ICF/IID Complaint Investigation

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<tr>
<th>STAFF’S NAME</th>
<th>DATE OF HIRE</th>
<th>PEER COACH / PRECEPTOR / TRAINER’S NAME</th>
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<tr>
<th>ON-SITE VISIT DATE(S) (MM/DD/YYYY)</th>
<th>FACILITY NAME</th>
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**Expectation:**
It is expected that the new staff member would have participated in Intro to RCS and be performing at an independent level in the complaint investigation process.

**Key Elements:**
- Peer Coach / Preceptor / Trainer (PC)

Place appropriate observed code next to each critical element. When appropriate, the PC should describe in the “notes sections” the event that led to the coding within the section and identify and add specific opportunities for growth in needed areas.

**Skill Level Key:**

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<th>SKILL LEVEL</th>
<th>CODE</th>
<th>DESCRIPTION</th>
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<tr>
<td>Observation Only</td>
<td>O</td>
<td>Observed investigation; did not perform any tasks or elements.</td>
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<tr>
<td>Demonstrated with Coaching</td>
<td>DC</td>
<td>Required the availability of the PC to provide directed assistance and identify areas for improvement.</td>
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<tr>
<td>Demonstrated with Minimal Coaching</td>
<td>D</td>
<td>Required the availability of the PC to answer questions and give minimal direction.</td>
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<tr>
<td>Performed Independently</td>
<td>I</td>
<td>Performed the investigation tasks and elements independently.</td>
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<tr>
<td>Not applicable</td>
<td>NA</td>
<td>Element has previously been performed at the independent level or was not attempted.</td>
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1. **Off-site Preparation**
The purpose of the offsite preparation is to obtain as much information as possible about the complaint before beginning to plan the investigation.

**Staff Member Preparation:**
- Review the Complaint Investigation Process in Chapter 20 of the State Operating Procedures Manual.

**Objectives / Critical Elements:**

- O DC D I NA
- Reviewed the complaint and identified the preliminary issues and priority classification of the complaint.
- Reviewed CRU referrals and recommended any additional agency referrals not made at time CRU processed the intake.
- Coordinated onsite visits with the APS investigator whenever deemed appropriate and possible.
- Contacted the complainant by telephone for additional information. Three attempts were made to contact complainant.
- Reviewed previous complaints to identify possible trends or repeat issues.

NOTES
### 2. Developing an Investigative Plan

The purpose of developing an investigative plan is to prepare for an investigation prior to going on-site.

**Objectives / Critical Elements:**

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- Developed an investigative plan to include: focused interview questions based on the specific allegations.
- The investigative plan should include the plan for protecting the confidentiality of the complainant and persons identified in the complaint.
- Reviewed elements of regulatory requirements pertinent to the allegation and select preliminary regulations that could be potentially cited.
- Determined if local law enforcement or other entities should be contacted to coordinate investigative activities or notified prior to onsite investigation.

**NOTES**

### 3. Conducting the Investigation

The purpose of this task is to collect information related to the complaint so a determination of compliance can be made.

**Objectives / Critical Elements:**

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- Initiated the investigation with an unannounced on-site visit to the alleged victim’s (AV) home / facility within the priority timeframe.
- An attempt was made to conduct the onsite visit at the time or day of the week the issue was most likely to occur, when the alleged perpetrator (AP) may be working, or when there might be inadequate staff to meet client needs.
- Identified self as a DSHS Investigator and explained the general purpose of the visit.
- Identified the clients involved in the complaint.
- Maintained Confidentiality of all components in the complaint.
- CRU form was not brought into the facility / home.
- Performed and documented appropriate observations, interviews and record reviews of AV, other clients, staff and environment. Focused on the issue(s) in order to verify the allegation(s) within the complaint.
- If the client was unavailable at the time of complaint initiation, two additional attempts were made to interview the client.
- Protected identity of the AV and complainant by expanding the sample or looking at more than one area of concern in the home / facility.
- Informed the staff or administrator you were leaving, explained the next step, provided an approximate timeline, and informed the administrator they will be contacted with a final determination.
- Provided AV a copy of the Vulnerable Adult Statement of Rights per RCW 74.43 and document when it was given. If the form was not given, documented the reason why.

**NOTES**
4. Off-site Activities and Final Determination

The purpose of off-site activities and final determination is to continue to collect facts related to the investigation and determine whether or not there was failed facility practice.

Objectives / Critical Elements:

- Identified and contacted other individuals who may provide information necessary to make a determination of compliance.
- Reviewed and analyzed all data pertinent to the complaint and determined if there is failed provider practice.
- Coordinated enforcement recommendations with the Field Manager.
- Telephoned the administrator to summarize findings and identify deficiencies.
- Called the complainants to summarize findings and inform them an Investigation Summary Report (ISR) would follow if one was requested.
- Made necessary referrals to other entities.

NOTES

5. Report Writing

The purpose of the Statement of Deficiencies (SOD) is to provide written verification and documentation using the prescribed methods in Principles of Documentation (POD), for the public, the home and the clients, and as a permanent record for the state enforcement and certification.

Objectives / Critical Elements:

- Clearly identified the issues and concerns about the client’s care and services.
- If the provider was found to have deficient practice the SOD was written following the Principles of Documentation and was clear, concise and within the required timeframes for ICF/IID. Editing was performed using the review tool.
- Entered all information into Aspen, ACTS, and TIVA Tracking System.
- The (ISR) was written within the guidelines for complaint summaries.
- Ensured that proper records of deficiencies, events, process and agreements were maintained under guidelines established for retention of records. Working papers were completed, compiled and forwarded to administrative assistant.

NOTES
### 6. Professional Manner

Check all that apply. Peer Coach may add other descriptors in the “other” box.

- Projects and promotes a professional demeanor
- Identifies areas for self-improvement
- Hesitant
- Applies suggested concepts and techniques effectively
- Stern
- Challenging
- Communicates effectively
- Other:

- Punctual
- Focuses on relevant and essential issues
- Unsure
- Tactful
- Forceful / argumentative
- Condescending

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- Staff Member brought the appropriate state statutes and regulations on inspection.
- Staff used the appropriate DSHS approved forms.
- Goals for improvement:

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<td>STAFF MEMBER’S SIGNATURE</td>
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<td>FIELD MANAGER’S SIGNATURE</td>
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