

POLICY: Mandatory Components of an Investigation

POLICY STATEMENT: It is the policy of the Bureau of Quality Improvement Services (BQIS) that investigations conducted by providers on behalf of individuals receiving services funded by the Developmental Disability, Autism, and Support Services waivers, as well as those funded by state line, include mandatory components that ensure the health, welfare, and rights of those individuals.

DETAILED POLICY STATEMENT:

Activities initiated by a provider that require mandated investigative components

1. Activities initiated by a provider that require mandated components include:
 - a. Internal reviews of the death of an individual receiving services;
 - b. Investigations into alleged abuse, neglect, or exploitation of an individual receiving services;
 - c. Investigations into significant injuries of unknown origin, as defined in the Incident Reporting policy; and
 - d. Investigations as otherwise requested by:
 - i. the DDRS Director; or
 - ii. the BQIS Director.

Mandated components

Mandatory components for investigations and reviews as addressed in this policy include:

- a. A clear statement indicating why the investigation/review is being conducted along with the nature of the allegation/event (e.g., allegation of neglect, etc.).
- b. A clear statement of the event or alleged event in a time-line format including what, where, and when the event happened or is alleged to have happened.
- c. Identification by name and title of all involved parties or alleged involved parties including:
 - i. any victim(s) or alleged victim(s);
 - ii. all staff assigned to the victim(s) or alleged victim(s) at the time of the incident;
 - iii. all alleged perpetrators, when indicated; and
 - iv. all actual or potential witnesses to the event or alleged event.
- d. Signed and dated statements from all involved parties, including all actual and potential witnesses to the event or alleged event.
- e. A statement describing all record and other document review associated with the event or alleged event.
- f. Copies of all records and other documents reviewed that provide evidence supporting the findings of the investigation or review.
- g. If there are any discrepancies/conflicts between the evidence gathered, the discrepancy is resolved and/or explained.
- h. A determination if rights have been violated, if services and/or care were not provided or were not appropriately provided, if agency policies and/or procedures were not followed, and/or if any federal or state regulations were not followed.
- i. A clear statement of substantiation or non-substantiation of any allegation that includes a description/summary of the evidence that resulted in the finding.

- j. A definitive description of all corrective actions developed and implemented and/or to be implemented as a result of the investigation or review, including completion dates for each corrective action.
- k. The signature, name and title of the person completing the investigation.
- l. The date the investigation was completed.

Additional requirement for reviews of death

1. Reviews of the death of an individual shall include any additional components outlined in the current DDRS policy titled "Mortality Review".

DEFINITIONS:

"Evidence" means any relevant information collected during an investigation which assists in describing and explaining the incident/event.

"Investigate" means to observe or study by close examination and systematic inquiry.

"Investigation" means an orderly collection of data or facts to describe an incident/event.

REFERENCES:

460 IAC 6

Incident Reporting Policy

Mortality Review

Protection of an Individual's Rights

Employment Of Persons With Convictions Of Prohibited Offenses Or Non-Residency Status

Personnel Policies & Manuals

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