

I. Introduction

On [date], the [provider agency & program] received an allegation of [briefly describe allegation] involving [name/initials of individual(s)] at [location].

The allegation was reported by [reporter's role/title, if applicable] and stated that:

“[Summarize allegation exactly as reported, using objective language.]”

This investigation was initiated in accordance with Department of Behavioral Health policies and regulatory requirements to determine whether the allegation of [abuse/neglect/etc.] is substantiated based on the evidence collected.

II. Investigation Timeline and Process

Date – Action Taken

- **[Date]:** Incident reported to [supervisor/administrator/department].
- **[Date]:** Protective measures implemented (if applicable).
- **[Date]:** Interview conducted with [name/role].
- **[Date]:** Documentation reviewed (list specific documents).
- **[Date]:** Additional interviews conducted.
- **[Date]:** Investigation completed.

Describe all investigative steps taken, including:

- Immediate safety interventions
 - Notifications made (guardian, department, law enforcement if applicable)
 - Site visits
 - Record reviews
 - Policy reviews
 - Follow-up actions
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III. Summary of Evidence Collected

A. Interviews (*only persons actually interviewed – as should be listed in CHRIS)

1. Interview with [Name/Role] – [Date]

Provide a factual summary of statements made. Use direct quotes when necessary. Avoid interpretation or opinion.

Example:

[Staff name] stated that on [date] at approximately [time], they observed [describe observation]. [Staff name] reported that they responded by [action taken].

2. Interview with [Individual/Guardian] – [Date]

Summarize statements clearly and objectively.

3. Interview with Additional Witnesses – [Dates]

Document relevant information obtained.

B. Documentation Reviewed

- Incident Report dated [date]
- Progress Notes dated [date(s)]
- Medication Administration Record (if applicable)
- Staff Training Records
- Policy and Procedure: [Title of policy]
- Video footage (if applicable)
- Other relevant documentation

Provide a brief summary of relevant findings from each document.

C. Physical or Other Evidence

Describe any:

- Photographs
- Medical evaluations
- Environmental observations
- Electronic records
- Law enforcement reports (if applicable)

IV. Analysis of Findings

Provide an objective analysis comparing:

- The allegation
- Statements gathered
- Documentation reviewed
- Physical or supporting evidence

Explain:

- Consistencies or inconsistencies in statements
- Whether policy was followed
- Whether actions or inactions meet the definitions of abuse and/or neglect

Ensure this section is fact-based and supported by documented evidence.

V. Conclusion and Recommendation

Based on the investigation conducted and evidence reviewed, it is the investigator's professional determination that:

- The allegation of [abuse/neglect/etc.] is **substantiated**.
- The allegation of [abuse/neglect/etc.] is **unsubstantiated**.

Rationale:

Clearly explain how the evidence supports this determination. Reference specific facts.

Example:

The allegation is substantiated because staff failed to provide required supervision as outlined in Policy [number/title], and documentation confirms the individual was left unattended for approximately [time period], resulting in [specific outcome].

This conclusion serves as the investigator's recommendation to the Director for final determination.

VI. Corrective Actions (if Applicable), and CAP response completed (if applicable)?

- Staff retraining
 - Policy revision
 - Disciplinary action
 - Increased supervision
 - Other remedial actions
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Reminders

All investigative summaries must be:

- **Factual:** Separate fact from opinion.
- **Accurate and Detailed:** Include who, what, when, where, why, and how.
- **Objective:** Avoid biased or emotionally charged language.
- **Complete:** Fully document investigative steps and findings.
- **Clear and Concise:** Use professional and straightforward language.
- **Mechanically Correct:** Proper grammar, organization, and readability are required.

Information from this summary should be included in the Directors decision/Findings letter to the Individual **AND** the Legal Guardian/Authorized Representative (if the individual has one.)