

Monitoring Appendix H

Complaint Investigations in Child Care Licensing Key Decision Points

Taking the complaint

- ◆ Do you accept complaints over the phone and by email?
- ◆ Who can take the complaint?
- ◆ Are there specialized complaint investigators?
- ◆ What do you do if it's not a violation of licensing requirements?
- ◆ Do you investigate anonymous complaints?
- ◆ Do you screen out any complaints?
- ◆ Are supervisors notified of every complaint?

Planning the investigation

- ◆ Is a site visit always necessary?
- ◆ Is coordination with another entity needed, i.e., CW, law enforcement?
- ◆ Are there other sources of information or additional evidence needed before a site visit is made?
- ◆ Would surveillance provide valuable information?
- ◆ Do you review the prior licensing record?
- ◆ Is it important to visit at a certain time of day?
- ◆ Are there other experts or resources needed?
- ◆ How quickly must the investigation begin?

The site visit

- ◆ Can one person manage the site visit or is a second person advisable?
- ◆ Are there records on-site that should be reviewed?
- ◆ Who should be interviewed?
- ◆ What do you do to help the adult interviewee feel comfortable and more likely to cooperate?
- ◆ Is a written statement requested?

Complaint Investigations in Child Care Licensing

- ◆ Do you need to get parent approval before interviewing a child?
- ◆ Is a full monitoring visit completed at the time of the complaint visit?

The Findings

- ◆ What level of evidence is used to determine the finding?
- ◆ How much do you factor in the prior compliance record in making your determination?
- ◆ Is a licensing finding delayed while waiting for another entity's findings?
- ◆ What role does the supervisor play in determining the findings?
- ◆ Should legal staff be consulted?
- ◆ If confirmed, what action or response is appropriate?
- ◆ Do you contact the complainant with the outcome of the investigation?
- ◆ Do you provide the outcome of the investigation in writing to the provider?
- ◆ When and how much information is shared with the public?

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