commission and shall be made part of the Initial Response submitted pursuant to M.G.L. c. 19C, § 5 and 118 CMR 5.00: *Investigations*. Said determination shall, at minimum, include the following:
  - (a) A finding regarding whether ~~or not abuse is substantiated;~~ the person with a disability is at risk of further harm; and
  - ~~(b) A finding regarding whether the person with a disability is at risk of further harm; and~~
  - ~~(c) A finding and recommendation identifying an appropriate protective service provider to respond to the abuse which occurred and to prevent further risk of harm to the person with a disability.~~
- (2) Upon receipt of the Initial Response completed by the referral agency or by the Commission, the Commission shall refer the matter to the designated state agency within the Executive Office of Health and Human Services for purposes of providing timely protective services ~~and preparing a protective service plan.~~
- (3) The designated protective services provider shall complete and file with the Commission a protective services plan within 30 days of ~~its designation as the provider.~~ acceptance of the

Investigation Report by the Commission. The plan shall contain, at minimum, the following information:

~~7.03: continued~~

- (a) a narrative description of the protective service activity(ies) or task(s) to be provided;
- (b) identification of the individual(s) responsible for supervising the provision of and for performing the identified protective service activity(ies) or task(s);
- (c) identification of the proposed or actual start date for the provision of the identified protective service(s); and
- (d) such other information the Commission may determine to be necessary to fulfill its responsibility to monitor the provision of protective services.

(4) After receipt of the protective services plan, the Commission shall review and approve the plan in accordance with its monitoring responsibilities.

7.04: Provision of Protective Services

(1) Protective services shall:

- (a) be provided by agencies of the Commonwealth and vendors who contract or license with such agencies pursuant to the approved protective services plan filed with the Commission;
- (b) be provided in the least restrictive manner possible; and
- (c) be provided to protect a person with a disability from abuse, to remedy the effects of abuse and to respond to the underlying abusive situation, to the extent possible.

(2) Protective services may include, but are not limited to:

- (a) Social services casework and case management, including, but not limited to, evaluations of functional capacity and resources, development of a service plan, appropriate referral services, and emergency response;
- (b) Counseling;
- (c) Homemaker/chore services;
- (d) Temporary shelter;
- (e) Dietary services;
- (f) Emergency services;
- (g) Respite services;
- (h) Alternative housing;
- (i) Housing assistance;
- (j) Special attendants;
- (k) Adaptive equipment;
- (l) Transportation;
- (m) Psychology services;
- (n) Health-related services;
- (o) Referral to legal services;
- (p) Recommendations for staff focused actions including, but not limited to, recommendations for staff training and corrective action; and
- (q) Recommendations for implementation of corrective agency policies and procedures.

(3) Unless the person with a disability has been found incapacitated and/or protective services are being implemented pursuant to a court order, the person with a disability may refuse any or all protective services.

7.05: Monitoring

(1) The Commission shall monitor the provision of protective services for each person with a disability who is determined to require protective services.

(2) The monitoring of each case shall continue until the Commission closes the case.

(3) The monitoring by the Commission for each case may include, but shall not be limited to:

- (a) a review of emergency protective services provided by the designated protective services provider;
- (b) a visit to the person with a disability;
- (c) a determination of the status of the alleged abuser, if identified;

~~7.05: continued~~

- (d) a review of case records of the Commission, of the referral agency which conducted the abuse investigation, and of the agency providing the protective services, if different from the referral agency, including, but not limited to, the protective service plan submitted to the Commission; and
- (e) a review of any plan for transition to any needed long-term services.

REGULATORY AUTHORITY

118 CMR 7.00: M.G.L. c. 19C, §§ 3(b), (d), 4, 5, 6 and 7.

NON-TEXT PAGE

118 CMR 8.00: PETITION FOR PROTECTIVE ORDER

Section

- 8.01: Scope and Purpose
- 8.02: Non-emergency petitions
- 8.03: Emergency Petitions
- 8.04: Modification or Rescission of Protective Orders

8.01: Scope and Purpose

118 CMR 8.00 establishes the requirements for the filing of a petition for court ordered protective services pursuant to M.G.L. c. 19C, § 7.

8.02: Non-emergency Petitions

Pursuant to the terms and conditions contained in M.G.L. c. 19C, § 7(a), after the initiation of an investigation pursuant to M.G.L. c. 19C and 118 CMR, when the Commission, the Department of Mental Health, the Department of Developmental Services, or the Massachusetts Rehabilitation Commission, has reasonable cause to believe that a person with a disability is suffering from abuse and lacks the capacity to consent to the provision of protective services, said Commission, Department of Mental Health, Department of Developmental Services, or Massachusetts Rehabilitation Commission may petition the Probate and Family Court for the county where the person with a disability resides, for a finding that the person with a disability lacks such capacity and requires the provision of protective services.

8.03: Emergency Petitions

(1) Emergency Petitions.

- (a) Upon determining that:
  - 1. an emergency exists; and
  - 2. the person with a disability lacks the capacity to consent to the provision of protective services, the Commission, the Department of Mental Health, the Department of Developmental Services, the Massachusetts Rehabilitation Commission, a caretaker or a member of the immediate family of the person with a disability may petition the Probate and Family Court for the county where the person with a disability resides, for an emergency order of protective services.
- (b) Each petition for an emergency order of protective services shall contain a statement of the specific facts upon which the petitioner relies in seeking such determination.

(2) Emergency Hearings.

- (a) Pursuant to the authority granted it by M.G.L. c. 19C, § 7, the Court shall:
  - 1. give notice to the person with a disability who is the subject of the petition at least 24 hours prior to the hearing. The court may dispense with notice upon finding that immediate and reasonably foreseeable harm to the person with a disability or others will result from the 24 hour delay and that reasonable attempts have been made to give such notice;
  - 2. appoint counsel to represent the subject of the petition if he or she is indigent;
  - 3. appoint a guardian *ad litem* to represent the interest of the subject of the petition regarding the right to counsel if the court determines that he or she lacks the capacity to waive the right of counsel;
  - 4. hold a hearing on an emergency petition for protective services no more than 72 hours of its being filed; and
  - 5. issue an appropriate order.
- (b) No more than 144 hours after the issuance date of the original order authorizing the provision of emergency protective services, the original petitioner may petition the court to:
  - 1. continue emergency protective services with the consent of the person with a disability pursuant to 118 CMR 7.02(1);
  - 2. continue emergency protective services pursuant to the previously entered order of the court for an additional duration as determined appropriate by the court; or

~~8.03: continued~~

3. entertain a petition for the appointment of a guardian or a conservator.
- (c) If the court entertains a petition for the appointment of a guardian or conservator, the court, for good cause shown, may order continued protective services as part of its determination regarding such petition.
- (d) If an order to continue emergency protective services is issued, it must state the services to be provided and designate an individual or agency to be responsible for performing or obtaining the services required by the person with a disability.

8.04: Modification or Rescission of Protective Orders

The person with a disability or his or her court-appointed representative, the Commission, the Department of Mental Health, the Department of Developmental Services, or the Massachusetts Rehabilitation Commission, may petition the court to have any order issued pursuant to M.G.L. c. 19C, § 7, modified or rescinded.

REGULATORY AUTHORITY

118 CMR 8.00: M.G.L. c. 19C, §§ 3(b) and 7.

118 CMR 9.00: RECORDS

Section

- 9.01: Scope and Purpose
- 9.02: Controlling Statutes
- 9.03: Release of Information

9.01: Scope and Purpose

118 CMR 9.00 governs the release of information in the possession of the Disabled Persons Protection Commission.

9.02: Controlling Statutes

All records of the Commission shall be subject to the provisions of M.G.L. c. 4, § 7, cl. 26, c. 19C, ~~§§§ 3, and 15~~ c. 66 and c. 66A.

9.03: Release of Information

(1) Limitation on Release of Information. For the purposes of dissemination, the records of the Commission shall not be considered "public records" and any release of said records shall be pursuant to the provisions of M.G.L. c. 4, § 7, cl. 26, c. 66, c. 66A, and 118 CMR 9.00. The following information shall be confidential and shall not be disclosed or otherwise made available to any person except duly authorized staff of the Commission and the duly authorized staff of an agency within the Executive Office of Health and Human Services to which the Commission has referred a report of abuse for investigation or for the provision of protective services:

- (a) all personal data contained within ~~the initial~~ report of abuse, including but not limited to, personally identifying information of the person with a disability who is the alleged victim of abuse, of the alleged abuser, of the person who made the report of abuse to the Commission, and of any other third party;
- (b) any and all notes, papers, documents or other investigative materials, including but not limited to interview summaries, collected or compiled by personnel duly authorized by the Commission during the course of an investigation;
- (c) all material subject to "peer review privilege" pursuant to M.G.L. c. 111, § 204~~(b)~~ and within the possession of personnel duly authorized by the Commission; and
- (d) the information maintained in the registry, including the records of its proceedings.

(2) Release of Investigation Reports to Appropriate Governmental Agencies. Consistent with M.G.L. c. 19C, § 3, as part of its case processing, the Commission shall forward a copy of the Investigation Report or any information maintained in the registry or the records of its proceedings, pursuant to M.G.L. 19C, §15 (e) to the appropriate agency within the Executive Office of Health and Human Services and any other agency of the Commonwealth, to facilitate the performance of that governmental agency's statutory functions, including such releases authorized by 118 CMR 5.02~~(34)~~(b)2: *Investigation Report*.

(3) Discretionary Release.

- (a) Consistent with M.G.L. c. 19C, § 3, the Commission may release any records, documents, data, or information that serves a public interest. The exercise of the Commission's discretion shall be based upon a balancing of the respective interests of the public in the protection of persons with disabilities, the privacy of the person whose records are being considered for release, and that such a release serves a public interest in protecting citizens of the Commonwealth. In any event, the discretionary release of information shall contain only that much of the personally identifiable and confidential information the disclosure of which is required by the public interest underlying the release of the information; and
- (b) Personally identifying and confidential information of data subjects and of reporters of abuse that are contained in the records of the Commission shall be redacted from the records when disclosure of such information is not required by the public interest underlying the discretionary release of such records.

~~9.03: continued~~

- (4) Release Pursuant to Legal Process. Subject to the provisions of 118 CMR 9.00, whenever information or data contained in the documents or data in the possession of the Commission is sought by compulsory legal process in any civil or criminal proceeding, the Commission shall respond to the legal process as the Commission deems appropriate pursuant to M.G.L. c. 19C, § 3 and/or 118 CMR 9.00, which may include but is not limited to, requesting a protective order or an order quashing the process.
- (5) Disclosure of Records to the District Attorney and the Attorney General.
- (a) Where litigation or other legal proceeding has been threatened or instituted by a data subject against the Commonwealth, the Commission or a referral agency, or an official or employee of any said entity arising from his or her official duties or scope of employment on behalf of the Commission, any personal data concerning said data subject, held by the Commission, including in the registry or the records of its proceedings, pursuant to M.G.L. 19C, §15 (e) which is relevant to a determination of the issues in dispute, shall be furnished to the Attorney General or authorized assistant attorney general, who may further disclose such personal data to the extent he or she deems necessary for purposes of representing the defendant(s), subject to the conditions in 118 CMR 9.03(5)(a).1 and 2.:
1. Disclosure shall be furnished in response to a written request from the office of the Attorney General which shall indicate the purpose for which the personal data is requested and identify the data requested.
  2. Personal data of persons not parties to the litigation or other legal proceeding may be redacted by the Commission to protect the privacy interests of such persons.
- (b) In the event that ~~the any~~ data maintained by the Commission, including in the registry or the records of its proceedings, pursuant to M.G.L. 19C, §15 (e) indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising under a state law or regulation, rule or order issued pursuant thereto, consistent with M.G.L. c. 19C, § 3, the relevant data may be referred to the District Attorney for the county within which said violation occurred or may occur, to the Attorney General, and to the appropriate regulatory agency, as the case may be, to enforce or implement the statute, rule, regulation or order issued pursuant thereto, or to investigate or prosecute such violation.
- (c) Nothing in 118 CMR 9.03(5) shall be construed to authorize the Commission or a referral agency to release information the disclosure of which is prohibited by any statute other than M.G.L. c. 66A.
- (6) Release of Information to Data Subjects.
- (a) Generally.
1. Subject to the provisions of M.G.L. c. 19C, § 3 and c. 66A under which such disclosure may be made, any person who is mentioned in an investigation report shall have access to, and may have a copy of, that portion of the investigation report in which he or she is mentioned.
  2. To obtain a copy of such information, any data subject including, but not limited to, the person with a disability and the alleged abuser, or their respective legal representatives, must file a written request for such information with the Commission.
  3. The Commission shall respond to said request, subject to those restrictions in 118 CMR 9.00, pursuant to the time frames and procedures established in M.G.L. c. 66 and 66A.
- (b) The Person with a Disability.
1. Subject to 118 CMR 9.00, M.G.L. c. 19C, § 3 and c. 66A, information contained in the Commission's investigation report regarding the person with a disability shall be available to that person with a disability, his or her legal representative or his or her legally appointed conservator or guardian where the person with a disability has been determined by a court of competent jurisdiction to be incapacitated.
  2. When requesting records, the said legally appointed conservator or guardian shall provide the Commission with court documentation verifying his or her appointment by a court of competent jurisdiction.
- (c) The Alleged Abuser.
1. Subject to 118 CMR 9.00, M.G.L. c. 19C, § 3 and c. 66A, information contained in the Commission's investigation report regarding the alleged abuser shall be available to that person or his or her legal representative unless the Commission

determines that the granting of the request would be contrary to the safety of the person with a disability.

~~9.03: continued~~

2. The decision of the Commission not to release such records shall be final and not subject to administrative review; however, the aggrieved party may exercise any other rights or remedies which may be available at law.

(7) Other Provisions.

(a) Prior to the release of any records pursuant to 118 CMR 9.03, the general counsel for the Commission or his or her designee shall review the records and remove any portion of the records which:

1. may be considered attorney work product or privileged;
2. may be personally identifying or confidential information regarding any ~~third party~~ data subject ~~and~~, including the individual who reported the abuse to the Commission; and
3. is subject to any further provisions contained in 118 CMR 9.00, ~~M.G.L. c. 19C, §§ 3, and 15~~, c. 66A, and/or c. 4, § 7, cl. 26.

(b) Upon the written request of any individual or any authorized representative of the individual as to whether the Commission has any records in its possession regarding that individual the Commission shall respond pursuant to 118 CMR 9.00, M.G.L. c. 19C, § 3 and/or c. 66A.

(c) The Commission may deny access to information which, at the time the request for such data is received by the Commission, is subject to further investigation by the Commission, a referral agency, or another law enforcement agency, or a registry proceeding, provided that such denial of access shall not in any way affect a data subject's rights under judicial or administrative discovery procedures. Such denial and notification thereof shall be governed by M.G.L. c. 66A, and may continue until said further investigation has been completed, any resulting administrative or judicial proceeding has concluded or one year from the commencement of said further action, whichever is sooner.

(d) Neither the Commission nor the referral agency shall disclose any information about a pending investigation or registry proceeding except as may be determined by the Commissioners or their designee to be necessary to fulfill the purposes of M.G.L. c. 19C.

(e) The Executive Director, General Counsel and/or a designee of either may determine, in their discretion, that due to either the specific nature of the request and/or the extensive publicity accorded an investigation or a registry proceeding, that mere removal of identifying personal data would be insufficient to protect existing privacy interests, or that disclosure would not be in the public interest; and that accordingly, certain documents or data otherwise subject to disclosure should not be disclosed. In such event, the Executive Director, General Counsel, or a designee shall file in the investigation case file a statement of such determination, together with a specification of the document(s) or data to be withheld as an exemption to the definition of a "public record" set forth in M.G.L. c. 4, § 7, cl. 26, the conditions of withholding such information and a brief statement of reasons for withholding such information. Such withholding of data shall be governed by M.G.L. c. 66A, § 2(i).

(f) Any employee of the Commission who is found to have breached the confidentiality of a data subject through the willful violation of 118 CMR 9.00, in addition to any other applicable penalty, shall be subject to disciplinary action including, but not limited to, reprimand, suspension, dismissal or other such action consistent with the rules and regulations of Massachusetts governing its employees, any relevant collective bargaining agreement or any other contract, and said employee may be denied future access to personal data.

(g) When any employee of a referral agency is found by the Commission to have breached the confidentiality of a data subject during the course of an investigation through a violation of 118 CMR 9.00, the Commission shall refer the matter to the appropriate agency of the Commonwealth for consideration by that agency of imposition of disciplinary measures in accordance with the requirements of any applicable law, regulation, or collective bargaining agreement.

(h) If an employer has been found to have breached the confidentiality of data subjects which the employer is entitled to access pursuant to M.G.L. c. 19C, §§ 15 (d) and (e), the Commission may take any and all actions necessary to address said breach.

118 CMR: DISABLED PERSONS PROTECTION COMMISSION

118 CMR 9.00: M.G.L. c. 19C, §§ 3(b), 3(g), ~~3(i);~~ 15; chs. 4, 66, and 66A;  
Massachusetts Guide to Evidence Section 515.

~~NON-TEXT PAGE~~



118 CMR 10.00: ANNUAL ~~REPORT~~REPORTS

Section

10.01: Scope and Purpose

10.02: Time and Recipients of Commission Annual Report

10.03:— Contents of Commission Annual Report

10.04: Time and Recipients of Annual Registry Audit Report

10.05: Contents of Annual Registry Audit Report

10.01: Scope and Purpose

118 CMR 10.00 identifies the manner in which the Commission shall make annual reports of its activities to the Governor and the General Court.

10.02: Time and Recipients of Commission Annual Report

The Commission shall report annually to the Governor and the General Court regarding its activities during the previous fiscal year. Said report shall be filed on or about September 15<sup>th</sup>, and the original shall be presented to the Governor, with copies presented to the President of the Senate and the Speaker of the House of Representatives. Copies shall be filed with the State Library and made available to the public.

10.03: Contents of Commission Annual Report

The annual report may contain:

- (1) statistics of the cases of suspected abuse of persons with disabilities reported to the Commission, including, but not limited to, information regarding reporters, referrals made by the Commission, results of and/or actions taken as a result of investigations, and information regarding the delivery of protective services;
- (2) recommendations of the Commission for proposed legislation regarding the protection of persons with disabilities;
- (3) review and analysis of the activities of the Commission's Special Investigation Unit staffed by State Troopers including, but not limited to, the number of criminal cases reported to the Commission, the number of such cases investigated and the type of crimes being committed against persons with disabilities and being reported to the Commission;
- (4) recommendations regarding resource development and unmet needs of persons with disabilities; and
- (5) any other information that the Commission deems relevant to the protection of persons with disabilities.

10.04 Time and Recipients of Annual Registry Audit Report

Annually, the Commission shall perform an audit of the registry to ensure compliance with M.G.L. c. 19C, §15, including that the Commission added all substantiated findings of registrable abuse to the registry and made proper notification to the department, employers and care providers. A summary of the audit shall be filed not later than October 31 of each year with the clerks of the house of representatives and senate, the house and senate committees on ways and means and the joint committee on children, families and persons with disabilities.

10.05 Contents of Annual Registry Audit Report

The annual registry audit report shall include, in a de-identified and aggregate form:

- (1) the number of substantiated findings of abuse found or not found to have been registrable;

(2) the number of people on the registry;

(3) the number of people who were added to the registry in the last fiscal year;

(4) the number of substantiated findings of registrable abuse that were appealed in the last fiscal year;

(5) the number of substantiated findings of registrable abuse that were overturned on appeal in the last fiscal year;

(6) the number of requests made by employers for information from the registry and the number of such requests that were granted in the last fiscal year;

(7) the total number of instances in the last fiscal year in which the Commission failed to notify the department or the last known employer of a care provider who was placed on the registry and the reasons for such failures; and

(8) the number of employers found to have failed to meet the requirements of M.G.L. c. 19C, § 15 (d) in the last fiscal year.

REGULATORY AUTHORITY

118 CMR 10.00: M.G.L. c. 19C, § 3(b), 15 (d) and 15 (f).

~~NON-TEXT PAGE~~

## 118 CMR: DISABLED PERSONS PROTECTION COMMISSION

### 118 CMR 11.00: INTERAGENCY AGREEMENTS

#### Section

11.01: Scope and Purpose

11.02: Discretionary Authority to Enter Agreements

#### 11.01: Scope and Purpose

118 CMR 11.00 identifies the circumstances and purposes for which the Commission may enter into interagency agreements in furtherance of the Commission's statutory mandate.

#### 11.02: Discretionary Authority to Enter Agreements

The Commission may, at the discretion of the Commissioners, enter into agreements with state and federal agencies, agencies established by the federal government, and private entities to fulfill the mandate of M.G.L. c. 19C and the requirements of 118 CMR.

#### REGULATORY AUTHORITY

118 CMR 11.00: M.G.L. c. 19C, § 3(b).

~~NON-TEXT PAGE~~

118 CMR: DISABLED PERSONS PROTECTION COMMISSION

118 CMR 12.00: NON-DISCRIMINATION

Section

12.01: Scope and Purpose

12.02: Statement of Non-discrimination Policy

12.01: Scope and Purpose

118 CMR 12.00 identifies that in pursuing its statutory mandate the Commission will not discriminate against any party to an investigation.

12.02: Statement of Non-discrimination Policy

No subject of a report or recipient of protective services shall be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination in connection with any services provided or performed by the Commission, on the basis of race, creed, color, religion, age, ancestry, marital status, gender identity, sex, language, disability, national origin, or sexual orientation.

REGULATORY AUTHORITY

118 CMR 12.00: M.G.L. c. 19C, § 3(b).

~~NON-TEXT PAGE~~

## 118 CMR: DISABLED PERSONS PROTECTION COMMISSION

### 118 CMR 13.00: ADVISORY COUNCIL

#### Section

13.01: Scope and Purpose

13.02: Nature and Purpose of The Advisory Council

#### 13.01: Scope and Purpose

118 CMR 13.00 identifies the establishment of an Advisory Council to assist the Commission in developing policy that is consistent with and responsive to the needs of persons with disabilities.

#### 13.02: Nature and Purpose of the Advisory Council

(1) The Commissioners shall appoint a council of citizens of the Commonwealth who shall advise the Commissioners on matters of policy regarding M.G.L. c. 19C. No employee of the Commission may be a voting member of the Advisory Council.

(2) The Advisory Council shall have no fewer than three but no more than 15 members. A Chairperson shall be selected from the membership of the Advisory Council by its members. Said chairperson shall serve in that position for one year, beginning on September 1<sup>st</sup>, and may serve successive terms.

(3) The Advisory Council shall meet at least annually at a place and time determined by the Council.

(4) For purposes of tort claims and conflicts of interest, all members of the Commission's Advisory Council shall be special state employees.

#### REGULATORY AUTHORITY

118 CMR 13.00: M.G.L. c. 19C, §§ 3(b) and 3(f).

~~NON-TEXT PAGE~~

118 CMR 14.00: FILING OBJECTIONS AND ADMINISTRATIVE REVIEW

Section

14.01: Scope and Purpose

14.02: ~~Objections Filed Regarding an Investigation Report:~~ Petitions for Review

14.03: Entry of Care Provider's Name on the Registry

14.04: Removal of Care Provider's Name from the Registry: Petitions for Removal

14.05: Notification Regarding Registrable Abuse Cases and Proceedings

14.06: Requests for Reconsideration

14.07: Objections Filed Pursuant to M.G.L. c. 66A

14.01: Scope and Purpose

118 CMR 14.00 governs the petition process available to certain parties to a M.G.L. c. 19C investigation and the objection process available to data subjects.

14.02: ~~Objections Filed Regarding an Investigation Report:~~ Petitions for Review

(1) ~~(1)~~ Parties Who May File Petitions for Review. The identified ~~victim, the identified~~ abuser, or their respective legal ~~representatives~~representative, who ~~are~~is aggrieved by the disposition of an investigation conducted pursuant to M.G.L. c. 19C may file with the Commission an objection to the conclusion contained in the M.G.L. c. 19C investigation report, except for decisions regarding the screening of an intake, the assignment of an investigator ~~or, a jurisdictional determination,~~ the deferral of an investigation pursuant to M.G.L. c. 19C, § 12, or findings in a Compliance Investigation Report.

(2) Grounds for Objection to ~~an Investigation Report.~~a Determination of Abuse. The grounds for filing a Petition for Review objecting to a determination of abuse are:

(a) The investigation report is based on an investigation that was not conducted in accordance with:

1. 118 CMR 5.02(1): *Minimum Requirements of Abuse Investigations* and
2. said non-compliance resulted in the reasonable likelihood of substantial prejudice to the petitioner;

(b) The preponderance of evidence does not support the conclusions reached in the investigation report; or

(c) The preponderance of evidence supports conclusions not reached in the investigation report.

~~(3)~~ (3) Grounds for Objection by a Care Provider to Placement on the Abuser Registry.

(a) A care provider substantiated for registrable abuse pursuant to 118 CMR 5.02 (2) (b) may file a Petition for Review to provide information that demonstrates, based upon the totality of the circumstances, the incident was isolated and unlikely to reoccur, and that the care provider is fit to provide services or supports to persons with intellectual or developmental disabilities, and that the care provider should not be placed on the registry.

(b) Factors that may be considered by the Commission in determining that a care provider should not be placed on the registry may include but are not limited to:

1. the nature and extent of the serious physical injury, serious emotional injury, or abuse *per se* sustained by the person with an intellectual disability or person with a developmental disability; and
2. relevant details about the care provider, such as whether the care provider received training relevant to the incident at issue; the care provider's employment history in working with individuals with disabilities; prior instances of similar conduct by the care provider, regardless of whether said conduct constituted abuse or abuse *per se*; any statements or communication by the employer regarding the care provider's work history and fitness to provide services and supports to persons with disabilities; and whether the care provider's conduct could reasonably be addressed through training, education, rehabilitation, or other corrective employment action and the care provider's willingness to engage in said training, education, or other corrective employment action.

(4) Petition Process.

(a) Petition for Review.

1. ~~An objecting party~~A petitioner shall file a Petition for Review which:
  - a. shall be in writing;
  - b. shall set forth with sufficient specificity, including supporting evidence and documentation, the grounds for the petition; and
  - c. shall be filed with the Executive Director of the Commission, or his or her designee.
2. Said Petition for Review shall be filed with the Commission within ten business days of the petitioner's receipt of a copy of the investigation report from the Commission, ~~but in any case no later than six months after the issuance of the investigation report.~~
3. For good cause shown by the petitioner, the Commission may, at its sole discretion, provide up to an additional 45 calendar days for the filing of a Petition for Review.

(b) Action Upon Petition for Review.

1. Within a reasonable time from the filing of the Petition for Review, the Executive Director or his or her designee shall: render a decision in writing on the issue(s) in contention in the petition, including a statement of the nature of the decision and the reasons underlying said decision.
  - a. ~~render a decision in writing including a statement of the nature of the decision and the reasons underlying said decision; and~~
  - b. ~~amend the M.G.L. c. 19C investigation report if an objection is found to be meritorious.~~
2. A decision rendered by the Executive Director or his or her designee shall be the final and conclusive determination of the Commission of the objection raised in the filed petition in each case.

~~(e) Time Frames. The time periods contemplated herein may be extended by the Executive Director or his or her designee for good cause shown.~~ (c) Time Frames. The Commission's good faith failure to meet the time frames set forth in 118 CMR 14.00 shall not confer any rights, either expressly or impliedly, upon the petitioner.

14.03

(5) Notification of Right to Petition for Review:

(a) Notification to Caretaker. If, after investigation, the Commission determines that a caretaker has committed abuse, the Commission shall notify the caretaker of his or her right to file a petition for review of the finding with the Commission.

1. Said notification shall be provided to the caretaker by first class mail to the caretaker's last known address.
2. If notice provided pursuant to 118 CMR 14.02 (5) (a) 1 cannot be accomplished, the Commission, at its sole discretion, may provide for any other means of service that is necessary and effective.
3. Unless otherwise established by the petitioner, and subject to the provisions of 118 CMR 14.02 (5) (a) 2 , the petitioner shall be deemed to have received notification three business days after mailing by the Commission.

(b) Notification to Care Provider. If the Commission determines that a care provider has committed registrable abuse pursuant to 118 CMR 5.02 (2) (b), the Commission shall:

1. notify the care provider of his or her:
  - a. right to file a petition for review of the finding of registrable abuse with the Commission;
  - b. right to appeal the final decision of the Commission that the care provider committed registrable abuse to the division; and
  - c. right to seek removal of his or her name from the registry as provided in M.G.L. c. 19C, § 15 (g).
2. Said notification shall be provided to the care provider by certified mail, return receipt requested and by separate first-class mail to the care provider's last known address.
3. Unless otherwise established by the petitioner, and subject to the provisions of 118 CMR 14.02 (5) (b) 2, the care provider shall be deemed to have received notification three business days after first-class mailing by the Commission.
4. If notice pursuant to 118 CMR 14.02 (5) (b) 2 cannot be accomplished, the Commission, at its sole discretion, may provide for any other means of service that is necessary and effective.
5. Said notification shall instruct the care provider of the opportunity to offer evidence that the incident was isolated and unlikely to reoccur and that the care provider is fit to provide services or supports to persons with intellectual or developmental disabilities pursuant to 118 CMR 14.02 (3).

14.03: Entry of Care Provider's Name on the Registry

(1) If, after notification has been made to the care provider pursuant to 118 CMR 14.02 (5) (b) and no petition for review is received by the Commission within the timeframe as prescribed by 118 CMR 14.02 (4) (a), then the Commission shall enter the care provider's name and date of birth, and any other unique identifiers which confirm the identity of a care provider, on the registry.

(2) In any petition decision on an objection filed pursuant to 118 CMR 14.02 (3), the Commission

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shall notify the care provider of his or her right to appeal said decision with the division by initiating an appeal in the form and manner prescribed by the division within 13 business days after mailing of such decision to the care provider's last known address by the Commission.

(3) If, after a final decision by the Commission pursuant to 118 CMR 14.02 (4) (b) 2 on a petition for review that the care provider has committed registrable abuse, the care provider does not seek further review with the division as provided by 118 CMR 14.03 (2), then the Commission shall enter on the registry the care provider's name and date of birth, and any other unique identifiers which confirm the identity of the care provider

(4) If the care provider seeks review of a petition decision with the division, the Commission shall not enter the care provider's identifying information on the registry unless and until the division issues a final decision affirming the finding of the Commission. Upon said affirmance by the division, the Commission shall enter the care provider's name and date of birth, and any other unique identifiers which confirm the identity of a care provider, on the registry.

### 14.04: Removal of Care Provider's Name from the Registry: Petitions for Removal

(1) Five years following the entry of the care provider's name on the registry as provided in 118 CMR 14.03, or five years after the conclusion of any prior petition initiated under this section, the registered abuser shall have the right to petition for removal from the registry.

(a) Said petition shall be in the form as prescribed by 14.02 (4) (a) 1; and

(b) Said petition shall set forth the grounds on which the registered abuser asserts that, based upon the preponderance of evidence, in considering the totality of the circumstances it is no longer in the interest of persons with intellectual or developmental disabilities and it is no longer in the public interest to exclude the registered abuser from working as a care provider.

(2) In reviewing a petition filed pursuant to this section, the Commission's consideration of the totality of the circumstances since the care provider's name was entered on the registry or the last petition for removal may include, but need not be limited to, the following factors:

(a) The nature and seriousness of the offense that caused the care provider to be placed on the registry;

(b) any subsequent education, training, counseling, or other efforts at rehabilitation made by the registered abuser;

(c) the registered abuser's employment history, including statements of current or former employers;

(d) any statement or communication by the victim of registrable abuse or if applicable, his or her legal representative;

(e) the status or outcome of any criminal investigation or proceeding related to the abuse at issue;

(f) the outcome of any other regulatory, administrative, licensing, or disciplinary proceeding pertaining to the registered abuser; and

(g) any material changes in life circumstances of the registered abuser.

### 14.05: Notification Regarding Registrable Abuse Cases and Proceedings

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In a form and manner prescribed by the Commission, the Commission shall notify the department, the care provider's last known employer(s), the victim of registrable abuse, and if applicable, the guardian of said victim of the following:

- (1) a substantiated finding of registrable abuse against a care provider;
- (2) the care provider has filed a petition with the Commission;
- (3) the Commission has issued a decision on a petition by a care provider;
- (4) the care provider has initiated an appeal of a petition decision with the division;
- (5) the division has issued a decision on an appeal of a petition decision;
- (6) the care provider has sought judicial review of a decision by the division; or
- (7) any final decision issued by a court as it pertains to the finding of registrable abuse or removal from the registry by the care provider.

14.06: Requests for Reconsideration

- (1) The alleged victim or his or her legal representative, who is aggrieved by the disposition of an investigation conducted pursuant to M.G.L. c. 19C may file with the Commission a request for reconsideration. The alleged victim shall not be considered aggrieved by decisions regarding the screening of an intake, the assignment of an investigator, the deferral of an investigation pursuant to M.G.L. c. 19C, § 12, a jurisdictional determination, a finding of abuse or registrable abuse that has been substantiated against one or more abusers, or a Commission decision on a Petition for Review or Petition for Removal.
- (2) The grounds for filing a request for reconsideration are:
  - (a) The investigation report was not conducted in accordance with:
    1. 118 CMR 5.02 (1) *Minimum Requirements of Abuse Investigations*; or 118 CMR 5.02 (2) *Additional Minimum Requirements of Investigations of Registrable Abuse*; and
    2. said non-compliance resulted in the reasonable likelihood of substantial prejudice to the alleged victim; or
  - (b) The conclusions reached in the investigation report are not supported by the preponderance of evidence.
- (3) Action Upon Request for Reconsideration
  - (a) Within a reasonable time frame from the filing of a Request for Reconsideration, the Executive Director or his or her designee shall render a decision in writing on the issue(s) in contention in the Request including a statement of the nature of the decision and the reason underlying said decision. If the decision finds that further investigation is warranted, said investigation shall proceed in accordance with 118 CMR 5.06: *Commission*

*Review of Investigation Report.*

(b) A decision rendered by the Executive Director or his or her designee shall be the final and conclusive determination of the Commission of the grounds raised in the Request for Reconsideration.

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14.07: Objections Filed Pursuant to M.G.L. c. 66A

(1) Objections by Data Subjects Regarding Data Held by the Commission.

(a) A data subject who objects to the accuracy, completeness, pertinence, timeliness, relevance or dissemination of personal data held by the Commission regarding him or her, may file an objection with the Executive Director of the Commission pursuant to M.G.L. c. 66A.

(b) The objection shall:

1. be in writing; and
2. set forth with specificity the reason(s) for the objection.

(c) Within a reasonable time after the receipt of such an objection, the Executive Director or his or her designee shall review the objection and:

1. correct or amend the personal data if there is no disagreement with the data subject as to whether the change or amendment should be made; or
2. if there is disagreement with the data subject as to whether the change or amendment should be made, assure the data subject's claim is noted and included as part of the data subject's personal data and included in any subsequent disclosure or dissemination of the disputed data; and

(d) notify the data subject in writing of a decision and the reasons underlying said decision.

(2) Objection by Data Subjects to Denial of Access to Data Held by the Commission.

(a) A data subject who objects to the Commission's denial of access to that person's own data held by the Commission may file an objection with the Executive Director of the Commission pursuant to M.G.L. c. 66A.

(b) Such objection shall be:

1. in writing; and
2. filed within 30 days of the data subject's receipt of notification of said denial to access to data held by the Commission.

(c) Within a reasonable time after the receipt of such an objection, the Executive Director or his or her designee shall review the objection and send written notification of his or her decision to the objector, including a statement of the nature of the decision and the reasons therefore. Said objection and decision shall be retained by the Commission.

(d) The action taken by the Executive Director or his or her designee pursuant to 118 CMR 14.03 shall be the final and conclusive administrative determination concerning denied access to the data held by the Commission.

(43) Time Frames. The time periods contemplated by 118 CMR 14.~~007~~ may be extended by the Executive Director or his or her designee for good cause shown. The Commission's good faith failure to meet the time frames set forth within 118 CMR 14.~~0307~~ shall not confer any rights, either expressly or impliedly, upon the objector.

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(54) Judicial Relief. Any data subject who wishes to challenge any decision of the Executive Director of the Commission regarding personal data may seek judicial review of said decision pursuant to M.G.L. c. 214, § 3B. In the event of any civil action filed pursuant to M.G.L. c. 214, § 3B, the failure to exhaust available administrative remedies shall be an absolute defense.

REGULATORY AUTHORITY

118 CMR 14.00: M.G.L. c. 19C, §§ 3, 3(b), 3(g), 3(i); 15; c. 66-~~and M.G.L.~~, c. 66A, 214, §3B.

118 CMR 15.00: DEPARTMENT AND EMPLOYER REGISTRY-RELATED HIRING AND RETENTION PROCEDURES

Section

15.01: Scope and Purpose

15.02: Policy

15.03: Responsibilities of the Department or the Employer

15.04: Recurrent Registry Screening

15.05: Compliance Reviews

15.06: Disputes Regarding the Identity of a Care Provider

15.01: Scope and Purpose

118 CMR 15.00 governs the operations of the registry of care providers against whom the Commission has made a substantiated finding of registrable abuse as prescribed by M.G.L. c. 19C, §15. 118 CMR 15.00 is applicable to all current and prospective care providers in any program licensed, contracted, or funded by the department; and any individual who provides services on behalf of any program licensed or funded by, or contracting with the department.

15.02: Policy

In order to ensure that care providers in any facility or program licensed or funded by the department or contracting with the department are appropriate for serving in their respective capacities, employers and the department must meet all requirements of this section in performing inquiries to the abuser registry.

15.03: Responsibilities of the Department or the Employer

- (1) The department or the employer shall ensure that all requirements of 118 CMR 15.00: Department and Employer Registry-Related Hiring and Retention Procedures have been met, as applicable.
- (2) In accordance with M.G.L. c. 19C, § 15, prior to employing, contracting with, or utilizing the services of a care provider, the department or the employer shall perform a search of the registry for the care provider's identity. The department or the employer shall require as a condition of employment the satisfactory completion of a registry search. The department or the employer shall offer employment, contract with, or agree to utilize services only after the results of a registry search have found the prospective care provider absent from the abuser registry.
- (3) The department or the employer shall ensure each prospective care provider signs a written consent to a search of the registry prior to performing the search. The department or the employer shall inform the prospective care provider that his or her personal information will be used to make a registry search. Documentation of such consent and notification shall be included in the employer's or the department's employment application materials.
- (4) Notwithstanding anything in 118 CMR 15.00, a search of the registry shall be conducted on care providers who have had a break in employment of one year or more from the department or employer prior to recommending employment in same manner as a prospective care provider

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pursuant to subsections (2) and (3).

- (5) If the care provider's identifying information appears on the registry, or if the care provider declines to consent to a registry search, the department or the employer shall not employ, contract with, or utilize the services of the care provider.
- (6) If the department or the employer receives notification pursuant to 118 CMR 14.05 that it is currently employing, contracting with, or utilizing the services of a care provider listed on the registry, the department or employer shall immediately terminate the employment, contract, or utilization of services of said care provider.
- (7) Upon any failure to hire or termination effective pursuant to 118 CMR 15.03, the department or employer shall provide the care provider with the contact information for the Commission.

### 15.04: Recurrent Registry Screening

- (1) The department or employer may, at its own discretion, perform a registry search for any current care provider who the department or employer employs, contracts with, or utilizes the services of.
- (2) The department or the employer shall ensure each care provider signs a written consent to a search of the abuser registry prior to performing the search. The department or the employer shall inform the care provider that his or her personal information will be used to make a registry search. Documentation of such consent and notification shall be included in the care provider's personnel file.
- (3) If the care provider's identity appears on the registry, or if the care provider declines to consent to a registry search, the department or the employer shall immediately terminate the employment, contract, or utilization of services of the care provider.
- (4) Upon any termination effective pursuant to 118 CMR 15.04, the department or employer shall provide the care provider with the contact information for the Commission.

### 15.05: Compliance Reviews

- (1) The Commission may conduct periodic reviews of the department's or an employer's compliance with 118 CMR 15.00. In doing so, the Commission may require the department or employer to submit any information not plainly irrelevant to determine whether the department or employer has complied with this section.
- (2) If such review or other relevant information obtained by the Commission raises concerns about the department's or employer's compliance, the Commission may require the department or employer to submit any information demonstrating its compliance with 118 CMR 15.00. The Commission may also initiate a compliance investigation pursuant to 118 CMR 5.04: *Registry Compliance Investigations*.

15.06: Disputes Regarding the Identity of a Care Provider

- (1) The Commission will make every reasonable effort to confirm identity of a care provider whose personal information appears on the registry by including name, date of birth, and any other unique characteristics such as maiden names, aliases, or last four digits of Social Security number. The Commission shall maintain procedures to resolve any disputes regarding the identity of a care provider when contested by the care provider, department, or employer.
- (2) The department or employer shall provide to the Commission any information requested by the Commission that will confirm the identity of the care provider.

REGULATORY AUTHORITY

118 CMR 15.00: M.G.L. c. 19C, § 15.