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| <b>Topic:</b> OPWDD 149 – Investigative Report                                      | <b>Department:</b> All programs and services |
| <b>Original effective date:</b> 7/2013  | <b>Last revision date:</b> 2/26/2020         |
| <b>Owner:</b> Incident Manager  | <b>Frequency of reviews:</b> As needed       |
| <b>Internal/Regulatory Reference(s) (all that apply):</b> OPWDD Regulation-Part 624 |  |
| <b>Related documents/Links:</b> OPWDD Form 149                                      |  |

**Policy**

People are free from abuse and neglect.

**Additional Information**

As mandated by OPWDD Regulation-Part 624, formal investigations are to be conducted in response to Abuse / Neglect incidents, Significant Incidents and Notable Occurrences. The summary of the investigation may include, but not be limited to the following information:

- evidence (testimonial, documentary, demonstrative, physical, reviewed)
- written statements (staff members, People Supported, community members, family)
- summary of evidence
- conclusions (determinations / rationales, as applicable)
- recommendations (corrective actions, ongoing support for People Supported, physical plant, policy review, etc)

*Please note: ALL agency staff members are required to participate in the investigation process. Failure to do so may result in disciplinary action up to and including termination.*

| <b>Procedure</b>   |                           |
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| <b>Task:</b>   | <b>Responsible party:</b> |
| Assigns the investigation to the investigator, giving the basic information on the situation and the person to contact within the program that the incident occurred.  | Incident Coordinator      |
| Contacts the identified person within the program to clarify any information needed prior to beginning the investigation.  | Assigned Investigator     |
| Provides all necessary names and phone numbers for family members or individuals (if necessary) and any requested documentation or information to the investigator upon request.   | Program Contact Person    |
| Schedules interviews with involved parties (if necessary). <ul style="list-style-type: none"> <li>- Takes statements from those interviewed, reviews all applicable documentation, and writes the investigative report.</li> <li>- Submits the completed investigation to the Incident Coordinator.</li> </ul>   | Assigned Investigator     |
| Reviews the completed investigation to ensure that the findings noted are relevant, the conclusions logical, the recommendations are comprehensive and ensures that necessary corrections are made.  | Incident Coordinator      |
| Distributes the completed investigative report to the site manager, program director / senior director, incident manager, vice president, COO, and CEO. <ul style="list-style-type: none"> <li>- Include the respective clinical director if applicable.</li> <li>- Include the CFO when applicable.</li> <li>- Include the respective HR representative when “target” employees have</li> </ul> | Assigned Investigator     |

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| been identified.   |                       |
| Adds all required investigative information to the IRMA and WSIR systems and agency database.  | Assigned Investigator |
| Completes and distributes a redacted summary to the Care Coordinator.  | Assigned Investigator |
| Attaches the full and complete investigative package (including all statements and supporting documentation) to the appropriate incident packet. | Assigned Investigator |

**Document revision record:**

| <b>Revision Date</b> | <b>Release Date</b> | <b>Reason for change</b>  | <b>Approver</b> |
|----------------------|---------------------|---|-----------------|
| 5/22/19              | 5/22/19             | In response to CQL – update regarding investigation expectations. | Deanna Crosser  |
|                      |                     |   |                 |