

	<p style="text-align: center;">Department of Human Services Online Directives Information System</p>	<p style="text-align: center;">Index: Revised: Next Review:</p>	<p style="text-align: center;">POL1704 4/01/2021 4/01/2024</p>
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SUBJECT: CONDUCTING COMPLAINT AND INCIDENT INVESTIGATIONS

POLICY:

It is the policy of the Residential Child Care Licensing (RCCL) Unit to receive and evaluate complaints and incidents concerning the care and services provided by entities subject to child welfare agency licensure. RCCL conducts two types of investigations:

1. Complaint investigations: Investigations of alleged non-compliance of licensing rules and regulations reported by citizens, RCCL Surveyors, and other state and community agencies.
2. Incident investigations: Investigations of possible non-compliance of licensing rules and regulations resulting from self - reported serious or unusual incidents.

RCCL will investigate those complaints and incidents that, if substantiated, would indicate that a facility or agency is not in compliance with the Rules and Regulations of the Department of Human Services.

A. Authority

- [O.C.G.A. §§ 49-5-8](#)
- [O.C.G.A. §§ 49-5-12](#)

B. References

- RCCL TRAILS
- POL1710 - Prioritizing and Assigning Complaint/Self - Reported Incident Investigations
- RCCL Complaint/Incident Process Flowchart Residential Child Care Licensing Enforcement Actions

C. Applicability

This policy applies to all RCCL Unit Staff.

D. Definitions

1. Allegation: An assertion of improper care against a licensed provider that could result in a deficiency.

2. Complaint: An oral or written report made to RCCL by anyone other than the administrator or authorized official for a provider that alleges noncompliance with State laws and regulations.
3. Investigation: Steps taken by RCCL staff to determine the validity of a report of possible noncompliance with applicable Rules of the Department of Human Service.
4. Self - Reported Incident: A statement, either oral or written, received from an authorized representative of a licensed or certified facility that the facility is required to report by law or regulation to RCCL.
5. Substantiated Allegation: An allegation is substantiated if a preponderance of evidence supporting an assertion of improper care is obtained during an investigation.
6. Inconclusive Allegation: An allegation is inconclusive if an insufficient amount of evidence supporting an assertion of improper care is obtained during an investigation.
7. Unsubstantiated allegation: An allegation is unsubstantiated if little or no evidence supporting an assertion of improper care is obtained during an investigation.

E. Responsibilities

1. The RCCL Director is responsible for monitoring requirements for updating this policy.
2. The RCCL Training and Policy Specialist will update this policy according to state requirements.

F. History

Replaces Conducting Complaint and Incident Investigations POL1704, last reviewed on 4/01/2021.

G. Evaluation

The RCCL Unit Director, Program Director, Surveyor Manager, Intake/Triage Supervisor and RCCL Surveyor Supervisors evaluates this policy when:

1. Conducting monthly data analysis of RCCL reports.
2. Conducting random weekly quality assurance audits of reports received by Triage.
3. Conducting random weekly reviews of intakes assigned for investigations.