



Wisconsin Child Care Regulatory System (WISCCRS)

Complaints and Incident Reporting

March 27, 2015

Division of Early Childhood Education

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Complaints/Incidents

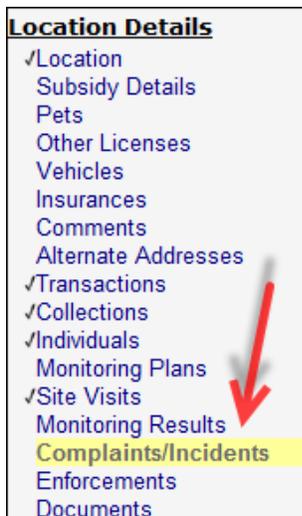
The regulatory agencies are required by law to investigate complaints filed against child care providers. This module gives step-by-step instructions on how to enter a complaint and follow-up investigations into WISCCRS.

Incident/Injury Reporting

The WISCCRS system has been modified (March 2015) to include incident/injury reporting required by the new Federal Child Care Block Grant. Incidents that result in a child needing medical attention must be reported by the provider to the regulatory agency.

Intake

In order to enter a new complaint/incident intake, first search the provider/facility and click on the Complaints/Incidents link in the left-side navigation menu.



Then click on New Complaint/Incident link.



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

New Complaint/Incident	
Regulation Type *	Certification
Incident Type *	Self Report
Received Date *	3/23/2015
Received by *	Certifier, Dane
Requires Immediate Attention	<input type="checkbox"/>
Status *	Pending
Date of Occurrence	3/20/2015
Time of Occurrence	9:30 AM
Receipt Method *	Telephone
Assigned Date	
Assigned To	
Notify Complainant	<input type="checkbox"/>
Child(ren) Injured?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unknown
Medical Attention Needed?	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unknown
Date Complainant Notified	
Date Applicant/Licensee Notified	
Allegations/Incident Description *	Enter notes about the self-report.

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: <ol style="list-style-type: none"> Complaint: Use this to record a complaint filed against a provider/center. Self-report: Use this value to record a 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 on 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. Once the case has been assigned to a worker, that worker will immediately receive a task in the Task Module in WISCCRS. Further information on Tasks can be found in the Basics User Guide.
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. 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.
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.

Tags:

If Child(ren) Injured 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 as follows:

- **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

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

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

Once the tags have been added, those are displayed on the main complaint/incident screen:

Complaints/Incidents						
New Complaint/Incident						
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To
Certification	Self Report	2000505680	03/19/15	Assigned		Cruse, Laurie
Complainant Referral Investigation Visits Enforcement Print Intake Form Documents Related Complaints/Incidents(0)						
Tags & Violations		Tags: Incident but no injury (medication error/illness) Other Result Outdoors				

The lower portion of the screen captures information on the complainant (person who reported the allegations or provider’s self-report).

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 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									
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

Note: A red arrow in the original image points to the pencil icon in the bottom right corner of the table.

2. On the Modify screen, change the values below. NOTE: Once the complaint/incident has been assigned to a worker, that worker will immediately receive a task. Further information on Tasks can be found in the [Basics](#) User Guide.

Modify Complaint/Incident

Regulation Type * Certification

Incident Type * Complaint

Received Date * 1/15/2015

Received by * Cruse, Laurie

Requires Immediate Attention

Status * Assigned

Date of Occurrence

Time of Occurrence

Receipt Method * Email

Assigned Date 1/16/2015

Assigned To Certifier, Dane

Notify Complainant

Child(ren) Injured? Yes No Unknown

Medical Attention Needed? Yes No Unknown

Date Complainant Notified

Date Applicant/Licensee Notified

Closed Date

Note: Red arrows in the original image point to the Status, Receipt Method, Assigned Date, and Assigned To fields.

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, licensing receives a complaint/incident on a provider who is both certified and licensed. In these cases, the licensing agency may make a referral to the certifying agency and vice versa.

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

Complaints								
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 Ocdbierbrauer	andy anonymous	11/09/12	No

[Complainant](#) [Referral](#) [Investigation](#) [Visits](#) [Enforcement](#) [Print Intake Form](#) [Documents](#) [Related Complaints\(0\)](#)

This link takes you to List Referrals screen. Click on New Referral link to add information.

Provider # 1800039441	Name Mary's Marvelous Kids
Location # / Facility ID 002 / 1122364	Applicant # 1800074411
Facility Address 123 Side St Anytown, WI 45454	Facility Name Mary's Day Camp
Complaint ID 2000041901	Received Date 4/15/2011
Assigned To Lena Licensor	Status Assigned
Complaint ID 2000041901	Complaint Source Anonymous
Complainant First Name andy	Complainant Last Name anonymous

New Referral

Referred To *

Referral Reason *

128 of 1500 characters.

Sent Date

Response Received Date

Response

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

Field	Description
Referred To	The pull-down menu has the following values: <ul style="list-style-type: none"> County-Certification: Used by licensing when the complaint/incident is referred to certification agency on a dually regulated provider. County – CPS: Use this when the complaint/incident includes child abuse/neglect related allegations and the complaint/incident is referred to the CPS unit for investigation. DCF Regional Office – Licensing: Used by certifying agencies a complaint/incident is referred to licensing. Food Program: 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. Fraud Unit: Use this if there are indications that the provider might be violating subsidy rules.

	<ul style="list-style-type: none"> • Law Enforcement: Use this when the complaint/self-report includes information that might be of criminal nature. • Other
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

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 on 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 on the checkbox.

Related Complaints/Incidents			
Add Related Complaint/Incident			
There are no Related Complaints/Incidents for this Complaint/Incident.			
Select current Complaints/Incidents as related Complaint/Incident			
Complaint ID	Complaint Type	Complaint Received Date	Complaint Status
<input checked="" type="checkbox"/> 2000505657	Certification	03/16/15	Pending

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.

Modify Complaint/Incident

Regulation Type * Certification

Incident Type * Self Report

Received Date * 3/16/2015

Received by * Certifier, Dane

Requires Immediate Attention

Status * In Progress

Date of Occurrence

Time of Occurrence

Receipt Method * Email

Assigned Date 3/16/2015

Assigned To Certifier, Dane

Notify Complainant

Child(ren) Injured? Yes No Unknown

Medical Attention Needed? Yes No Unknown

Date Complainant Notified

Date Applicant/Licensee Notified

Closed Date

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

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

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 Complaint/Incident Investigation section for further detail 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				
Add Related Complaint/Incident				
Regulation Type	Incident Type	Complaint Received Date	Complaint Status	
Certification	Self Report	03/16/15	Assigned	Complainant Print Intake Form   

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 on the Print Intake Form 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 Ocdmierbrauer	andy anonymous	11/09/12	No
Complainant Referral Investigation Visits Enforcement Print Intake Form Documents Related Complaints(0)								

Below is a screen print of the Intake form.

CHILD CARE COMPLAINT INTAKE

Use of form: This form is used by Licensing and certification staff to record a complaint alleging violations of licensing and certification rules and / or statutes that is received either by the regulatory agency.

SECTION A REGULATED AND UNREGULATED FACILITIES

Date - Complaint Received	Complaint Identification Number	<input type="checkbox"/> Requires Immediate Attention
11/5/2012	1000606870	
Name - County	Name	Facility No. 9989026
Milwaukee County	Care Free Daycare	Provider/Location No. 7900003357 / 012
Address (Street, City, State, Zip Code)		Telephone Number
2362 56th St, Milwaukee, Wi, 20378-5394		348-976-2390
Directions		

Regulation Type License	License Type Licensed Group
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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 on the Investigation link from the main screen and then the New Investigation link.

Complaints/Incidents									
New Complaint/Incident									
Regulation Type	Incident Type	ID	Received Date	Status	Results	Assigned To	Complainant	Updated Date	Requires Immediate Attention
Certification	Self Report	2000505655	03/12/15	In Progress	Substantiated	Certifier, Dane		03/17/15	No
Complainant Referral Investigation Visits Enforcement Print Intake Form Documents Related Complaints/Incidents(1)									

Below is a screen print of the New Investigation screen.

New Investigation	
Investigation Start Date *	<input type="text"/> <input type="button" value="▼"/>
Investigation End Date	<input type="text"/> <input type="button" value="▼"/>
Investigation Results	<input type="text"/> <input type="button" value="▼"/>
CPS Investigation?	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Unknown
CPS Investigation Results	<input type="text"/> <input type="button" value="▼"/>
New Narrative	
Narrative Type *	<input type="text"/> <input type="button" value="▼"/>
Narrative *	<input type="text"/>

Below are explanations of the fields on the screen above.

Field	Description
Investigation Start Date	Enter the date the investigation started for the complaint and/or self-report.
Investigation End Date	Enter the date the complaint/incident investigation was closed.
Investigation Results	Choose the best option from the pull down menu: <ul style="list-style-type: none"> N/A – Self-report: Choose this to close an investigation on a self-reported incident. Substantiated: Choose if any of the alleged rule violations were substantiated Unsubstantiated: Choose if none of the alleged rule violations were substantiated.
Cps Investigation?	Enter Yes if CPS was involved in investigation of the incident.
CPS Investigation Results	The options are: <ul style="list-style-type: none"> Substantiated – Other: Choose this option if the CPS investigation resulted in substantiation that did NOT involve the provider/center. Substantiated – While in Care: Choose this option if the CPS investigation resulted in substantiation while the child was under supervision of the provider/center. Unsubstantiated: Choose this if the CPS case was not substantiated.
Narrative Type	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 Narratives with up to 3,500 characters each. The system automatically inserts each narrative into the Investigation Report. <p>Note: Narratives may not be required for self-reports that did not require a formal investigation.</p> <p>Narrative Types:</p> <ol style="list-style-type: none"> Alleged Statutory and Rule Violations: 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. Methods Used to Conduct the Investigation Under this narrative, identify the date the investigation began, the dates

	<p>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.</p> <p>3. Description of the Investigative Findings 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, for example, county child protective services, etc.</p> <p>4. Conclusions, Recommendations and Actions 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.</p> <p>Complaint investigations completed in WISCCRS prior to 12/14/2012 contained one narrative section which is now located under Description of the Investigative Findings.</p>
Narrative	Enter details about each Narrative event. See above explanation of the Narrative Types.
Licensing Use only: The fields below are used by licensing when investigating complaints on unregulated providers	
Provider Response	Choose one of the two options: <ul style="list-style-type: none"> • Drop back: choose this option if the unregulated provider dropped the number of children in care to comply with the licensing law. • Start-up: Choose this if the unregulated provider decided to apply for licensing.
DC1 Letter Sent Date	Enter the date the regional office sent out the notice to the provider about the complaint
DC1 Letter Due Date	Enter the date identified in the DC1 letter when a response from the unregulated provider is due back to the regional office
DC1 Letter Received Date	Enter the date that the regional office received a response from the unregulated provider to the DC1 letter.
Additional Investigation Comments	
Investigation Comments	This field can be used to record information about a complaint/incident that will not be included in the Investigation Results 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, when, etc?

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

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

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

Investigation Start Date * 11/1/2012 Investigation End Date Investigation Results						
New Narrative						
Narrative Type * Methods Used To Conduct The Investigation Narrative 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. 435 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						
<table border="1"> <thead> <tr> <th>Narrative Type</th> <th>Narrative</th> <th>Updated Date</th> </tr> </thead> <tbody> <tr> <td>Alleged Statutory And Rule Violations</td> <td>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.</td> <td>11/08/12</td> </tr> </tbody> </table>	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
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				

Modify Investigation Narrative

If one of the narratives needs to be modified, first access the Complaint/Incident screen, click on the complaint/incident that needs modification, and then click on 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 on 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 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	2000505655	03/12/15	In Progress	Unsubstantiated	Certifier, Dane		03/18/15	No	
Complainant Referral Investigation Visits Enforcement Print Intake Form Documents Related Complaints/Incidents(1)										

NOTE: If the visit link is used as mentioned above, the default visit type is a Complaint 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.

- 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 New Enforcement screen by clicking on the Enforcement link on the main Complaint 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	
Complainant Referral Investigation Visits Enforcement Print Intake Form Documents Related Complaints(2)									

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 must 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:

- Enter complaint/incident intake as explained in this manual.

2. Change the intake status first to Assigned and then In Progress.
3. After a visit has been completed to investigate the complaint/incident (if applicable), attach rule violations to the visit if applicable.
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 on the check box(es) 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 screen print below.

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

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

Complaints/Incidents									
New Complaint/Incident									
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)									
<input type="checkbox"/> Tags & Violations									
		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 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
Violations					
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. Unclick 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 them using the Violation screen.

Closing a Complaint/Incident

After the complaint/incident has been investigated, the complaint/incident should be closed. Below are steps that need to be done 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.

Modify Complaint/Incident

Regulation Type * Certification

Incident Type * Complaint

Received Date * 3/12/2015

Received by * Cruse, Laurie

Requires Immediate Attention

Status * Closed

Date of Occurrence

Time of Occurrence

Receipt Method * Telephone

Assigned Date 3/16/2015

Assigned To Certifier, Dane

Notify Complainant

Child(ren) Injured? Yes No Unknown

Medical Attention Needed? Yes No Unknown

Date Complainant Notified

Date Applicant/Licensee Notified

Closed Date 3/18/2015

The main screen will now indicate that the complaint/incident is closed and if the complaint was found substantiated or unsubstantiated. See 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 on the Print Investigation Form on the Investigations screen.

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

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

DEPARTMENT OF HEALTH AND FAMILY SERVICES Division of Children and Family Services CFS-321B (Rev. 05/2011)		STATE OF WISCONSIN	
CHILD CARE COMPLAINT INVESTIGATION FINDINGS			
<p>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. The information collected is entered into the Wisconsin Child Care Regulatory System for tracking and statistical information.</p>			
Facility No	9989026	Name	County
Provider/Location No.	7900003357 / 012	Care Free Daycare	Milwaukee County
Address (Street, City, State, Zip Code)			
2362 56th St, Milwaukee, WI, 20378-5394			
Complaint Identification Number	Date - Investigation Began	Date - Investigation Completed	Date - Complainant Notified
1000606841	11/1/2012	11/8/2012	
Name - Licensing/Certification Specialist			Date - Report Written
Hua Liu			
<input type="checkbox"/> Complaint investigation resulted in enforcement action. (Licensing Only)			

Findings and / or Corrective Action

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.

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.

Description Of The Investigative Findings:

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.

Conclusions, Recommendations And Actions:

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.

Complaint/Incident History

In order to view history on the complaint/incident screen, click on the History icon. The history pages has a Next button on the bottom of the page that can be used to view past history. The

changes are highlighted yellow and the date, time and who updated the record is 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 User Guide on [Unlicensed](#) Complaints for further details on how to create an unregulated provider record.

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