



TITLE: INTERNAL INVESTIGATION PROCEDURES
Policy 2.25
Rev. July 2015

PURPOSE AND SCOPE

This policy outlines Kokua's process for conducting internal investigations and reporting investigation findings to Adult Protective Services. WAC 388-101-3240, WAC 388-101-4150, WAC 388-101-4170, DDA Policy 6.12.

A. INTERNAL INVESTIGATIONS

Whenever there is reason to suspect that there has been a serious violation of Kokua policy or when there is reason to suspect that abuse, neglect, abandonment or exploitation of a client has occurred, an investigation will be conducted by the Human Resources Coordinator. The purpose of the investigation will be to gather all known evidence regarding the alleged incident. Coordinator-level staff may be asked to help with investigative interviews to ensure the timeliness of the investigation. Notes will be kept of every interview and these will be filed in a confidential Investigation File.

B. INVESTIGATIVE PROCEDURES

An investigation may include some or all of the following procedures:

1. Examination of agency documentation, such as training records, personnel files, timesheets, incident reports, staff logs, etc.
2. Examination of client documentation, such as progress notes, medication logs, CI calendars, etc.
3. Interviewing individuals who may have information about the incident, such as co-workers, clients, guardians, day program staff, etc. Written notes will be kept of these interviews.
4. Taking written statements from witnesses or the alleged perpetrator.
5. Photographs or physical evidence.

The staff person(s) participating in an investigation will maintain confidentiality regarding all aspects of the investigation.

C. SECURING EVIDENCE

All documentation or other evidence related to internal investigations will be secured in a locked office or file cabinet to prevent tampering.

D. INVESTIGATION OUTCOME

When an investigation is completed, one of the following actions will be taken:

1. If the investigation shows no misconduct, none of the information about the investigation will be included in the employee's personnel file.
2. All Incident Report follow-up will be faxed to DDA and APS as required. After faxing, a summary of the investigation, follow up material will be stapled to the relevant Incident Report and filed in the RCS/APS Report Book.
3. If the investigation reveals a serious breach of agency policy, the Human Resources Coordinator will proceed with disciplinary action per Kokua policy.
4. If the investigation reveals that illegal activity has occurred, a report will be made to law enforcement.
5. If the investigation indicates that abuse, neglect, or exploitation of a client may have occurred, APS will be notified. In addition, a report should be made to the licensing unit at the Washington State Department of Health.