



## Corporate Compliance and Grievance Reporting form. PG # 2

**Individual Profile:** *Include diagnoses, medications if relevant to the investigation, functional abilities (verbal, ambulatory, level of supervision required, etc.), maladaptive behaviors, including the existence of a Behavior support plan. Could the individual participate in the investigation? (Able to understand and remember the incident)?*

**Provider Profile:** *Business status (for or not for profit) and scope (in numerous states, number of counties, etc.), primary services provided (residential, day, etc.), the average number of individuals served and their disabilities, description of the site where the incident occurred (if relevant to the incident). If residential or community housing, etc.?*

**People Interviewed:** *Witnesses, including other individuals or staff. List the name and titles of the persons interviewed. Include the date of birth of the person of interest.*

**Summary of Interviews:** *List relevant information obtained in each (separate) interview. Be sure to give information regarding the person interviewed, such as job title, training, relationships, etc., bias or credibility issues, etc.*

**DOCUMENTS REVIEWED:** *As needed: Incident report, individual's records, staff training records/personnel file, timesheets, home logs, agency policies*

**SUMMARY OF DOCUMENTS REVIEWED:**

*Include information from the "Documents Reviewed" section as relevant to the investigation. If this is a death, include any information available from the coroner or others about the possible cause of death. Also include any information about the individual's condition prior to death (medical issues, most recent physical exams, follow-up appointments). If suicide, were suicide risk assessments done? Note: death is NOT an allegation and should not be "substantiated."*

**CONCLUSIONS:**

*Do the findings substantiate or not substantiate the reported allegation/incident? Against whom? (List each allegation or problem area, and then respond to each separately) Could the allegation/incident be substantiated, but the cause remains undetermined? Did staff respond to the incident in a timely and appropriate manner? Did staff follow established procedures when responding to the incident?*

**RECOMMENDATIONS:**

*What actions can be taken by the provider to make corrections and prevent recurrence?*

**Investigated By:**

\_\_\_\_\_  
**Name/Title**

\_\_\_\_\_  
**Date**

**ATTACHMENTS: (if applicable)** *Witness statements, Interview statements*

*Agency policies & procedures (specifically related to the investigation and needed for explanation of the investigative findings) Photographs, Graphs, charts, maps*

**Upon the completion of this report, the Corporate Compliance Officer will inform the Chief Operating Officer of the completion of the initial meeting, and the Chief Executive Officer will forward a copy of the report to the organization's attorney.**