

Investigation Report/Follow Up Form  
New Jersey Department of Human Services  
Office of Program Integrity and Accountability

**DHS Investigation Report Instructions**

**Investigation Report Information**

- **NJIRMS #:** Provide the 9-digit number (i.e. 26-1234567) identified in the *Incident Notification* emailed to your agency by DDD/ORM
- **Agency/Provider Name:** List name and/or DBA (Doing Business As)
- **Site address:** Enter address of the site location
- **VID/Site ID#:** Enter VID # of the site location (i.e. GH123)
- **Date & Time of the alleged incident:** Enter the date/time the incident occurred. If unknown, use the date and time discovered
- **Date Investigation Started:** Provide the date that the investigator(s) began the actual process of investigating this incident within the agency
- **Date Guardian Notified of Investigation:** Provide the date that the investigator(s) notified the guardian(s) of the onset of an investigation. Indicate the method of notification. (Date should be different then date guardian was notified of the initial incident.)

**Description of Incident Location**

Describe the scene: Where exactly the alleged incident took place, identify the location of the alleged victim (AV) at the time of the incident, who was present, etc.

Examples:

- On the hall staircase that has 6 carpeted steps.
- AV Jane Doe was seated in the minivan, behind the driver, driving on I-195 near exit 11.
- Produce department of Walmart located at 1750 Nottingham Way, Hamilton Township, NJ.
- Room #3 of Sunshine Day Program at 222 Jefferson Blvd, Trenton, NJ.
- The waiting room of Dr. Steven Schwartz's office located at 333 Roosevelt Rd, Ramapo, NJ.
- GH000, 111 Birch Lane, Little Egg Harbor, NJ.

**Events leading up to reportable incident**

Describe antecedents. Describe what was happening preceding the incident.

Examples:

- AV Jane Doe was pacing from her bedroom to the kitchen, walking up and down the hall stairs as she went back and forth.
- AV Jane Doe and her peers were singing while on their way to Grounds for Sculpture, when it began to rain.
- AV Jane Doe was shopping in the produce department of Walmart with assistance from AP Rose (Momma) Cowan.
- AV Jane Doe was participating in a board game with her friends while at her day program.

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- AV Jane Doe was not feeling well. She received Tylenol for a fever and had been resting while waiting in her wheelchair with the brakes engaged.
- DSP Lisa Snow did not show up for her scheduled shift at 10pm to relieve Program Manager Kristin (Krissy) Castle.

**Description of the Incident**

Utilize the information from the *Initial Incident Report* describing the nature of the allegation. If what was written in the initial incident report was grammatically incorrect or incomplete, please correct and add additional clarifying information.

**Additional Allegations**

If additional allegations were discovered during the course of the investigation, confer with your Incident Manager to determine if the allegations should be incorporated into this investigation. If they are being included, summarize the additional allegations.

**Incident Codes**

- **Incident Category:** Enter incident category (i.e. Abuse, neglect, exploitation, etc.)
- **Incident Code:** Enter the incident code (i.e. AB112, NE216, etc.) Refer to the *Incident Notification* email sent to your agency by DDD/ORM which has Category and/or Code information identified.
- **Sub-Category:** Enter the sub-category (if applicable)
- **Findings:** At the conclusion of the investigation select the findings (Substantiated/Yes or Unsubstantiated/No)
  - If there are multiple incident codes, click the + sign to duplicate the section and enter the information for the additional codes
  - If additional codes were discovered during the course of the investigation, add them

**Alleged Victim(s) Information**

- **Full Legal Name:** Provide full names of all AVs identified prior to and during the investigation. If person goes by another name, the name should be added in parentheses (i.e. Ralph (Butch) Smith).
  - List Guardian's name(s) next to each individual (i.e. self, BGS-Jean Smith, Private-Joan Collins)
- **Approved Level of Supervision at the time of the incident:** Per the ISP, at the time of the incident, describe the approved level of supervision of the alleged victim based on the setting of the incident (i.e. 1:1 in community, line of sight at day program, 30-minute checks while in bedroom at residence, etc.)
  - Note-If the level of supervision was revised after the incident, document the change in the Actions Taken section. The level of supervision at the time of the incident should still be documented here.

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- Guardian Notified: Select the box for Yes or No
  - If “No” and not SKL, please write explanation below. If “No” and SKL, please submit justification on agency letterhead.
  - Person Notified: Enter First name, Last Name, Title (i.e. BGS guardian, Private guardian/Mother)
  - Notified by: Enter First Name, Last Name, Title (i.e. Program Director)
  - Date and Time: Enter date and time of notification
- Support Coordinator Notified: Select the box for Yes or No

*To add additional AVs, click the + button to duplicate the section and add the next AV.*

### **Alleged Perpetrator(s) Information**

- Full Legal Name & Title: Provide full legal name(s) and title(s) of all Alleged Perpetrators (AP) identified prior to and during the investigation. If person goes by another name (nickname), then that name should be included in parentheses (i.e. Rose (Momma) Cowan).
  - Indicate if the AP has ever gone by a different last name (i.e. maiden, married, hyphenated, etc.)
- Date of Birth: List the AP’s date of birth

*To add additional APs, click the + button to duplicate the section and add the next AP.*

### **Witness/Collateral Information**

Witnesses are defined as eye or ear witnesses. Collaterals are defined as anyone who may have relevant information who was not an eye or ear witness. Examples include, but are not limited to, other individuals receiving services (IRS), staff, volunteers, contractors/maintenance, neighbors, visitors, family members, and guardians.

- Full Legal Name: Enter full legal name. If person goes by another name (nickname), then that name should be included in parentheses (i.e. Rose (Momma) Cowan).
- Witness or Collateral: Check off the correct person type
- Title and/or Relationship: Enter the title (if staff) or relationship (i.e. Mother/legal guardian)

*To add additional Witnesses or Collaterals, click the + button to duplicate the section and add additional entries.*

### **All Staff on Shift & IRS’ in Home/Location**

- Full Legal Name & Title/Relationship: Enter full names of all staff, even if on break, and all IRS’ in the home and on location.

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### **Evidence Reviewed**

Provide the following information for **each** document reviewed during the investigation that is being utilized as evidence in the findings. Additionally, ensure that you submit each piece of evidence to CIMU.

- **Name of Document:** Enter name of document (i.e. Mr. Jones' ISP)
- **Date of Document:** Enter date of document
- **Date Reviewed:** Enter date document was reviewed
- **Evidence Type:** Check off the type of evidence (Documentary, Physical, Video)
- **Document Review Summary:** Enter written summary of the document.
  - Only provide evidence relevant to the allegation/event
    - Example: ISP - You do not need to transcribe the entire document, just summarize the relevant information
  - Summarize videos, pictures, audio
    - Provide a description of the evidence. (Describe what occurs)
    - For video or audio evidence, utilize time stamps
    - For photographic evidence, describe what is in the depicted
      - Grapefruit size bruise on upper right arm that is dark purple in color

Examples include: Annual physical, audits, BSP, critical communication logs, doctor visit forms, emails, ER discharge forms, financial records, IDT meeting minutes, internal policies and procedures, ISP, maintenance logs, MAR, menus, phone records/call log, photographs, prescriptions, recreation calendars, review of human resource (HR) file of AP, social media posts/messaging, staff schedules, staff training records, text messages, timesheets, t-logs, tracking sheets, vehicle mileage logs, videos surveillance, videos, visitor logs, written statements, etc.

*To add additional Documents click the + button to duplicate the section and add additional entries.*

### **Interviews**

- **Full Name:** Enter full legal name. If person goes by another name (nickname), then that name should be included in parentheses (i.e. Rose (Momma) Cowan).
- **Date of Interview:** Enter date
- **Title and/or Relationship:** Enter the title (if staff) or relationship (i.e. Mother/legal guardian)
- **Location:** Enter location of the interview (i.e. ABC Agency Main Office)
- **Others Present:** Enter names of any other people present (i.e. Name of 1:1 staff for IRS)
- **Person Type:** Check off the correct person type
- **Summary of Interview:** Enter synopsis of interview.
  - Refer to *Investigative Interview Questions* resource document for tips on effective interview questions
  - Use full names (John Smith), not generic terms like staff, manager, he, she, they

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- All Alleged Victim(s), Alleged Perpetrator(s), Witnesses and Collaterals must be interviewed
- All staff and IRS in the setting must be interviewed
- Identify techniques used to interview the IRS
  - For example, utilization of picture board, communication device, pointing, head nod, head shaking, photographs, etc. for an individual that is non-verbal or has difficulty communicating.
- If you are unable to interview anyone identified (AP/AV/Witness/Collateral), add an entry for the person and include a justification and dates of your attempts made to complete the interview
- Remember to provide a quality interview summary
  - Who? What? When? Where? Why? How?
  - Address any discrepancies that arise during the interview
  - You do not need to transcribe the entire interview. Summarize the facts relevant to the allegations(s)
  - Include both quotes and third-party summarized statements
  - Do not utilize AI or transcribing services

*To add additional interviews, click the + button to duplicate the section and add additional entries.*

### **All Other Contacts**

- Full Name: Enter full legal name
- Date: Enter date of contact
- Title and/or Relationship: Enter the title (i.e. Detective or staff title) or relationship (i.e. Mother/legal guardian)

Examples include, (i.e. law enforcement, store employee, medical professionals, van driver, guardian, family member, maintenance staff, support coordinator, neighbor, etc.). If the contact had specific information relevant to the allegation, it would be documented as an interview. If you are just contacting them for other reasons, document it as a contact.

*To add additional contacts, click the + button to duplicate the section and add additional entries.*

### **Conclusion/Analysis of Evidence for Allegation and/or Event**

- Incident Category: Enter incident category (i.e. Abuse, neglect, exploitation, etc.)
- Incident Code: Enter the incident code (i.e. AB112, NE216, etc.) Refer to the *Incident Notification* email sent to your agency by DDD/ORM which has Category and/or Code information identified.
- Sub-Category: Enter the sub-category (if applicable)
- Name of Alleged Victim(s):
  - If there are multiple AVs of the same code, enter all AV names

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- Name of Alleged Perpetrator(s):
  - If there are multiple APs of the same code, enter all AP names
- Findings: Check off Substantiated/Yes or Unsubstantiated/No

**Ensure the following:**

- Use template provided for findings and utilize bullets containing the supporting evidence (interviews, documentary, and physical evidence)
  - Only include the evidence that supports the findings, if it doesn't support the finding then it doesn't go in the conclusion
- For Events, rule out neglect (i.e. supervision maintained, adherence to Policy and Procedure, medical orders followed, etc.)
- Investigative findings and corresponding analysis are rooted in evidence and based on facts gathered
  - Findings are based upon a preponderance of evidence standard
  - Statements are objective and based on facts gathered and are free of subjective/extraneous statements
  - "Inconclusive" is not considered a finding
- Include a finding for each allegation/code and a justification/explanation narrative for arriving at each finding for each AP/AV
  - If there are varied findings use the + and add a section for each finding
    - Even if it is the same code, you would do two entries if the findings vary:
      - Substantiated against one or more APs
      - Unsubstantiated against one or more APs
- Narrative should be free of internal jargon and terms, all acronyms are defined (i.e. Behavioral Support Plan (BSP))
- Ensure findings are free of typographical, spelling and grammatical errors

*If there are multiple codes, click the + button to duplicate the section and add additional findings for each code.*

**Related Concerns**

- Summary: Document any concerns identified during the course of the investigation. Concerns are based on the analysis of facts for administration/management to address which may result in corrective action, systems improvement, policy and procedure revisions, etc.

**Actions Planned and/or Taken**

Include all actions planned and/or taken in response to the incident. Actions are grouped by the following classifications: Immediate, Corrective, and Preventative.

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**Immediate Actions**

Immediate actions are to *protect immediate health and safety*. Examples include: Increased supervision, maintenance of property or adaptive equipment, medical/psychiatric treatment, no client contact, repairs, suspension pending investigation, transfer AV/AP, etc.

- Immediate Actions: Select action from drop-down list
- Completion Date: Enter Date
- Summary: Describe immediate actions taken

*To add additional immediate actions, click the + button to duplicate the section and add additional entries.*

**Corrective Actions**

Corrective actions *address the incident and those involved*: Examples include: Behavioral supports/referrals, counseling, disciplinary actions, education, funds reimbursed, IDT meeting, increased communication, increased monitoring, increased supervision, medical follow-up, psychiatric follow-up, resident education, revision of ISP or BSP, shadowing, training, etc.

- Corrective Actions: Select action from drop-down list
- Planned Date: Enter Date
  - If you are referring to HR for further action, please follow up with OPIA regarding actions determined with date taken.
- Completion Date: Enter Date
- Summary: Describe immediate actions taken

*To add additional corrective actions, click the + button to duplicate the section and add additional entries.*

**Preventative Actions**

Preventative actions are to *prevent likelihood of reoccurrence*. Examples include: Evaluate culture of the home, IDT meeting, identification of systemic issues, increased administrative oversight, increased fiscal management, increased monitoring/supervision, root cause analysis (RCA), policy and procedure revisions, referral and linkage, revision of ISP or BSP, schedule changes or transfers to promote a better atmosphere, shadowing staff, unannounced visits by administration to specific sites, etc.

***You are required to provide preventative action for each allegation and/or event. The incident will not be closed without preventative actions.***

- Preventative Actions: Select action from drop-down list
- Planned Date: Enter Date
- Completion Date: Enter Date
- Summary: Describe immediate actions taken

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*To add additional preventative actions, click the + button to duplicate the section and add additional entries.*

**Investigation Completion Dates and Attestation**

- Date Investigation Completed: Enter date
- Attestation: Select Yes or No to attest that the investigation was completed by impartial person
- Investigation Completed by: Enter name of Investigator
- Title: Enter Title of Investigator
- Contact Phone Number: Enter Investigator's phone number
- Email: Enter Investigator's email address
- Date Submitted to DHS/OPIA: Enter date