LOUISIANA STATE UNIVERSITY
HEALTH CARE SERVICES DIVISION
BATON ROUGE, LOUISIANA

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CONTENT:	Investigations Policy
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Deputy Chief Executive Officer
LSU Health Care Services Division

3/22/17
Date

Director of Human Resources
LSU Health Care Services Division

3/20/17
Date

LSU HEALTH CARE SERVICES DIVISION
INVESTIGATIONS POLICY

I. POLICY STATEMENT

It is the policy and right of LSU Health Care Services Division (HCSD) to conduct investigations. Furthermore, it is the policy of HCSD to cooperate fully in and respond appropriately to any state, federal agency investigation, subpoena or search warrant.

II. PURPOSE

The purpose of this policy is to clarify HCSD's authority to investigate and specifically state the responsibility of the agency and employee in the investigation process.

III. APPLICABILITY

This policy applies to all employees of HCSD including classified, unclassified, students, and any other persons having an employment relationship with HCSD, regardless of appointment type.

IV. IMPLEMENTATION

This policy and subsequent revisions to this policy shall become effective upon approval, date and signature of the Deputy Chief Executive Officer of HCSD.

V. RESPONSIBILITIES

A. Human Resources must ensure this policy is disseminated and acknowledged. (Attachment A). This attestation may also be obtained through the HCSD on-line training. The acknowledgement shall become part of the employee's human resources file and/or educational training record.

B. An investigation may be initiated as needed by Administration and/or Human Resources.

C. Administration shall ensure investigations are conducted thoroughly and objectively and by appropriate persons.

D. Administration and/or designee shall maintain a detailed record and applicable documents from initiation to completion of the investigation.

E. Confer with appropriate staff for advice and technical assistance.

F. Administration shall initiate disciplinary action, if required, as a result of investigative findings.

G. Employees are required to cooperate in an investigation. This may include participation as a witness; providing details; confirming and/or documenting information; identify other potential witnesses or parties.

Disciplinary action up to and including dismissal may occur where the employee refuses to cooperate and/or violates this policy.

H. HCSD Legal Counsel may provide technical assistance and/or conduct investigation as needed.

I. Employees must ensure that Administration/Hospital Administration have been notified of an investigation prior to participation in an investigation.

VI. STATE OR FEDERAL GOVERNMENT INVESTIGATIONS

When any state or federal government agent arrives to conduct an investigation or who by letter, fax, telephone, or otherwise, announce an intention to initiate an investigation, there are additional responsibilities for Headquarters and Hospital Administration. These added responsibilities also apply to the receipt of legal documents from any state or federal government agency, such as a subpoena or search warrant.

A. Ensure appropriate Administrative staff/Hospital Administrator is notified of a state or federal investigation prior to participation in an investigation.

B. HCSD Legal Counsel will review all search warrants and subpoenas received and provide guidance on complying with the specifications of the document.

Note: This does not include subpoenas of individual medical records call for the purpose of an investigation for which HSD or any of its facilities and their practices are not under investigation.

C. Interact and cooperate with state or federal agents who initiate or conduct an investigation.

D. Arrange for work space for the investigations if necessary.

E. Provide information for a formal response as required.

F. HCSD Legal will formally respond to governmental inquiries once the information is received from all parties involved and the investigation is complete.

G. Maintains a detailed record of applicable documents from initiation to completion of the investigation.

VII. CONSEQUENCES

An employee who refuses to cooperate in an investigation or is found to be in violation of this policy may be subject to disciplinary action up to and including dismissal.

Attachment A

INVESTIGATIONS POLICY

RECEIPT ACKNOWLEDGMENT

I received a copy of the LSU Health Care Services Division Investigations Policy. I agree to comply with the policy, procedures and guidelines as outlined in this policy.

I understand that violation of this policy may result in disciplinary action up to and including termination.

Employee's Name: _____
(Please Print)

Employee's Signature: _____

Date: _____