

Provider Internal Investigation Checklist

Component	Type of Investigation		Authority
	All	Mortality	
Timeframe: the thirty (30) day period immediately before: a. the death of the Individual; and b. if applicable, the hospitalization or placement in a hospice setting or nursing facility in which the Individual's death occurred.		X	460 IAC 6-25-10(c)(3) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
In conjunction with all providers of services to the deceased individual, review and document all the actions of all employees or agents of all providers for the thirty (30) day period immediately before: (A) the individual's death; (B) the hospitalization in which the individual's death occurred; or (C) the individual's transfer to a nursing home in which death occurred within ninety (90) days of that transfer		X	460 IAC 6-25-10(c)(4) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A clear statement indicating why the investigation/review is being conducted along with the nature of the allegation/event	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
Victim(s)/Alleged victim's name, funding source, medical diagnosis, intellectual level, and method of communication (e.g. verbal, gestures, technology device, etc.)	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
Victim(s)/Alleged victim's background information: IR number, provider at time event/alleged event occurred, Timeline of the event/alleged event, staff ratio at time of event/alleged event, and required staffing ratio at time of event/alleged event	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A statement describing the event/alleged event including in a time-line format:	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)

a. what happened; b. where it happened; c. when it happened (including date and time); and d. who was involved.			DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
Immediate safety measures put into place following the event/alleged event	X		460 6-9-5(a)(1)
Identification by name and title of all involved parties or alleged involved parties including: the deceased, all staff assigned to work with the Individual, all staff assigned to the victim(s)/alleged victim's at the time of the incident, any alleged perpetrators, all actual or potential witnesses to the event/alleged event	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A statement describing all record and other document review associated with the event or alleged event.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
Copies of all records and other documents reviewed that provide evidence supporting the findings of the investigation or review.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
In the case of an unexpected death or when otherwise requested provide a narrative review of the deceased Individual's documents: <ul style="list-style-type: none"> • treatment records; • medication administration records; • physician orders; • dietary guidelines; • nutritional assessments; • daily support records; • Individualized support plan; • risk plans; • care plans; • staff notes; • nursing notes; • consultant notes; • progress notes; • training and treatment 		X	DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)

<p>flow sheets including but not limited to:</p> <ul style="list-style-type: none"> • bowel tracking; • seizure log; • input and output record; • vital sign records; • risk plans; • consumer specific training; • assigned staff ratios; • hospital & ER admission and discharge summaries; and • all other documentation relevant to the services being provided to the Individual at the time of death. 			
A narrative summary of a review of relevant Provider policies and procedures.		X	DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A narrative summary of the findings of all record and document review associated with the death.		X	DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A narrative summary description of the internal review and how it was executed.		X	DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A narrative summary of the findings of all record and document review associated with the death.		X	DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
A statement of specific findings from the internal review.		X	DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
If there are any discrepancies/conflicts between the evidence gathered, the discrepancy is resolved and/or explained.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
A determination if rights have been violated.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
A determination if services and/or care were not provided or were not appropriately provided.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)

A determination if agency policies and/or procedures were not followed.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
A determination if any federal or state regulations were not followed.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
A clear statement of substantiation or non-substantiation of any allegation that includes a description/summary of the evidence that resulted in the finding.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012)
Document conclusions and make recommendations arising from the investigation.		X	460 IAC 6-25-10(c)(5)
Document implementation of any recommendations made under subdivision (5).		X	460 IAC 6-25-10(c)(6)
A 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.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
Signed and dated statements from all involved parties, including all actual and potential witnesses to the event or alleged event, and all staff assigned and present at the time of death	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
The signature and name and title of the person completing the internal review.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)
The date the internal review was completed.	X	X	DDRS Policy: Mandatory Components of an Investigation (BQIS 460 0316 043, eff. 3/16/2012) DDRS Policy: Mortality Review (BQIS 460 0530 029, eff. 5/30/2011)