



# Wisconsin Child Care Regulatory System (WISCCRS)

## User Guide

### Complaints / Incidents

**July 2021**

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## Complaints/Incidents

The regulatory agencies are required by law **and/or administrative code** to investigate complaints filed against child care providers. This module gives step-by-step instructions on how to enter a complaint or **self-report** and follow-up investigations into WISCCRS.

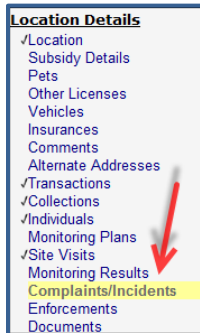
## **Incident/Injury Reporting**

Incidents that result in a child needing medical attention must be reported by the provider to the regulatory agency.

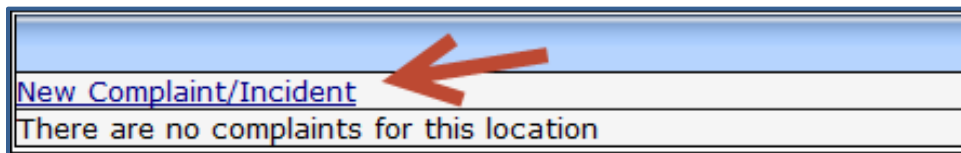
This module gives step-by-step instructions on how to enter an incident and any follow-up investigations, if needed, into WISCCRS.

# Intake

To enter a new complaint/incident, search the provider/facility and click the Complaints/Incidents link in the left-side navigation menu.



Then click the New Complaint/Incident link.



On the New Complaint/Incident screen you can enter details about the complaint/incident:

A screenshot of the "New Complaint/Incident" form. The form contains the following fields and options:

- Regulation Type \***: License (dropdown)
- Incident Type \***: Self Report (dropdown)
- Received Date \***: 3/23/2021 (calendar icon)
- Received by \***: Licensor - Sro, Lars (dropdown)
- Requires Immediate Attention:
- Status \***: Assigned (dropdown)
- Date of Occurrence**: 3/22/2021 (calendar icon)
- Time of Occurrence**: 2:15 PM (clock icon)
- Receipt Method \***: Email (dropdown)
- Assigned Date**: (calendar icon)
- Assigned To**: (dropdown)
- Notify Complainant:
- Child(ren) Injured?**: Yes (dropdown)
- Medical Attention Needed?**: Yes (dropdown)
- Date Complainant Notified**: (calendar icon)
- Date Applicant/Licensee Notified**: (calendar icon)
- Allegations/Incident Description \***: Enter notes about the self-report. (text area)

Below are explanations on the fields for the upper portion of the New Complaint/Incident screen:

• Field	• Description
• Regulation Type	• If you have licensing update access, you will see License or Unregulated as the value. If you have certification update access, you will see Certification as the value.
• Incident Type	• Values are: 1. <b>Complaint:</b> Use this to record a complaint filed against a provider/center. 2. <b>Self-report:</b> Use this value to record an injury/incident reported by the provider/center.
• Received Date	• Enter the date the agency received the complaint/incident.
• Received By	• Enter the name of the person who completed the intake.
• Requires Immediate Attention	• Click the check box if the complaint/incident requires immediate attention and should be investigated immediately. This is used when the complaint/incident suggests imminent danger to the health, safety and welfare of the children in care.
• Status	• You may change the status to Assigned at the time of the intake data entry or choose Pending. NOTE: The system requires the complaint/incident to be in In Progress status before the investigation details can be entered.
• Date of Occurrence	• Enter the date the incident occurred. This is not a mandatory field because certain concerns that are reported by complainant/provider might be ongoing or the complainant/provider cannot pinpoint a date.
• Time of Occurrence	• Enter the time the incident occurred. This is not a mandatory field because certain concerns reported by a complainant/provider might be ongoing or the complainant/provider cannot pinpoint a specific time.
• Receipt Method	• Choose the value that best describes the method the complaint/incident was reported to the regulatory agency.
• Assigned Date	• Enter the date the complaint/incident was assigned to the worker who will be investigating it.
• Assigned To	• Choose the worker who will be investigating the complaint/incident, if known. If you don't know to whom the complaint will be assigned when doing the initial complaint intake, then leave that section blank and that information can be added later.
• Notify Complainant	• Indicate if the complainant wishes to receive results of the complaint investigation.
• Child(ren) Injured?	• Indicate if the child(ren) were injured as a result of the incident. If the Yes checkbox is clicked, the Tags section opens so further details can be entered about the incident. The tags are mandatory when a child was injured.
• Medical Attention Needed?	• Check if the injured child needed medical attention. If the Yes checkbox is clicked, the Tags section opens so further details can be entered about the incident. The tags are mandatory when a child needed medical attention.
• Date Complaint Notified	• If the complainant wishes to be notified, enter the date the complainant was notified of the results of the complaint investigation.
• Date Applicant / Licensee Notified	• Enter the date the provider/licensee was notified about the results of the complaint.
• Allegations/Incident Description	• Enter the concerns reported. This field cannot be deleted or modified. If changes are needed, the worker must delete the entire complaint intake.
• Tags	• If Child(ren) Injured and/or Medical Attention Needed is marked Yes on the intake, a Tag section appears where more detail about the incident can be collected. See below for more information on Tags.

## Tags

If Child(ren) Injured or Medical Attention Needed is checked on the Intake screen, a Tags section will display on the lower portion of the screen where the agency must enter more detail about the injury:

- **Location:** The following tags are available:
  - Indoors
  - Other Location
  - Outdoors
  - Vehicle
- **Cause:** The following tags are available:
  - Fall/Trip/Slip/Pinch
  - Incident but no injury (medication error/illness)
  - Other Cause
  - Struck by or against object or person
- **Result:** The following tags are available:
  - Bump/Bruise/Concussion
  - Cut/Scrape/Scratch/Open wound
  - Death
  - Fracture/Strain/Sprain
  - Other Result
- **Severity:** The following tags are available:
  - Not Serious
  - Serious
  - Unknown (If unknown is selected at time of intake, the tag will have to be changed to Serious or Not Serious before the complaint or self-report can be closed.)

**Note:** Use the following definition of “serious injury” for the Severity tag:

For the purposes of child care regulation, the Department has expanded the definition of “serious injury” beyond that which is contained in §48.981, Wis. Stats. A “serious injury” is:

- a. Death or substantial risk of death,
- b. A broken or fractured bone,
- c. A concussion,
- d. Any other injury that requires medical treatment from a physician, dentist, registered nurse, licensed practical nurse, paramedic, physician assistant, or emergency medical technician.

Example: The screen print below shows an incident where a child fell off the play equipment at a playground that caused an open wound:

- Location: Outdoors
- Cause: Fall/Trip/Slip/Pinch
- Result: Cut/Scrape/Scratch/Open wound
- Severity: Unknown

Tags

Outdoors   Fall/Trip/Slip/Pinch   Cut/Scrape/Scratch/Open wound   Unknown

Location   Cause   Result   Severity

Not Serious   Serious   Unknown

If you need to delete a tag, click on the garbage can icon next to the tag name.

Once the tags have been added, click on the + sign under Complainant and the tags will display.

Complaints/Incidents							
<a href="#">New Complaint/Incident</a>							
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To	Complainant
License	Self Report	2000506735	03/23/21	Assigned		Licensor - Sro, Lars	
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints(0)</a>							
<input type="checkbox"/> Tags & Violations		<b>Tags:</b> Cut/Scrape/Scratch/Open wound    Fall/Trip/Slip/Pinch    Outdoors    Unknown					

## Complainant Information

The lower portion of the screen captures information on the complainant (person who reported the allegations or provider’s self-report). If the complainant states their name in an email or letter and wants to remain anonymous, inform them the regulatory agency will attempt to keep confidential during the investigation. However, if there is an open records request, the regulatory agency may or may not release the name of the complainant, depending on the circumstances. Wisconsin’s Public Records Law, Wis. Stat. 19.31 – 19.39, requires governmental agencies to release records to the requester, subject to other confidentiality laws and after applying the balancing test contained in the law. In some circumstances, the regulatory agency may decide not to release the name of the requester.

Below are explanations of the screen above.




Field	Description
First and Last Name	Enter the first and last name of the person who reported the complaint/incident.
Source	From the pull-down menu, choose value that best describes the source of the complaint. If the incident was self-reported by the provider/center, choose self-report.
Address, Phone, Email	Enter the address of the complainant if known.
Comments	Enter comments pertaining to the complainant if applicable.



## Assigning a Complaint/Incident to a Certification/Licensing Specialist

If the complaint/incident wasn't assigned **to a Certification/Licensing Specialist** at the time of the intake, it can be assigned by taking the following steps:

1. After the intake has been entered into WISCCRS, the complaint/incident should be assigned to a worker. To do this, on the main Complaint/Incident screen, click on modify (pencil) icon to access the Modify screen.

Complaints/Incidents										
New Complaint/Incident										
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To	Complainant	Updated Date	Requires Immediate Attention	
Certification	Complaint	2000505673	01/15/15	Pending				03/16/15	No	  
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints/Incidents(0)</a>										

2. On the Modify screen, change the values below.

### Modify Complaint/Incident

**Regulation Type \*** License

**Incident Type \*** Self Report

**Received Date \*** 3/23/2021

**Received by \*** Licensor - Sro, Lars

Requires Immediate Attention

**Status \*** Assigned

Date of Occurrence 3/22/2021

Time of Occurrence 2:15 PM

**Receipt Method \*** Email

Assigned Date 3/23/2021

Assigned To Licensor - Sro, Lars

Notify Complainant

Child(ren) Injured? Yes

Medical Attention Needed? Yes

Date Complainant Notified




Date Applicant/Licensee Notified

Closed Date

## Referring a Complaint/Incident to Another Agency

Sometimes a complaint/incident involves an issue that is within the jurisdiction of certification or licensing but also falls under the regulatory authority of another agency. For example, if Licensing receives a complaint that also alleges potential abuse or neglect of a child, then the complaint would be referred to the local CPS agency so they can complete their portion of the investigation prior to Licensing completing their investigation of the allegation.

To enter referral information into WISCCRS, click the Referral link on the main Complaint/Incident screen.

Complaints									
New Complaint									
Complaint Type	Complaint Received Date	Complaint Status	Complaint Results	Date of Occurrence	Assigned To	Complainant	Updated Date	Requires Immediate Attention	
License	11/05/12	Assigned			Jason Ocd Bierbrauer	andy anonymous	11/09/12	No	  
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints(0)</a>									

The Referral link takes you to the List Referrals screen. Click the New Referral link to add information.

<b>Provider #</b> 1800039441	<b>Name</b> Mary's Marvelous Kids
<b>Location # / Facility ID</b> 002 / 1122364	<b>Applicant #</b> 1800074411
<b>Facility Address</b> 123 Side St Anytown, WI 45454	<b>Facility Name</b> Mary's Day Camp
<b>Complaint ID</b> 2000041901	<b>Received Date</b> 4/15/2011
<b>Assigned To</b> Lena Licensor	<b>Status</b> Assigned
<b>Complaint ID</b> 2000041901	<b>Complaint Source</b> Anonymous
<b>Complainant First Name</b> andy	<b>Complainant Last Name</b> anonymous
<b>New Referral</b>	
<b>Referred To *</b>	Food Program
<b>Referral Reason *</b>	Provider participates in the CACFP. The complainant alleges that the children are not receiving nutrition per CACFP guidelines.
	128 of 1500 characters.
<b>Sent Date</b>	4/19/2011
<b>Response Received Date</b>	
<b>Response</b>	

The table below explains the fields in the screen print above.

Field	Description
Referred To	<ul style="list-style-type: none"> <li>The pull-down menu has the following values:</li> <li><b>County – Certification:</b> Used by licensing when the complaint/incident is referred to a certification agency.</li> <li><b>County – CPS:</b> Use this when the complaint/incident includes child abuse/neglect related allegations and the complaint/incident is referred to the CPS unit for investigation.</li> <li><b>DCF Regional Office – Licensing:</b> Used by certifying agencies when a complaint/incident is referred to licensing.</li> <li><b>Food Program:</b> Use this when the complaint/incident includes information that might violate the Child and Adult Care Food Program (CACFP) rules for a provider who is participating in the food program.</li> <li><b>Fraud Unit:</b> Use this if there are indications that the provider might be violating subsidy rules.</li> <li><b>Law Enforcement:</b> Use this when the complaint/self-report includes information that might be of criminal nature.</li> <li><b>Other:</b> Use this when the complaint/incident is not described by one of the other options on the list.</li> <li><b>School Board:</b> Use this when the complaint/incident is referred to a school board for a public school/license exempt program.</li> </ul>
Referral Reason	Write a summary why the referral was necessary.
Sent Date	Enter the date when the referral was sent to the other agency.
Response Received Date	Enter date the regulatory agency received a response from the other agency.
Response	Write a brief summary of the response.

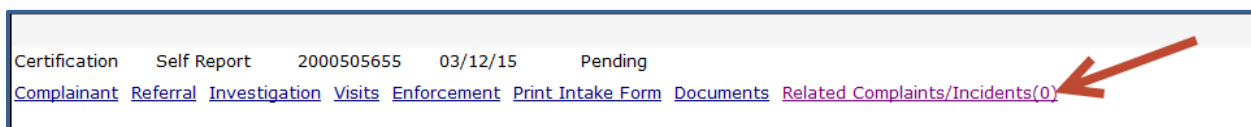
NOTE: The system does not send the referral in an electronic format. The agency must contact the agency by phone, email, or fax. The Complaint/Incident Intake is generated in PDF format and can easily be emailed to another agency.

## Related Complaints/Incidents

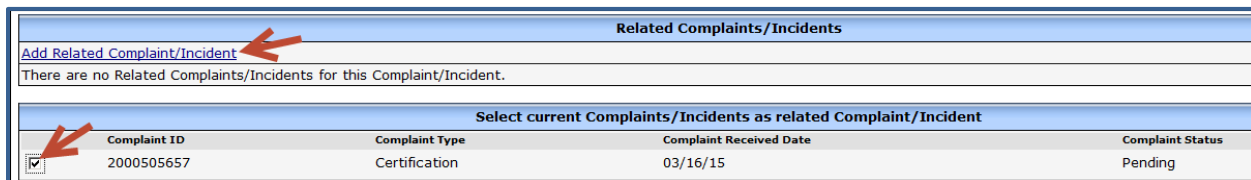
A related complaint has to be exactly identical to the first complaint. For example, a parent complains about taking the child out in very cold weather, and another complainant calls regarding the same thing but adds that her child fell outside and cut his lip. These are to be entered as two separate complaints and not related.

Agencies may receive several complaints against one provider/center about the same concern(s). This could also be a combination of a complaint and a self-report. Example: A complaint is received against a center, but the director of the center also reports the same incident that caused the complainant to call the regulatory agency.

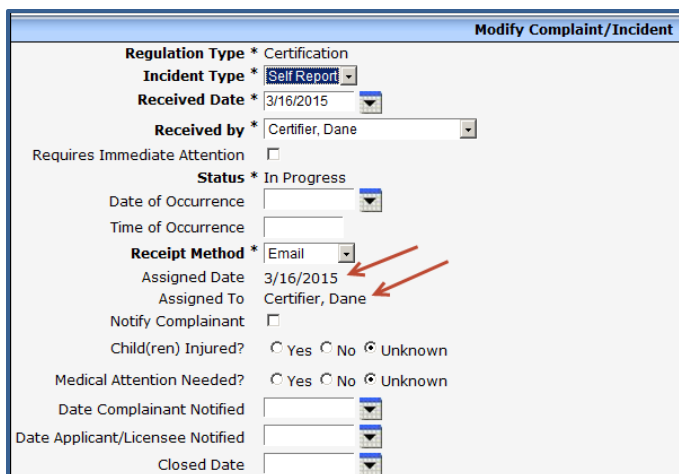
Related complaints/incidents can be entered and attached to the primary complaint/incident record. To enter a related complaint/incident, click the Related Complaints/Incidents link on the main screen. On the following screen, click Add Related Complaint/Incident. NOTE: The primary complaint/incident record must be in Assigned or In Progress status before the related complaint/incident can be attached to it. The complaint/incident that will be attached to the primary complaint/incident must be in Pending status.



The following page either shows an 'Add Related Complaint/Incident' link that can be used to add a related complaint/incident or, if the second record has already been added to WISCCRS, the page will show that record. The previously entered record can be attached by clicking the checkbox.



The New Related Complaint/Incident screen is almost identical to the New Complaint/Incident screen, except that the Assigned Date and Assigned To will be automatically populated if the primary complaint/incident has been assigned.



After the related complaint/incident has been entered, the main Complaint/Incident screen indicates that there is a related complaint/incident. See the screen print below.

Complaints/Incidents						
<a href="#">New Complaint/Incident</a>						
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To
Certification	Self Report	2000505655	03/12/15	Assigned		Certifier, Dane
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints/Incidents(1)</a>						

The related complaint/incident record does not have a separate record for investigations. All investigation details for both the primary and related complaint/incident(s) are entered under the primary record. See the Complaint/Incident Investigation section for further details on how to enter the investigation.

The related complaints/incidents also do not have the Visit, Enforcement, Referral and Documents links because these would be entered under the primary complaint/incident record. Below is a screen print of a complaint that has a related self-report attached.

Related Complaints/Incidents			
<a href="#">Add Related Complaint/Incident</a>			
Regulation Type	Incident Type	Complaint Received Date	Complaint Status
Certification	Self Report	03/16/15	Assigned
<a href="#">Complainant</a> <a href="#">Print Intake Form</a>			

NOTE: Once the complaint/incident has been attached as a related complaint/incident, it cannot be unattached. To undo the related complaint/incident, delete the related intake.

## Print Intake Form

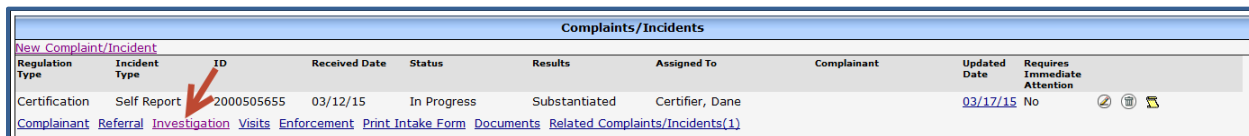
Once the intake is complete, an Intake form can be generated by the system in PDF format. To access the form, click the Print Intake Form on the main Complaint/Incident screen.

Complaints							
<a href="#">New Complaint</a>							
Complaint Type	Complaint Received Date	Complaint Status	Complaint Results	Date of Occurrence	Assigned To	Complainant	Updated Date
License	11/05/12	Assigned			Jason Ocdbierbrauer	andy anonymous	11/09/12
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints(0)</a>							

# Complaint/Incident Investigation

An investigation record must be entered even for self-reports that may not require a formal investigation or investigation narratives.

Before starting the investigation record in WISCCRS, first access the Modify Complaint/Incident screen to change the status of the complaint/incident to In Progress. To access the Investigation screen, click the Investigation link from the main screen and then the New Investigation link.



Below is a screen print of the New Investigation screen.

Below are explanations of the fields on the screen above.

Field	Description
Investigation Start Date	Enter the date the complaint/incident investigation started.
Investigation End Date	Enter the date the complaint/incident investigation was closed.
Investigation Results	<ul style="list-style-type: none"> <li>Choose the best option from the pull-down menu:                             <ul style="list-style-type: none"> <li><b>N/A – Self-report:</b> Choose to close an investigation on a self-reported incident.</li> <li><b>Substantiated:</b> Choose if any of the alleged rule violations were substantiated</li> <li><b>Unsubstantiated:</b> Choose if none of the alleged rule violations were substantiated.</li> </ul> </li> </ul>
CPS Investigation?	<ul style="list-style-type: none"> <li>Enter Yes if CPS was involved in the investigation of the incident.</li> <li>Enter No if CPS was not involved in the investigation of the incident.</li> <li>Enter Unknown if it is unknown if CPS was involved.</li> <li>Enter Screen Out If the incident did not rise to the level requiring an investigation.</li> </ul>
CPS Investigation Results	<ul style="list-style-type: none"> <li>The options are:                             <ul style="list-style-type: none"> <li><b>Substantiated – Other:</b> Choose this option if the CPS investigation resulted in substantiation of maltreatment/neglect that did NOT involve the provider/center.</li> <li><b>Substantiated – While in Care:</b> Choose this option if the CPS investigation resulted in substantiation of maltreatment/neglect while the child was under supervision of the provider/center.</li> <li><b>Unsubstantiated:</b> Choose this option if the CPS case was not substantiated.</li> </ul> </li> </ul>

• Field	• Description
• Narrative Type	<ul style="list-style-type: none"> <li>Choose one of the values from the pull-down menu. A complaint/incident can only have one investigation record but can have an unlimited number of Narrative entries with up to 3,500 characters each. The system automatically inserts each narrative into the Investigation Report.</li> <li>Note: Narratives may not be required for self-reports that did not require a formal investigation.</li> </ul> <p><b>Narrative Types:</b></p> <ol style="list-style-type: none"> <li><b>Alleged Statutory and Rule Violations:</b> List the alleged statutory and rule violations including the rule number and rule summary statement. If alleged and substantiated violations are attached to the complaint, this section can be left blank. See Attaching Violations to a Complaint section for further details. If the allegation is referred to another agency, note it here.</li> <li><b>Methods Used to Conduct the Investigation:</b> Under this narrative, identify the date the investigation began, the dates of the onsite visits, the dates of collateral contacts, persons interviewed, records and documents reviewed, and any other activity carried out to complete the investigation.</li> <li><b>Description of the Investigative Findings:</b> This narrative should specify the facts determined in the course of the investigation related to alleged statutory/rule violations, which should be cited by rule number. If applicable, this section contains reference to the findings or any other involved agencies (e.g., county child protective services).</li> <li><b>Conclusions, Recommendations and Actions:</b> This section should objectively summarize the conclusions of the investigation and indicate whether each complaint allegation is substantiated or unsubstantiated. This section should contain citations of statutory and/or administrative rule violations, and include the subsequent actions to be taken, if appropriate. This section should contain referrals of issues uncovered in the investigation to other agencies having jurisdiction or responsibility in those areas.</li> </ol> <ul style="list-style-type: none"> <li>Note: Complaint investigations completed in WISCCRS prior to 12/14/2012 contained one narrative section which is now located under Description of the Investigative Findings.</li> </ul>
• Narrative	<ul style="list-style-type: none"> <li>Enter details about each Narrative event, as applicable. See the explanation above of the Narrative Types.</li> </ul>
• Licensing Use only: The fields below are used by licensing when investigating complaints on unregulated providers.	
• Provider Response	<ul style="list-style-type: none"> <li>Choose one of the two options:</li> <li><b>Drop back:</b> Choose this option if the unregulated provider dropped the number of children in care to comply with the licensing law.</li> <li><b>Start-up:</b> Choose this option if the unregulated provider decided to apply for licensing.</li> </ul>
• DC1 Letter Sent Date	<ul style="list-style-type: none"> <li>Enter the date the regional office sent the notice to the provider about the complaint.</li> </ul>
• DC1 Letter Due Date	<ul style="list-style-type: none"> <li>Enter the date identified in the DC1 letter when a response from the unregulated provider is due back to the regional office.</li> </ul>
• DC1 Letter Received Date	<ul style="list-style-type: none"> <li>Enter the date that the regional office received a response from the unregulated provider to the DC1 letter.</li> </ul>
• Additional Investigation Comments	
• Investigation Comments	<ul style="list-style-type: none"> <li>This field can be used to record information about a complaint/incident that will not be included in the Investigation Findings document. Examples are: key used to name children identified in the narrative by letter or number (Child 1 = Billy Jones, Child 2 = Bobbi Jones, etc.), who was interviewed and when.</li> </ul>

If licensing receives the provider’s DC-1 response and determines the provider is not caring for a licensable number of children, enter the response information in the investigation tab and close the complaint. See the Narrative types listed above.




See the [Unlicensed Provider Records](#) user guide for further information.

Complaints/Incidents						
New Complaint/Incident						
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To
Unregulated	Complaint	5000148101	10/16/17	Closed	Unsubstantiated	Ruf, Heather
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints(0)</a>						

After processing the New Narrative screen, you are taken to the main Investigation screen.

<b>Provider/Loc Number</b> 7900003357 / 012	<b>Name</b> John's Daycare
<b>Facility Number</b> 9989026	<b>Applicant/Loc Number</b> 0900507709 / 012
<b>Facility Address</b> 2362 56Th St Milwaukee, WI 203785394	<b>Facility Name</b> Care Free Daycare
<b>Licensors Name</b> Chou Chang	<b>Certifier Name</b>
<b>Complaint ID</b> 1000606841	<b>Received Date</b> 10/25/2012
<b>Assigned To</b> Hua Liu	<b>Status</b> In Progress
<b>Complaint ID</b> 1000606841	<b>Complaint Source</b> Anonymous
<b>Complainant First Name</b>	<b>Complainant Last Name</b>
Investigations	
<b>Start Date</b>	<b>End Date</b>
11/1/2012	
<b>Investigation Results</b>	<b>Provider Response</b>
<b>Updated Date</b>	
11/08/12	
   <a href="#">Print Investigation Form</a>	

To enter another narrative, click the Modify icon on the Investigation screen. See the arrow in the screen print above. This link takes you to the Modify Investigation screen. Previously entered narratives are listed on the bottom of the screen and new narratives can be added. If you need to modify a previously entered narrative, click the modify icon next to the narrative you want to modify.

<b>Investigation Start Date</b>	11/1/2012
<b>Investigation End Date</b>	
<b>Investigation Results</b>	
New Narrative	
<b>Narrative Type</b>	Methods Used To Conduct The Investigation
<b>Narrative</b>	<p>Under this narrative, explain the investigation methodology: how, when and where to gather the information needed to conclude the investigation. Identify likely source(s) for obtaining information about the complaint. Determine the best method for gathering information about the allegation, best place and time to gather the information. Identify dates of various contacts, persons interviewed and the records and documents reviewed.</p> <p>435 of 3500 characters.</p>
The following fields are applicable only for Unregulated.	
<b>Provider Response</b>	
<b>DC1 Letter Sent Date</b>	
<b>DC1 Letter Due Date</b>	
<b>DC1 Letter Received Date</b>	
List of Narratives	
<b>Narrative Type</b>	<b>Narrative</b>
Alleged Statutory And Rule Violations	Under This Narrative, Explain How The Complaint Allegations Potentially Relate To Licensing/Certification Rules Or Child Care Related Statutes. Review All Rules That Have Potentially Been Violated. Indicate The Rule Number. If The Allegation Does Not Relate To Specific Rule Or Is Referred To Another Agency For Follow Up, Please Note This In This Section.
	<b>Updated Date</b>
	11/08/12
  	

## Modify Investigation Narrative

If one of the narratives needs to be modified, access the Complaint/Incident screen, click the complaint/incident that needs modification. Then click the Investigation link and finally Modify Investigation (pencil icon) to access the narrative that needs revision. The following screen will display:

Modify Investigation Narrative	
Narrative Type *	Alleged Statutory And Rule Violations
Narrative	Under this narrative, explain how the complaint allegations potentially relate to licensing/certification rules or child care related statutes. Review all rules that have potentially been violated. Indicate the rule number. If the allegation does not relate to specific rule or is referred to another agency for follow up, please note this in this section.







You can change the Type and modify the text of the previously entered narrative details.

## Deleting a Narrative

If a narrative needs to be deleted, access the Modify Investigation screen and scroll down to the narrative that needs to be deleted. Click the Delete icon and confirm deletion.

New Narrative	
Narrative Type *	
Narrative	
	0 of 3500 characters.
	The following fields are applicable only for Unregulated.
Provider Response	
DC1 Letter Sent Date	
DC1 Letter Due Date	
DC1 Letter Received Date	

List of Narratives		
Narrative Type	Narrative	Updated Date
Alleged Statutory And Rule Violations	Under This Narrative, Explain How The Complaint Allegations Potentially Relate To Licensing/Certification Rules Or Child Care Related Statutes. Review All Rules That Have Potentially Been Violated. Indicate The Rule Number. If The Allegation Does Not Relate To Specific Rule Or Is Referred To Another Agency For Follow Up, Please Note This In This Section.	11/08/12   
Methods Used To Conduct The Investigation	Under This Narrative, Explain The Investigation Methodology: How, When And Where To Gather The Information Needed To Conclude The Investigation. Identify Likely Source(S) For Obtaining Information About The Complaint. Determine The Best Method For Gathering Information About The Allegation, Best Place And Time To Gather The Information. Identify Dates Of Various Contacts, Persons Interviewed And The Records And Documents Reviewed.	11/08/12   



## Complaint/Incident Visits

If visits are conducted to investigate a complaint/incident, the visits can be attached to a complaint/incident in multiple ways:

1. Click the Visit link on the main Complaint/Incident screen. This link takes you directly to the New Site Visit Screen. See [Creating New Provider Records](#) user guide for further information on how to enter site visits.

Complaints/Incidents									
New Complaint/Incident									
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To	Complainant	Updated Date	Requires Immediate Attention
Certification	Complaint	200050555	03/12/15	In Progress	Unsubstantiated	Certifier, Dane		03/18/15	No
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints/Incidents(1)</a>									

NOTE: If the visit link is used as mentioned above, the default visit type is a Complaint/Incident Visit and cannot be changed to another visit type. If a visit is needed for a self-report, please enter the visit using the Site visit link and then attach it to the complaint/incident record using the method explained under #2 below.

2. Enter the visit using the Site Visit screen as explained in the [Creating New Provider Records](#) user guide. Then attach it to the complaint/incident by clicking on the Visit link on the Complaint/Incident screen. All visits conducted after the complaint/incident received date, will display. Click on the check box next to the visit that you want to attach to the complaint/incident.

Site Visits								
Add Site Visit								
There are no Site Visits attached to a complaint								
Select current Site Visits to attach to a Complaint/Incident								
Visit ID	Type of Visit	Visit Date	Visit Reasons	Date of Next Visit	Date of Visit Due	Next Visit Reason	Rule Violated	Action
<input type="checkbox"/>	2000002564	Certified	03/18/15	Complaint Visit		09/30/15		No

## Enforcements

If the complaint/incident results to an enforcement action, you can access the Enforcement screen by clicking on the Enforcement link on the main Complaint/Incident screen.

Complaints									
New Complaint									
Complaint Type	Complaint Received Date	Complaint Status	Complaint Results	Date of Occurrence	Assigned To	Complainant	Updated Date	Requires Immediate Attention	
License	11/05/12	In Progress			Jason Ocdbierbrauer	andy anonymous	11/09/12	No	
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints(2)</a>									

## Attaching Violations to a Complaint/Incident


If the complaint was substantiated (at least one or more of the alleged violations were found true) or if the self-reported incident involved a licensing/certification violation, the violations may be attached to a primary complaint/incident as well as any related complaints/incidents.

Below is the entire process on attaching rule violations after the investigation is complete:


1. Enter complaint/incident intake as explained in this manual.
2. Change the intake status first to Assigned and then to In Progress.
3. If applicable, after a visit has been completed to investigate the complaint/incident, attach rule violations to the visit.
4. Once the violations are entered for the visit, access the Modify Complaint/Incident screen. The violations entered on the Violation section are displayed on the bottom of the screen. Click the check boxes next to the violations you want to attach.

Attach Violations					
	Violation Type	Rule #	Rule Group	Detection Date	Detection Type
<input type="checkbox"/>	DCF 202	202.08(6)(a)	Group Size	04/01/11	Other
<input type="checkbox"/>	DCF 202	202.08(10)	Meals and Snacks	04/01/11	Other

Once the violations have been attached, the main Complaint/Incident screen will show a plus (+) sign indicating that violations are there. See the screen print below.

Complaints/Incidents						
<a href="#">New Complaint/Incident</a>						
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To
Certification	Complaint	2000505655	03/12/15	Closed	Substantiated	Certifier, Dane
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints/Incidents(1)</a>						
 <a href="#">Tags &amp; Violations</a>						

If you click the plus (+) sign, the list of violations will expand.

Complaints/Incidents																			
<a href="#">New Complaint/Incident</a>																			
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To	Complainant	Updated Date	Requires Immediate Attention										
Certification	Complaint	2000505655	03/12/15	Closed	Substantiated	Certifier, Dane		03/18/15	No										
<a href="#">Complainant</a> <a href="#">Referral</a> <a href="#">Investigation</a> <a href="#">Visits</a> <a href="#">Enforcement</a> <a href="#">Print Intake Form</a> <a href="#">Documents</a> <a href="#">Related Complaints/Incidents(1)</a>																			
 <a href="#">Tags &amp; Violations</a>																			
<table border="1"> <thead> <tr> <th>Violation Type</th> <th>Rule #</th> <th>Rule Group/Rule Description</th> <th>Detection Date</th> <th>Detection Type</th> </tr> </thead> <tbody> <tr> <td>DCF 202</td> <td>202.08(2)(a)1.</td> <td>Home Safety</td> <td>02/19/15</td> <td>Site Visit</td> </tr> </tbody> </table>										Violation Type	Rule #	Rule Group/Rule Description	Detection Date	Detection Type	DCF 202	202.08(2)(a)1.	Home Safety	02/19/15	Site Visit
Violation Type	Rule #	Rule Group/Rule Description	Detection Date	Detection Type															
DCF 202	202.08(2)(a)1.	Home Safety	02/19/15	Site Visit															

NOTE: The complaint/incident record cannot be deleted if violations have been attached to it. Also, violations that have been attached to a complaint/incident cannot be deleted. See the Detaching Violations section for further details.

Below is a screen print of an Investigation report that has substantiated rule violations attached to it.

Facility No	Name		County	
Provider/Location No. 7800039667 / 001	Harrys Child Care		Milwaukee County	
Address (Street, City, State, Zip Code)				
201 E Washington Ave, Madison, WI, 53703-2866				
Complaint Identification Number	Date - Investigation Began	Date - Investigation Completed	Date - Complainant Notified	
2000505063	1/20/2013	2/1/2013	2/1/2013	
<b>Violations</b>				
Violation Type	Rule Number	Rule Group / Rule Description	Date	Substantiated
DCF 202	202.08(6)(a)	Group Size	1/20/2013	Yes
DCF 202	202.08(2)(j)	Home Safety	1/20/2013	Yes

## Detaching Violations

If violations have been attached to a complaint/incident in error, you can detach them by accessing the Modify Complaint/Incident screen. Uncheck the violations that were attached to the complaint/incident.

Attach Violations					
	Violation Type	Rule #	Rule Group	Detection Date	Detection Type
<input checked="" type="checkbox"/>	DCF 202	202.08(6)(a)	Group Size	04/01/11	Other
<input checked="" type="checkbox"/>	DCF 202	202.08(10)	Meals and Snacks	04/01/11	Other

After the violation has been detached, you may delete it using the Violation screen.

## Closing a Complaint/Incident

After the complaint/incident has been investigated, it should be closed. To close the record in WISCCRS:

1. Access the Modify **Investigation** screen and enter the Investigation End date and Results.

**Modify Investigation**

Investigation Start Date \* 3/17/2015

Investigation End Date 3/17/2015

Investigation Results Substantiated

2. Access the Modify **Complaint/Incident** screen and change the status to Closed. Also, a Complaint Closed Date is required.
3. If the "Unknown" tag for "Severity" is selected, it must be changed to "Serious" or "Not Serious" to close the complaint/incident.

**Modify Complaint/Incident**

Regulation Type \* License

Incident Type \* Self Report

Received Date \* 3/23/2021

Received by \* Licensor - Sro, Lars

Requires Immediate Attention

Status \* Closed

Date of Occurrence 3/22/2021

Time of Occurrence 2:15 PM

Receipt Method \* Email

Assigned Date 3/23/2021

Assigned To Licensor - Sro, Lars

Notify Complainant

Child(ren) Injured? Yes

Medical Attention Needed? Yes

Date Complainant Notified

Date Applicant/Licensee Notified

Closed Date 3/26/2021

The main screen will now indicate that the complaint/incident is closed and if the complaint was found substantiated or unsubstantiated. See the screen print below.




Complaints/Incidents									
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To	Complainant	Updated Date	Requires Immediate Attention
Certification	Complaint	2000505655	03/12/15	Closed	Substantiated	Certifier, Dane		03/18/15	No

[Complainant](#) [Referral](#) [Investigation](#) [Visits](#) [Enforcement](#) [Print Intake Form](#) [Documents](#) [Related Complaints/Incidents\(1\)](#)

Tags & Violations

## Print Investigation Form

An investigation report form can be generated by the system in PDF format. To access the form, click the Print Investigation Form on the Investigations screen.

<b>Provider/Loc Number</b> 7900003357 / 012		<b>Name</b> John's Daycare	
<b>Facility Number</b> 9989026		<b>Applicant/Loc Number</b> 0900507709 / 012	
<b>Facility Address</b> 2362 56Th St Milwaukee, WI 203785394		<b>Facility Name</b> Care Free Daycare	
<b>Licensors Name</b> Chou Chang		<b>Certifier Name</b>	
<b>Complaint ID</b> 1000606841		<b>Received Date</b> 10/25/2012	
<b>Assigned To</b> Hua Liu		<b>Status</b> In Progress	
<b>Complaint ID</b> 1000606841		<b>Complaint Source</b> Anonymous	
<b>Complainant First Name</b>		<b>Complainant Last Name</b>	
Investigations			
Start Date	End Date	Investigation Results	Updated Date
11/1/2012			11/08/12
		   <a href="#">Print Investigation Form</a>	

Below is a screen print of the investigation findings report. The top portion includes information on the provider/center and the bottom displays the details about the investigation with each narrative.

DEPARTMENT OF CHILDREN AND FAMILIES  
Division of Early Care and Education  
DCF-F-CFS0321B-E (R. 06/2015)

www.dcf.wisconsin.gov

### CHILD CARE COMPLAINT / INCIDENT FINDINGS

**Use of form:** This form is used by licensing and certification staff to record the results of complaint investigations concerning alleged violations of licensing or certification rules and / or statutes and to document any investigation associated with a provider's self-report.

Facility No.	120856	Name	Randy's Preschool Fis		County	Milwaukee County
Provider/Location No.	3800036563 / 001	Address (Street, City, State, Zip Code)				
205 Corporate Dr, Mke, Wi, 12121-2121						
Type	Identification Number	Date - Investigation Began	Date - Investigation Completed	Date - Notified		
Complaint	2000506580	12/13/2019	12/13/2019			
CPS Investigation		CPS Investigation Results				
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Screen Out <input type="checkbox"/> Unknown						
Name - Licensing/Certification Specialist						
Govinda Annyapu						
<input type="checkbox"/> Complaint investigation resulted in enforcement action.						

<p><b>Findings and / or Corrective Action</b></p> <p><b>Alleged Statutory And Rule Violations:</b></p> <p>Under this narrative, explain how the complaint allegations potentially relate to licensing/certification rules or child care related statutes. Review all rules that have potentially been violated. Indicate the rule number. If the allegation does not relate to specific rule or is referred to another agency for follow up, please note this in this section.</p> <p><b>Methods Used To Conduct The Investigation:</b></p> <p>Under this narrative, explain the investigation methodology; how, when and where to gather the information needed to conclude the investigation. Identify likely source(s) for obtaining information about the complaint. Determine the best method for gathering information about the allegation, best place and time to gather the information. Identify dates of various contacts, persons interviewed and the records and documents reviewed.</p> <p><b>Description Of The Investigative Findings:</b></p> <p>This narrative should specify the facts determined in the course of the investigation related to alleged statutory/rule violations, which should be cited by reference number. If applicable, this section contains reference to the findings or any other involved agencies, for example, county child protective services, etc.</p> <p><b>Conclusions, Recommendations And Actions:</b></p> <p>This section should objectively summarize the conclusions of the investigation and indicate whether each complaint allegation is substantiated or unsubstantiated. This section should also contain citations of statutory and/or administrative rule violations, and include the subsequent actions to be taken, if appropriate. This section should contain referrals of issues uncovered in the investigation to other agencies having jurisdiction or responsibility in those areas.</p>
---

## Complaint/Incident History

To view history on the Complaint/Incident screen, click the History icon. The history pages have a Next button on the bottom of the page that can be used to view history. The changes are highlighted yellow and the date, time and who updated the record are displayed. To view older changes, keep clicking **Next**.

Investigation History	
Investigation Start Date	1/20/2013
Investigation End Date	2/1/2013
Investigation Results	Substantiated
Provider Response	
DC1 Letter Sent Date	
DC1 Letter Due Date	
DC1 Letter Received Date	
Additional Investigation Comments	
Investigation Comments	Supervisor reviewed the complaint intake and investigations.
Updated Information	
Updated Date	12/5/2012 8:09:32 AM
Worker ID	W00236
Worker Name	Pzmkee Certifier

## Unregulated Provider Complaints (Licensing only)

Licensing regional office must investigate complaints on unregulated providers if there are allegations that the provider is violating the licensing law. Please see the User Guide [Unlicensed Complaints](#) for further details on how to create an unregulated provider record.