

DMHDDAS Expanded Investigation Review

Date/Time of Incident	Date of Review	Reviewer	Investigator / Team Leader	Facility

Instructions: **All** information to complete the Expanded Investigation Review is obtained from the **Final Expanded Investigation Report**. Standards should be evaluated as follows with specific evaluation in each Standard's Comments section:

- Yes = Information present meets the standard**
- No = Information is not present OR information is present but does not meet the Standard**
- NA = Standard is not relevant for the case**
- LR = Late reporting - Late Reporting occurred**

The Comments section may be used to clarify information, but may not be used as a stand-alone response. For further information related to the Standards, please see the Facility Risk Management Protocol (FRMP) Effective September 1, 2008, and the Investigations Manual, 6th Edition.

Standard for Introduction		Yes	No	NA	LR	Comments
1.	Facility submitted a final Expanded Investigation to DMHDDAS: a. Hospitals: within 14 calendar days of the incident; b. Nursing and ICF/MR: within 5 working days of the incident.					
2.	Staff made an immediate report to the Facility Director or designated representative.					
3.	Facility Director or designated representative assigned an investigator within two hours of receiving notice of the incident.					
4.	The facility made an immediate initial report to DCBS through a telephone call.					
5.	Facility notified promptly parents, guardians, next of kin, or emergency contact.					
6.	Facility made an immediate initial report to DMHDDAS by email.					

Standard for Immediate Protections		Yes	No	NA	Comments
1.	Immediately , staff discovering an incident provided first aid within their ability related to their training, and if applicable, requested additional medical assistance .				
2.	Target employee(s) were removed from direct care.				
3.	Interventions were put in place to ensure the safety of all individuals, staff, and other persons.				
4.	The scene was not disturbed and persons were prohibited from removing or destroying actual or potential evidence.				
5.	Potential witnesses were kept at the scene and kept separated.				
6.	Relevant documentary evidence was secured.				
7.	Relevant physical evidence was secured.				

Standard for Investigative Procedure		Yes	No	NA	Comments
1.	Investigation was initiated within 2 hours of assignment.				
2.	Relevant physical evidence was collected and logged.				
3.	Photographs were taken of all visible injuries or to document that no injury was present.				
4.	Relevant demonstrative evidence was collected and logged.				

Standard for Testimonial Evidence		Yes	No	NA	Comments
1.	Interview order is reporter, victims, witnesses, and aggressors/targets, OR the report CLEARLY states the reason for not doing so.				

Standard for Testimonial Evidence	Yes	No	NA	Comments
2. Interviews were conducted with and written statements obtained from the reporter identified, including those whose ability to communicate is impaired, using a client advocate, interpreter, familiar staff of the individual to assist with the individual, or familiar staff of the individual to provide information to assist with the questions and statement write-up OR the report CLEARLY states the reason for not doing so.				
3. Interviews were conducted with and statements obtained from victims identified, including those whose ability to communicate is impaired, using a client advocate, interpreter, familiar staff of the individual to assist with the individual, or familiar staff of the individual to provide information to assist with the questions and statement write-up OR the report CLEARLY states the reason for not doing so.				
4. Interviews were conducted with and written statements obtained from relevant witnesses including other individuals identified OR the report CLEARLY states the reason for not doing so.				
5. Interviews were conducted with and statements obtained from aggressors (individuals) and/or target staff identified, including those whose ability to communicate is impaired, using a client advocate, interpreter, familiar staff of the individual to assist with the individual, or familiar staff of the individual to provide information to assist with the questions and statement write-up OR the report CLEARLY states the reason for not doing so.				
6. Interviews were conducted with and written statements obtained from staff who provided initial first aid/treatment OR the report CLEARLY states the reason for not doing so.				

Standard for Testimonial Evidence		Yes	No	NA	Comments
7.	Interviews began within 24 hours of the incident or discovery time OR the report CLEARLY states the reason for not doing so.				
8.	Follow-up interviews were conducted if conflicting testimony was gathered during the investigation.				
9.	Relevant documentary evidence, excluding written statements, was collected and secured.				

Standard for Summary of the Evidence		Yes	No	NA	Comments
1.	Initial investigatory question is framed in such a way it helped guide the investigation to determine how the incident occurred and/or how the injury occurred.				
2.	Secondary investigatory question is framed in such a way it helped guide the investigation to determine whether abuse, neglect, exploitation, mistreatment, or other harm has been found to be substantiated, unsubstantiated, or inconclusive.				
3.	Sufficient evidence is presented and analyzed to confirm the cause of the incident.				
4.	Sufficient evidence is presented and analyzed to confirm the cause of the injury.				

Standard for Analysis and Findings		Yes	No	NA	Comments
1.	Initial investigatory question conclusion is based on a preponderance of the evidence it is more likely than not a particular set of facts is true and includes an analysis that supports the conclusion.				
2.	Secondary investigatory question conclusion is based on a preponderance of the evidence it is more likely than not a particular set of facts is true and includes an analysis that supports the conclusion.				

Standard for Analysis and Findings		Yes	No	NA	Comments
3.	Tertiary investigatory question conclusion is based on a preponderance of the evidence it is more likely than not a particular set of facts is true and includes an analysis that supports the conclusion.				
4.	Quaternary investigatory question conclusion is based on a preponderance of the evidence it is more likely than not a particular set of facts is true and includes an analysis that supports the conclusion.				

DMHDDAS Expanded Investigation Review - Interview Worksheet

Name of Reporter, Victims, Witnesses, Aggressors/Targets	Person Interviewed YES	Person Interviewed NO	Statement Taken YES	Statement Taken NO	Comments

Instructions: The source of the information for this worksheet is the **Final Expanded Investigation**. In compiling the list of reporters, victims, witnesses, and aggressors/targets, as applicable, the reviewer should read the entire investigative report first, including any attachments. At each point where the reviewer identifies someone who might have relevant testimonial evidence, the reviewer should write the person's name on this worksheet.

After compiling this list, compare it with those witnesses and potential witnesses the investigator actually interviewed and from whom a statement was obtained.