

**LSU HEALTH CARE SERVICES DIVISION
BATON ROUGE, LOUISIANA**

POLICY NUMBER: 4528-21

CATEGORY: Human Resources

CONTENT: Investigations Policy

APPLICABILITY: This policy applies to all employees of the LSU Health Care Services Division Administration (HCSDA) and Lallie Kemp Medical Center (LKMC) including classified, unclassified, students, and any other persons having an employment relationship with the Health Care Services Division (HCSD), regardless of appointment type.

EFFECTIVE DATE: April 17, 2000
Revised: January 11, 2006
Reviewed: November 20, 2008
Revised/Reviewed: November 16, 2009
Reviewed: October 19, 2010
Reviewed: October 19, 2011
Reviewed: March 31, 2014
Reviewed: February 6, 2015
Reviewed: March 17, 2017
Reviewed: December 18, 2018
Reviewed: November 14, 2019
Reviewed: June 2, 2020
Reviewed: August 23, 2021

INQUIRIES TO: Human Resources Administration
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Note: Approval signatures/titles are on the last page

INVESTIGATIONS POLICY

I. POLICY STATEMENT

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

Note: Any reference herein to Health Care Services Division (HCSO) also applies and pertains to Lallie Kemp Medical Center (LKMC).

II. PURPOSE

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

III. IMPLEMENTATION

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

IV. RESPONSIBILITIES

- A. Human Resources must ensure this policy is disseminated and acknowledged. (Attachment A). This attestation may also be obtained through the HCSO 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 person(s).
- D. Administration and/or designee shall maintain a detailed record and applicable documents from initiation to completion of the investigation.
- E. Administration and/or designee shall 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 HCSD Administration/Hospital Administration have been notified of an investigation prior to participation in an investigation.

V. **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 HCSD Administration 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 are 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 for the purpose of an investigation for which HCSD 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.

VI. 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.

**INVESTIGATIONS POLICY
RECEIPT ACKNOWLEDGMENT**

NOTE: If you are completing the review of the Investigations Policy as a lesson assignment through the on-line training system, WILMA, you DO NOT need to print acknowledgement form, complete/sign, or submit to Human Resources. You will complete an attestation at the end of the WILMA lesson designated as the Test.

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: _____

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