

LPA Checklist for Complaint Review

Use prior to submitting complaint to LPM for approval and attach to complaint.

Facility Name:	LPA Name:
Facility Number:	Did IB investigate? <input type="checkbox"/> Yes <input type="checkbox"/> No
Date Complaint Received:	

#	Y/IB/NA	Checklist
Planning and Conducting the Investigation		
1.		Did you make pre-investigation contact with the complainant?
2.		Did you review the facility file for relevant background information?
3.		Were all appropriate referrals and/or cross-reports made (and if not, have you made them)?
4.		Did you develop an investigative plan that addresses each allegation, including approach for evaluating the allegation, who to interview, what records to request, etc.?
5.		Did you schedule and spend adequate time to conduct a substantive initial visit?
6.		Did you interview all identified witnesses, victims, licensee and/or other related parties (and/or if not, did you document the reasons why they were not interviewed)?
7.		Did you identify by name all of the individuals that you interviewed in either your LIC 812s or LIC 811s?
8.		Did you document each interview's findings onto LIC 812s within 3 days of the interview?
9.		Did you request and obtain copies of all relevant documentation or reports (and/or if not, did you document the reasons they were not obtained)?
10.		Have you prepared an LIC 812 to record the receipt of all documents that you obtained? Does your LIC 812 explain what evidence you found in these documents?
11.		Have you documented any other relevant evidence in LIC 812s (your own observations, photos, etc.)?
12.		Have you apprised your LPM of serious concerns or health and safety issues identified through investigation?
Determination of Findings and Follow Up		
13.		Did you review and consider all evidence for each allegation? (If IB conducted the investigation, did you review the entire IB report for evidence regarding each allegation?)
14.		Does the documented evidence support the finding for each allegation?
15.		Have you evaluated whether there are gaps in your investigation that might change the finding?
16.		Did you complete any further investigation that you discovered was needed?
17.		Were all other violations found during the course of the investigation cited on a case management report? (Including as identified in an IB report.)
18.		Were all violations given plans of correction that are measurable and verifiable by a specific date?
19.		Will all plans of correction address/correct the non-compliance?
Finalization		
20.		Do the LIC 9099s/9099Ds address all of the required elements? (See "Required Elements of a Complaint Report (LIC 9099/9099D)" checklist)
21.		Did you deliver or send the findings and all related licensing reports to the licensee?

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22.		Have you contacted the complainant with the results of the findings? (Note: Notification must be sent within ten business days if a Residential Care Facility for the Elderly was the subject of the complaint)
23.		Are all of the allegations listed on the front page of the LIC 802?
24.		Were findings for each allegation indicated on the front page of the LIC 802?
25.		Have you indicated the correct allegation code for each allegation on the front page of the LIC 802?
26.		Did you list the contacts, reports, and other related visits or forms on the back page of the LIC 802?
27.		Have you recorded both pre-investigation and post-investigation contact with the complainant on the LIC 802?
28.		Did you provide any warranted follow-up comments on the LIC 802? (i.e. the complaint resulted in a non-compliance conference, legal consultation is needed, or an office visit will be scheduled to discuss this incident.)
29.		Have confirmed that your complaint package is proofread and complete prior to submitting to LPM per your office protocol?
30.		Are all your FAS reports signed and final printed? (If a co-worker completed an LIC 812 for your case remind him/her to sign and record it.)
31.		Have you linked all documents (LIC 812s, LIC 811, and LIC 9099s/9099Ds) to the LIC 802 in FAS?
32.		Did you submit the complaint for approval to your LPM electronically?