

Complaint Investigation Guide

Instructions: Use one or more of attached guides (as appropriate) in order to complete your investigation of complaint. Before you begin your investigation take a moment to gather your thoughts regarding how to proceed.

Before the investigation starts think about and complete the following:

- ☆ Who does the complaint involve/affect? _____
- ☆ How long has issue been going on? _____
- ☆ Has complainant already tried to work with facility staff to resolve issue? _____
 - ★ If so, how? _____
 - ★ Why wasn't issue resolved or complainant satisfied? _____
- ☆ What investigative techniques will you use (see attached forms)? _____
- ☆ What is the resolution that the complainant is hoping for? _____

IF YOU ARE STRUGGLING WITH HOW TO PROCEED WITH YOUR INVESTIGATION MAKE SURE TO CONTACT YOUR COORDINATOR!

Once investigation is completed, complete the following:

- ☆ What is the resolution? _____
- ☆ Is the resident/complainant in agreement and/or satisfied? _____
 - ★ If not, what was the outcome they were hoping for? _____
 - ★ Why was that not the resolution? _____
- ☆ When will follow up be done to check to see if the resolution is lasting? _____

Once follow up is completed, complete the following questions:

- ☆ What date did follow up occur on: _____
- ☆ How did you follow up on resolution? _____
- ☆ Was resolution still in place? _____
 - ★ If not, was it addressed and how? _____

Interview Guide

Instructions: Complete the following questions as appropriate to your investigation.

☆ What is the complaint? _____

☆ Name of person interviewed and title/relation to complainant: _____

☆ Date, time, and location of interview: _____

☆ Who does the complaint involve? _____

☆ When did the issue begin? _____

☆ Was facility already aware of issue? _____

★ What steps (if any) has facility already taken to address issue? _____

☆ Why is the issue occurring/why wasn't it previously resolved? _____

☆ Does the interviewee view the complaint as a fixable problem? _____

★ Why or why not? _____

☆ What does the interviewee suggest as a potential resolution? _____

☆ Were you able to verify the complaint through the interview? _____

☆ Other facts/information learned through interview? _____

Observation Guide

Instructions: Complete the following questions as appropriate to your investigation.

☆ What is the complaint? _____

☆ Date, time, and location of observations: _____

☆ What did you observe using all 5 of your senses?

★ See: _____

★ Hear: _____

★ Smell: _____

★ Feel: _____

★ Taste: _____

☆ Were you able to verify the complaint through your observations? _____

Record Review Guide

Instructions: Complete the following questions as appropriate to your investigation.

- ☆ What is the complaint? _____
- ☆ Have you personally performed a record review (as opposed to facility staff telling you what record says)? _____
- ☆ If so, what documents did you specifically review/look at? (Consider reviewing the state and federal regulations, facility survey results, resident's medical chart and care plan, medication administration record (MAR), facility policies, audits, etc.):

- ☆ What did you learn from the record review? _____

- ☆ Does what you are being told by the complainant/facility staff match what the record states? _____
 - ★ If not, what is the difference? _____

- ☆ Were you able to verify the complaint through record review? _____