

Appendix E - Final Expanded Investigative Report – Outline and Recording Instructions

Facility: Record the Facility name.	Individual Name(s): Record the Individual's name(s) for whom the investigation is conducted. If there is not an Individual's name associated with the Investigation, record the Incident Type.
Case Number: Record the facility-specific case number.	Investigator: Record the name of the investigator.
Date of Final Report: Record the date of the final written report. MM/DD/YY	

I. INTRODUCTION

- A. The nature of the incident and/or information provided to the investigator at the time of the assignment.**
 Record the initial information provided to the investigator at time of the assignment. If an amended Report of Unusual was submitted that changed the initial information, record the amended information underneath the original information with a heading of "Amended Initial Report."
- B. The name of person(s) reporting the incident.**
 Record the name of the person who reported the incident.
- C. Date and time the incident occurred.**
 Record the date and time of the incident, if known. If unknown, record "unknown." If late reporting occurs, and date and time of the incident is provided during the late reporting, record the incident date and time as reported AND the Discovery Date and Time, which indicates the date the report was actually made.
- D. Date and time the incident was discovered.**
 Record the date and time of discovery of the incident, if date of incident is unknown.
- E. Date and time staff discovering the incident verbally reported it to the supervisor.**
 Record the date and time the staff discovering the incident verbally reported it to the supervisor.
- F. Date and time the initial written incident report was completed.**
 Record the date and time the initial written incident report was completed.
- G. Date and time the Facility Director/designated representative was notified.**
 Record the date and time the Facility Director/designated representative was notified about the incident.
- H. Date and time the investigator was assigned the expanded investigation.**
 Record the date and time the investigator was assigned to begin the expanded investigation.
- I. Date and time the Department for Community Based Services was notified.**
 Record the date and time DCBS was notified by the initial phone call. Some areas may have to make numerous phone attempts before a contact is made. Record all times of phone attempts made. The last time recorded should be the time of contact.
- J. Date and time the Office of Inspector General was notified.**
 Record the date and time OIG was notified.
- K. Date and time the appropriate law enforcement agencies were notified.**
 Record the date and time appropriate law enforcement agencies were notified. Record "NA" if not applicable.
- L. In cases of death, date and time the coroner's office was notified.**
 Record the date and time the coroner's office was notified. Record "NA" if not applicable.
- M. Date and time the individual's guardian was notified.**
 Record the date and time the parent/guardian was notified.
- N. Date and time DBHDID central office was initially notified by e-mail.**
 Record the date and time DBHDID was initially notified by e-mail.
- O. Date and time Protection and Advocacy was notified.**
 Record the date and time P&A was notified. Record "NA" if not applicable.

II. IMMEDIATE PROTECTIONS

A. Date and time medical services were provided to the individual, if applicable.

Record the date and time medical services were provided to the individual. Record "NA" if not applicable.

B. Name, date and time target employee(s) was removed from direct care, if applicable.

Record the name, date and time target employee(s) was removed from direct care. If staff were not immediately removed from direct care, include the explanation for the delay. Record "NA" if not applicable.

C. Interventions put in place to ensure the safety of all individuals, staff, and other persons.

Record the interventions immediately put in place to ensure the safety of all individuals, staff, and other persons. Record "NA" if not applicable.

D. Ensure the scene is not disturbed, including prohibiting staff, individuals, or other persons to remove or destroy potential or actual evidence, if applicable.

Record the steps taken to ensure the scene is not disturbed, including prohibiting staff, individuals, or other persons to remove or destroy potential or actual evidence. Record "NA" if not applicable.

E. Potential witnesses kept at the scene and kept separated, if applicable.

Record whether the potential witnesses were kept at the scene and kept separated. If potential witnesses were not kept at the scene, include the explanation. If potential witnesses were not kept separated, include the explanation. Record "NA" if not applicable.

F. Secure relevant documentary evidence, if applicable.

Record whether relevant documentary evidence was immediately secured. If relevant documentary evidence was not immediately secured, include the explanation. Record "NA" if not applicable.

G. Secure relevant physical evidence, if applicable.

Record whether relevant physical evidence was immediately secured. If relevant physical evidence was not immediately secured, include the explanation. Record "NA" if not applicable.

III. INVESTIGATIVE PROCEDURE

A. General Information:

1. Date and time the investigator first arrived at the incident scene.

Record the date and time the investigator first arrived at the incident scene.

2. The person(s) with whom the investigator spoke at the site. (Not witness interviews)

Record the name and title of person(s) with whom the investigator spoke at the site, not to include witness interviews.

B. Collecting Physical and Demonstrative Evidence:

1. List each piece of physical evidence collected.

List each piece of physical evidence collected. Record "NA" if not applicable.

2. The manner in which the physical evidence was collected and logged.

Record the manner in which the physical evidence was collected and logged. Record "NA" if not applicable.

3. The manner in which the physical evidence was kept after collection in order to maintain the "chain of custody."

Record the manner in which the physical evidence was kept after collection in order to maintain the "chain of custody." Record "NA" if not applicable.

4. List any pictures that were taken.

List and enumerate any pictures taken, e.g. six pictures of Individual ABC, 5 pictures of Incident Site, etc. Record "NA" if not applicable.

5. List any other demonstrative evidence available to the investigator; e.g., diagrams, maps, floor plans, x-rays, etc.

Record and enumerate all other demonstrative evidence available to the investigator; e.g., diagrams, maps, floor plans, x-rays, etc. Record "NA" if not applicable.

C. Testimonial Evidence:

- 1. The way in which the investigator determined whom to interview.**
Record the way in which the investigator determined whom to interview.
- 2. The person(s), if any, identified as the target(s) of the case.**
Record the name and title of staff or other person(s), identified as the target(s) of the case.
- 3. If the order of interviews is not in the desired order of reporter, victim(s), witness(es), and target(s) record explanation.**
If the order of interviews is not conducted in the desired order, the report must clearly state the reason for not doing so. If not applicable, record "NA."
- 4. List all persons interviewed in chronological order, including title, date, time of each interview, and the corresponding Attachment number of the written statements.**

NAME	TITLE	DATE/TIME	STATEMENT ATTACHMENT# (Documentary Evidence)

Record all interviewee names – reporter, victims, relevant witnesses, other relevant persons, and persons who provided initial first aid/medical treatment, and targets - in chronological order, including title, date, time, and statement attachment number of each. If a person(s) was interviewed more than one time, the name and other information should continue in the chronological order and treated as a new item in the list.

Victim(s) identified will be interviewed, including those whose ability to communicate is impaired, using a client advocate, staff who can communicate with individual, or interpreter to assist with the investigative questions and statement write-up.

Relevant witnesses will be interviewed, including individual(s) and those individual(s) whose ability to communicate is impaired, using a client advocate, staff who can communicate with individual, or interpreter to assist with the investigative questions and statement write-up.

Other persons relevant to the case will be interviewed.

If interviews are not conducted with any victims, relevant witnesses, persons who provided initial first aid/medical treatment, or other persons relevant to the case, the report must clearly state the reason for not doing so.

If an interview is not conducted within 24 hours of the incident or discovery time, whichever is applicable, the report must clearly state the reason for not doing so.

D. Documentary Evidence:

- 1. List other documents collected in this case, other than written statements identified in III.C.4.**

DOCUMENT	ATTACHMENT#

Record other documents obtained that are pertinent to the investigation, e.g. Incident Reports, Report of Unusual Incidents, diagrams, logs, photographs, time cards, e-mails, safety sheet, diagnosis code sheet, IPP/ILP/treatment plan, activity schedule, nursing notes, video photographs, AOD reports, staff query report, behavior plans, etc. Record the attachment number of each. Do not include written statements already recorded in III.C.4.

- 2. The manner in which all documentary evidence was collected and secured prior to and after collection.**
Record the manner in which the investigator secured all documentary evidence, prior to and after collection.

IV. SUMMARY OF THE EVIDENCE

- A. The investigative question(s) which the investigator must answer.**
Follow training provided by/sponsored by DBHDID to formulate and record the investigative questions.
- B. Summarize all direct evidence available to answer the investigative question(s).**
Record a summary of direct evidence collected to answer the investigative questions, to include witness statements, or other direct evidence as applicable.
- C. Summarize all circumstantial evidence available to answer the investigative question(s), as applicable.**
Record a summary of circumstantial evidence available to answer the investigative questions. Examples of circumstantial evidence are listed below – all may not be applicable to the investigation.

Witness statement and interview of Staff/Individual #1
Witness statement and interview of Staff/Individual #2, etc.

Follow-up witness statement and interview of Staff/Individual #1, if applicable
Follow-up witness statement and interview of Staff/Individual #2, if applicable, etc.

Incident Report(s) Review:
Shift Report or Log Report Review:
Staff Assignment Sheet Review:
Nursing Notes/Medical Notes Review:
Target Staff Query Results:
Safety and Interventions Review:
Dining Plan and Supports Review:
Client Admission Face Sheet Review:
Diagram Drawing Review:
IPP / ILP / Treatment Plan Review:
Physical Supports Review:
Activity Schedule Review:
Prints from Video Camera Footage Review
Pictures of Individual Review:
Other Pictures (Name Location) Review:
Staff Training Review:
Other Reviews (write in specific name of Review):

V. ANALYSIS and FINDINGS

Investigative Question # 1 and Conclusion:

Record, based on the preponderance of the evidence, an outcome of substantiation, unsubstantiation, or inconclusive. Include a summary of the analysis that supports the conclusion.

Investigative Question # 2 and Conclusion, etc.

Record, based on the preponderance of the evidence, an outcome of substantiation, unsubstantiation, or inconclusive. Include a summary of the analysis that supports the conclusion.

Additional Information that contributed to Conclusions.

Include a summary of other analysis that supports the conclusion(s), if applicable.

VI. FACILITY FOLLOW UP

Record facility follow up actions.

Investigator Signature

The investigator will legibly sign their first and last name.

MM/DD/YY
Date of Signature

The investigator will record the date of their signature.