

Individual Name: Record Individual's name

Investigation #: Record Investigation number

### DMHDDAS Expanded Investigation Review

Date/Time of Incident	Date of Review	Reviewer	Investigator / Team Leader	Facility
Record the date and time of the incident	Record the date of the Review	Record the Reviewer's name	Record the investigator's name	Record the name of the 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, 6<sup>th</sup> Edition.

Standard for Introduction		Yes	No	NA	LR	Comments
1.	Facility submitted a <b>final Expanded Investigation</b> to DMHDDAS: a. Hospitals: within 14 calendar days of the incident; b. Nursing and ICF/MR: within 5 working days of the incident.					Compare Expanded Investigation Date of Final Report to Date of Incident. Do not count the day of the incident, and move forward the correct number of calendar days to get the total count.  <b>Yes:</b> Submission occurred within timeframe <b>No:</b> Submission occurred after timeframe
2.	Staff made an <b>immediate report</b> to the <b>Facility Director</b> or designated representative.					See Expanded Investigation I.G.  <b>Yes:</b> Notification to Facility Director was 15 minutes or less compared to <b>time of incident</b> , given a small timeframe for first aid and immediate protections <b>No:</b> Notification to Facility Director was 16 minutes or greater compared to <b>time of incident</b> <b>LR:</b> Late reporting occurred
3.	Facility Director or designated representative <b>assigned an investigator within two hours</b> of receiving notice of the incident.					See Expanded Investigation I.H.  <b>Yes:</b> Investigator assigned within 2 hours of time reported in #2 above <b>No:</b> Investigator assigned after 2 hours of time reported in #2 above
4.	The facility made an <b>immediate initial report to DCBS</b> through a telephone call.					See Expanded Investigation I.I.  <b>Yes:</b> Report was 30 minutes or less compared to time of incident or time of discovery, given a small timeframe for first aid and immediate protections <b>No:</b> Report was 31 minutes or greater compared to time of incident or time of discovery
5.	Facility <b>notified promptly</b> parents, guardians, next of kin, or emergency contact.					See Expanded Investigation I.M.  <b>Yes:</b> Parent, guardians, next of kin or emergency contact were reached within 12 hours of time of incident or time of discovery, OR a written notice was sent if the 12 hour timeframe is not met

Standard for Introduction		Yes	No	NA	LR	Comments
						<b>No:</b> Parent, guardians, next of kin or emergency contact were reached after 12 hours compared to time of incident or time of discovery OR a written notice was not sent if the 12 hour timeframe was not met OR notification did not occur
6.	Facility made an <b>immediate initial report to DMHDDAS by email.</b>					See Expanded Investigation I.N.  <b>Yes:</b> Report was 30 minutes or less compared to time of incident or time of discovery, given a small timeframe for first aid and immediate protections <b>No:</b> Report was 31 minutes or greater compared to time of incident or time of discovery OR not at all

Standard for Immediate Protections		Yes	No	NA	Comments
1.	<b>Immediately</b> , staff discovering an incident <b>provided first aid</b> within their ability related to their training, and if applicable, requested <b>additional medical assistance.</b>				See Expanded Investigation II.A.  <b>Yes:</b> First aid/medical services provided in 60 minutes or less from time of incident or time of discovery <b>No:</b> First aid/medical services provided in 61 minutes or greater from time of incident or time of discovery OR were indicated but not provided <b>NA:</b> Standard is not relevant
2.	<b>Target</b> employee(s) were <b>removed</b> from direct care.				See Expanded Investigation II.B.  <b>Yes:</b> Target employees removed from direct care in 15 minutes or less from time of incident or time of discovery OR if not, a clear reason is documented <b>No:</b> Target employees removed from direct care in 16 minutes or more from time of incident or time of discovery OR removal was indicated but did not occur <b>NA:</b> Standard is not relevant
3.	<b>Interventions</b> were put in place to <b>ensure the safety</b> of all individuals, staff, and other persons.				See Expanded Investigation II.C.  <b>Yes:</b> Interventions for safety are described <b>No:</b> Interventions for safety are not described OR do not include all steps a prudent person would consider to ensure safety <b>NA:</b> Standard is not relevant
4.	The <b>scene was not disturbed</b> and persons were prohibited from removing or destroying actual or potential evidence.				See Expanded Investigation II.D.  <b>Yes:</b> Scene was not disturbed <b>No:</b> Scene was disturbed <b>NA:</b> Standard is not relevant
5.	Potential <b>witnesses were kept at the scene</b> and kept separated.				See Expanded Investigation II.E.  <b>Yes:</b> Potential witnesses were kept at the scene and separated <b>No:</b> Potential witnesses were not kept at the scene and separated <b>NA:</b> Standard is not relevant
6.	Relevant <b>documentary evidence</b> was secured.				See Expanded Investigation II.F.  <b>Yes:</b> Relevant documentary evidence was secured <b>No:</b> Relevant documentary evidence was not secured <b>NA:</b> Standard is not relevant
7.	Relevant <b>physical evidence</b> was				See Expanded Investigation II.G.

Standard for Immediate Protections		Yes	No	NA	Comments
	secured.				<b>Yes:</b> Relevant physical evidence was secured <b>No:</b> Relevant physical evidence was not secured <b>NA:</b> Standard is not relevant

Standard for Investigative Procedure		Yes	No	NA	Comments
1.	Investigation was <b>initiated</b> within <b>2 hours</b> of assignment.				See Expanded Investigation I.G., I.H., III.A.1. and III.C.4.  <b>Yes:</b> Within 2 hours of assignment, testimonial evidence was collected <b>No:</b> After 2 hours of assignment, testimonial evidence was collected <b>NA:</b> Standard is not relevant
2.	Relevant <b>physical evidence</b> was collected and logged.				See Expanded Investigation III.B.1. and 2.  <b>Yes:</b> Relevant physical evidence was collected and logged <b>No:</b> Relevant physical evidence was not collected and/or logged <b>NA:</b> Standard is not relevant
3.	<b>Photographs</b> were taken of all <b>visible injuries</b> or to document that <b>no injury</b> was present.				See Expanded Investigation III.B.4.  <b>Yes:</b> Photos were taken of all visible injuries or to document no injury occurred <b>No:</b> Photos were not taken of all visible injuries and/or to document no injury occurred <b>NA:</b> Standard is not relevant
4.	Relevant <b>demonstrative evidence</b> was collected and logged.				See Expanded Investigation III.B.5.  <b>Yes:</b> Relevant demonstrative evidence was collected and logged <b>No:</b> Relevant demonstrative evidence was not collected and/or logged <b>NA:</b> Standard is not relevant

Standard for Testimonial Evidence		Yes	No	NA	Comments
1.	<b>Interview order</b> is reporter, victims, witnesses, and aggressors/targets, <b>OR</b> the report <b>CLEARLY</b> states the reason for not doing so.				See Expanded Investigation III.C.3. and 4.  <b>Yes:</b> Interview order is followed <b>OR</b> if not, a clear reason is documented <b>No:</b> Interview order is not followed <b>NA:</b> Standard is not relevant
2.	<b>Interviews</b> were conducted with and written statements obtained from <b>the reporter</b> 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 <b>OR</b> the report <b>CLEARLY</b> states the reason for not doing so.				See Expanded Investigation III.C.4.  <b>Yes:</b> Interviews are conducted as described with reporter <b>OR</b> if not, a clear reason is documented <b>No:</b> Interview with reporter did not occur <b>NA:</b> Standard is not relevant
3.	<b>Interviews</b> were conducted with and statements obtained from <b>victims</b>				See Expanded Investigation III.C.4.  <b>Yes:</b> Interviews are conducted as described with victims <b>OR</b> if

Standard for Testimonial Evidence	Yes	No	NA	Comments
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.				not, a clear reason is documented <b>No:</b> Interview with victims did not occur <b>NA:</b> Standard is not relevant
4. <b>Interviews</b> were conducted with and written statements obtained from <b>relevant witnesses including other individuals</b> identified OR the report CLEARLY states the reason for not doing so.				See Expanded Investigation III.C.4.  <b>Yes:</b> Interviews are conducted as described with relevant witnesses OR if not, a clear reason is documented <b>No:</b> Interview with relevant witnesses did not occur <b>NA:</b> Standard is not relevant
5. <b>Interviews</b> were conducted with and statements obtained from <b>aggressors</b> (individuals) <b>and/or target staff</b> 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.				See Expanded Investigation III.C.4.  <b>Yes:</b> Interviews are conducted as described with aggressors and/or target staff OR if not, a clear reason is documented <b>No:</b> Interview with aggressors and/or target staff did not occur <b>NA:</b> Standard is not relevant
6. <b>Interviews</b> were conducted with and written statements obtained from <b>staff who provided initial first aid/treatment</b> OR the report CLEARLY states the reason for not doing so.				See Expanded Investigation III.C.4.  <b>Yes:</b> Interviews are conducted as described with staff who provided initial first aid/treatment OR if not, a clear reason is documented <b>No:</b> Interview with staff who provided initial first aid/treatment did not occur <b>NA:</b> Standard is not relevant
7. <b>Interviews began within 24 hours of the incident</b> or discovery time OR the report CLEARLY states the reason for not doing so.				See Expanded Investigation III.C.4.  <b>Yes:</b> Interviews began within 24 hours of the time of the incident or time of discovery OR if not, a clear reason is documented <b>No:</b> Interviews did not begin within 24 hours of the time of the incident or time of discovery <b>NA:</b> Standard is not relevant
8. <b>Follow-up interviews</b> were conducted if <b>conflicting testimony</b> was gathered during the investigation.				See Expanded Investigation III.C.4.  <b>Yes:</b> Follow-up interviews were conducted if conflicting testimony is present <b>No:</b> Follow-up interviews were not conducted if conflicting testimony is present <b>NA:</b> Standard is not relevant
9. Relevant <b>documentary evidence</b> ,				See Expanded Investigation III.D.1. and 2.

Standard for Testimonial Evidence		Yes	No	NA	Comments
	excluding written statements, was collected and secured.				<b>Yes:</b> Relevant documentary evidence is present <b>No:</b> Relevant documentary evidence is not present <b>NA:</b> Standard is not relevant

Standard for Summary of the Evidence		Yes	No	NA	Comments
1.	Initial investigatory question is <b>framed</b> in such a way it helped guide the investigation to <b>determine how the incident occurred and/or how the injury occurred.</b>				See Expanded Investigation IV.A.  <b>Yes:</b> Question is framed to guide the investigation to determine how the incident occurred and/or how the injury occurred <b>No:</b> Question is not framed to guide the investigation to determine how the incident occurred and/or how the injury occurred <b>NA:</b> Standard is not relevant
2.	Secondary investigatory question is <b>framed</b> in such a way it helped guide the investigation to <b>determine whether abuse, neglect, exploitation, mistreatment, or other harm has been found to be substantiated, unsubstantiated, or inconclusive.</b>				See Expanded Investigation IV.A.  <b>Yes:</b> Question is framed to guide the investigation to determine whether abuse, neglect, exploitation, mistreatment, or other harm has been found to be substantiated, unsubstantiated, or inconclusive <b>No:</b> Question is not framed to guide the investigation to determine whether abuse, neglect, exploitation, mistreatment, or other harm has been found to be substantiated, unsubstantiated, or inconclusive <b>NA:</b> Standard is not relevant
3.	<b>Sufficient evidence</b> is presented and analyzed to confirm the <b>cause of the incident.</b>				See Expanded Investigation IV.B. and C.  <b>Yes:</b> Sufficient evidence is present to confirm the cause of the incident OR if not, a clear reason is documented <b>No:</b> Sufficient evidence is not present to confirm the cause of the incident <b>NA:</b> Standard is not relevant
4.	<b>Sufficient evidence</b> is presented and analyzed to confirm the <b>cause of the injury.</b>				See Expanded Investigation IV.B. and C.  <b>Yes:</b> Sufficient evidence is present to confirm the cause of the injury OR if not, a clear reason is documented <b>No:</b> Sufficient evidence is not present to confirm the cause of the injury <b>NA:</b> Standard is not relevant

Standard for Analysis and Findings		Yes	No	NA	Comments
1.	<b>Initial</b> investigatory question <b>conclusion</b> is based on a <b>preponderance of the evidence</b> it is more likely than not a particular set of facts is true and <b>includes an analysis that supports</b> the conclusion.				See Expanded Investigation V.  <b>Yes:</b> Conclusion is based on the preponderance of the evidence AND includes an analysis that supports the conclusion <b>No:</b> Conclusion is not based on the preponderance of the evidence and/or does not include an analysis that supports the conclusion <b>NA:</b> Standard is not relevant
2.	<b>Secondary</b> investigatory question <b>conclusion</b> is based on a <b>preponderance of the evidence</b> it is more likely than not a particular set of facts is true and <b>includes an</b>				See Expanded Investigation V.  <b>Yes:</b> Conclusion is based on the preponderance of the evidence AND includes an analysis that supports the conclusion <b>No:</b> Conclusion is not based on the preponderance of the evidence and/or does not include an analysis that supports

	Standard for Analysis and Findings	Yes	No	NA	Comments
	analysis that supports the conclusion.				the conclusion <b>NA:</b> Standard is not relevant
3.	<b>Tertiary</b> investigatory question conclusion is based on a <b>preponderance of the evidence</b> it is more likely than not a particular set of facts is true and <b>includes an analysis that supports</b> the conclusion.				See Expanded Investigation V.  <b>Yes:</b> Conclusion is based on the preponderance of the evidence AND includes an analysis that supports the conclusion <b>No:</b> Conclusion is not based on the preponderance of the evidence and/or does not include an analysis that supports the conclusion <b>NA:</b> Standard is not relevant
4.	<b>Quaternary</b> investigatory question conclusion is based on a <b>preponderance of the evidence</b> it is more likely than not a particular set of facts is true and <b>includes an analysis that supports</b> the conclusion.				See Expanded Investigation V.  <b>Yes:</b> Conclusion is based on the preponderance of the evidence AND includes an analysis that supports the conclusion <b>No:</b> Conclusion is not based on the preponderance of the evidence and/or does not include an analysis that supports the conclusion <b>NA:</b> Standard is not relevant

## 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.

**Responses should be marked as follows:**

Person Interviewed, YES      Compared to the report, the witness or potential witness was interviewed  
 Person Interviewed, NO      Compared to the report, the witness or potential witness was not interviewed, but should have been interviewed

Statement Taken, YES      Compared to the report, the witness or potential witness gave a written statement  
 Statement Taken, NO      Compared to the report, the witness or potential witness did not give a written statement, but should have given a written statement

If the reviewer writes down a name of a witness or potential witness and makes a determination after reviewing the report that neither an interview nor statement was needed, mark one solid line through the name and comment appropriately in the Comments section.