

CCRSS Complaint Investigation

STAFF'S NAME	DATE OF HIRE	PEER COACH'S NAME	HEADQUARTERS		
ON-SITE VISIT DATE(S) (MM/DD/YYYY)		PROVIDER'S NAME			
<p>Expectation: It is expected that the new staff member would have participated in the RCS Orientation and be performing at an independent level at the complaint investigation process.</p> <p>Key Elements:</p> <ul style="list-style-type: none"> Peer Coach (PC) <p>Place appropriate observed code next to each critical element. When appropriate, the Peer Coach should describe in the "notes sections" the event that led to the coding within the section and identify and add specific opportunities for growth in needed areas.</p>					
Progress Level Key:					
PROGRESS LEVEL	CODE	DESCRIPTION			
Observation Only	O	Observed investigation; did not perform any tasks or elements.			
Demonstrated with Coaching	DC	Required the availability of the PC to provide <u>directed</u> assistance and <u>identify</u> areas for improvement.			
Demonstrated with Minimal Coaching	D	Required the availability of the PC to answer questions and give minimal direction.			
Performed Independently	I	Performed the investigation tasks and elements independently.			
Not applicable	NA	Element has previously been performed at the independent level or was not attempted.			
1. Off-site Preparation					
The purpose of the offsite preparation is to obtain as much information about the complaint before beginning to plan the investigation.					
Staff Member Preparation:					
<ul style="list-style-type: none"> Review the Complaint Process for CCRSS. 					
Objectives / Critical Elements:					
O DC D I NA					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reviewed the complaint and identified the preliminary issues and priority classification of the complaint.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Coordinated onsite visits with the APS investigator whenever deemed appropriate and possible.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Contacted the complainant and verified the issues in the written complaint. Three attempts were made to contact complainant.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identified the practical methods of obtaining information i.e. interviews with specific individuals, specific logs etc.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reviewed previous complaints to identify possible trends or repeat issues.
NOTES					

2. Developing an Investigative Plan

The purpose of this task is to prepare for the investigation prior to initiation.

Objectives / Critical Elements:

O DC D I NA

- Developed an investigative plan to include: focused interview questions, plans for protecting the confidentiality of the complainant and persons identified in the complaint, and preliminary regulations which could potentially be cited.
- Determined if local law enforcement or other entities should be contacted to coordinate investigative activities or notified prior to onsite investigation.
- Identified other appropriate issues requiring investigation.

NOTES

3. Conducting the Investigation

The purpose of this task is to collect information related to the complaint so a determination of compliance can be made.

Objectives / Critical Elements:

O DC D I NA

- Initiated the investigation with an unannounced on-site visit to the alleged victim's home within the priority timeframe. An attempt was made to conduct the onsite visit at the time or day of the week the issue was most likely to occur, when the alleged perpetrator may be working, or when there might be inadequate staff to meet client needs.
- Identified self as a DSHS Investigator and explained a general purpose of the visit.
- Identified the clients involved in the complaint. Identified other clients who may have the same issues and concerns. Maintained confidentiality of all components in the complaint. CRU form was not brought into the home.
- Performed and documented appropriate observations, interviews and record reviews of AV, other clients, staff and home. Focused on the issue(s) in order to verify the allegation(s) within the complaint.
- If the client was unavailable at the time of complaint initiation, two additional attempts were made to interview the client.
- Continued the investigation with an on-site visit to the provider's office. Documented questions and answers from each interview.
- Protected identity of the alleged victim and complainant by expanding the sample or looking at more than one area of concern in the home.
- Conducted focused information gathering and/or closed record reviews for other clients at risk for the issue as appropriate.
- Informed the staff or administrator you were leaving, explained the next step, provided an approximate timeline, and informed the administrator they will be contacted with a final determination.
- Contacted the APS investigator and/or DDA Case Manager for issues and concerns if needed.

NOTES

4. Off-site Activities and Final Determination

The purpose of off-site activities and final determination is to continue to collect facts related to the investigation and determine whether or not there was failed facility practice.

Objectives / Critical Elements:

O DC D I NA

- Identified and contacted other individuals who may provide information necessary to make a determination of compliance.
- Reviewed and analyzed all data pertinent to the complaint and determined if there is failed provider practice.
- Coordinated enforcement recommendations with the Field Manager.
- Telephoned the administrator to summarize findings and identify deficiencies.
- Called the complainants / mandated reporter to summarize findings and inform them an ISR will follow if one was requested.
- Made necessary referrals to other entities.

NOTES

5. Report Writing

The purpose of the Statement of Deficiencies (SOD) is to provide written verification and documentation using the prescribed methods in Principles of Documentation (POD), for the public, the home and the clients and as a permanent record for the state enforcement and certification.

Objectives / Critical Elements:

O DC D I NA

- Clearly identified the issues and concerns about the client's care and services.
- If the provider was found to have deficient practice the SOD was written following the Principles of Documentation for Community Programs. The SOD was clear, concise and within the required timeframes for Certified Community Residential Services and Supports. Editing was performed using the review tool.
- Entered all information into the TIVA Tracking System.
- The investigation summary report (ISR) was written within the guidelines for complaint summaries.
- Ensured that proper records of deficiencies, events, processes and agreements were maintained under guidelines established for retention of records. Working papers were completed, compiled, and forwarded to the administrative assistant.

NOTES

6. Professional Manner

Check all that apply. Peer Coach may add other descriptors in the "other" box.

- | | |
|--|--|
| <input type="checkbox"/> Projects and promotes a positive image / attitude / working relationship | <input type="checkbox"/> Punctual |
| <input type="checkbox"/> Identifies areas of improvement and responds favorably to suggested actions for improvement | <input type="checkbox"/> Focuses on relevant and essential issues |
| <input type="checkbox"/> Stern | <input type="checkbox"/> Unsure / hesitant / indecisive |
| <input type="checkbox"/> Challenging | <input type="checkbox"/> Applies new concepts and techniques effectively |
| <input type="checkbox"/> Communicates effectively | <input type="checkbox"/> Strident |
| <input type="checkbox"/> Forceful / argumentative | <input type="checkbox"/> Condescending |
| <input type="checkbox"/> Tactful | <input type="checkbox"/> Assertive |
| <input type="checkbox"/> Other: | |

NOTES

- Staff Member brought the appropriate state statutes and regulations on inspection.
- Staff used the appropriate RCS approved forms.
- Goals for improvement:

PEER COACH'S SIGNATURE

DATE

STAFF MEMBER'S SIGNATURE

DATE

FIELD MANAGER'S SIGNATURE

DATE