COMPLAINT INVESTIGATION REPORT

COMPLAINT CONTROL NUMBER _____

This is an official report of an unannounced visit/investigation of a complaint received in our office on_____and conducted by Evaluator _____

FACILITY NAME	FACILITY NO.	FACILITY TYPE	FACILITY REPRESENTATIVE	
ADDRESS		TELEPHONE	CAPACITY	CENSUS
☐ PUBLIC ☐ CONFIDENTIAL	MET WITH	TIME IN	TODAY'S DATE	

ALLEGATION(S):

INVESTIGATION FINDINGS:

☐ Substantiated ☐ Unsubstantiated ☐ Unfounded ☐ Needs Further Investigation
Estimated Days of Completion _____

USE LIC 809 FOR ALL CITATIONS

LICENSING ANALYST SIGNATURE	TIME OUT	TELEPHONE ( )	I acknowledge receipt of this form and understand my appeal rights as explained on the back of this form.	
NAME OF SUPERVISOR		TELEPHONE ( )	SIGNATURE	DATE

Distribution: Original: Agency Duplicate: Facility

COMPLAINT INVESTIGATION REPORT - California law requires an investigation be made within 10 days from receipt of a complaint. This report is a licensing record for the facility and the licensing agency. Based on the allegation(s) and investigation finding(s), this report may be public or confidential. Therefore, care must be taken not to disclose personal or confidential information on a public document. Inquiries concerning the location, maintenance and contents of these reports may be directed to the evaluator or office whose address and telephone number are listed on the front.

RESOLUTIONS - When the investigation ends, one of the following resolution codes are checked by the evaluator:

Substantiated: - A finding that the complaint is **substantiated** means that the allegation is valid because the preponderance of the evidence standard has been met.

Unsubstantiated: - A finding that the complaint is **unsubstantiated** means that although the allegation may have happened or is valid, there is not a preponderance of the evidence to prove that the alleged violation occurred.

Unfounded: - A finding that the complaint is **unfounded** means that the allegation of abuse is false, could not have happened, and/or is without a reasonable basis.

Needs Further Investigation - A complaint allegation in which a determination cannot be reached at the conclusion of the facility visit. A follow-up visit to conclude the investigation will be made within the specified days of completion.

DEFICIENCIES - Deficiencies are noncompliance with licensing law or regulations. Licensees must be notified in writing of all licensing deficiencies. Deficiencies may be identified on the left side of this form with a code reference to identify the section of statute or Title 22, California Code of Regulations, upon which the deficiency is based. There are three types of deficiencies:

- Type A deficiencies are violations of the regulations and the Health and Safety Code, that if not corrected, have a direct and immediate risk to the health, safety or personal rights of clients in care.
- Type B deficiencies are violations of the regulations and the Health and Safety Code that, without correction, could become a risk to the health, safety or personal rights of clients, or a recordkeeping violation that would impact the care of clients and/or protection of their resources, or a violation that would impact those services required to meet clients' needs.
- Type C deficiencies are violations of the regulations that do not present an immediate (Type A) or potential (Type B) negative impact to the health, safety or personal rights of clients in care and where the licensee is in substantial compliance in degree, frequency and intent.

PLANS OF CORRECTION (POC) - Licensing laws require the licensing agency to establish the time for correction. In order to set time the licensing agency must take into consideration the seriousness of the violation, the number of clients involved and the availability of equipment and personnel. Applicants/licensees are requested to provide a specific plan for each violation on the right side of the form across from each deficiency. The more specific the plan, the less chance exists for any misunderstanding in setting time limits and reviewing corrections. The licensee who encounters problems beyond his/her control in completing the corrections within the specified time frame may be granted an extension of the correction due date by the licensing agency.

CORRECTION NOTIFICATION - The applicant/licensee is responsible for completing all corrections and promptly notifying the licensing agency of corrections. Applicants/licensees are advised to keep a dated copy of any letters sent to the licensing agency concerning corrections, or if corrections are telephoned to the licensing agency, the date, person contacted, and information given.

CIVIL PENALTIES - When a deficiency exists, licensing agencies are required by law and regulation to issue a Penalty Notice to all facilities holding a community care facility license except certified family homes, foster family homes, or any governmental entity.

PENALTY NOTICE GIVEN - A statement concerning civil penalties serves as a penalty notice on this Licensing Report and failure to correct cited licensing deficiencies will result in civil penalties. Licensees are required to pay civil penalties if deficiencies are not corrected within the established plan of correction date. The penalty notice information on this form must include the regulation violated, when the deficiency must be corrected, whether the deficiency is serious and the amount of the penalty if not corrected.

APPEAL RIGHTS - The applicant/licensee has a right without prejudice to discuss any disagreement in this report with the licensing agency concerning the proper application of licensing laws and regulations. When civil penalties are involved, the licensee may request a formal review by the licensing agency to amend, extend the due date, or to dismiss the penalty. Requests for civil penalty review shall be made in writing within 15 business days of receipt of a finding of deficiency or notice of civil penalty assessment. Licensing deficiencies may be appealed pursuant to the procedures in the LIC 9058 Applicant/Licensee Rights.

AGENCY REVIEW - The licensing agency review of an appeal may be conducted based upon information provided by letter or telephone call. The applicant/licensee may request an office interview to provide additional information. The applicant/licensee will be notified promptly in writing of the results of the agency review.