

# **Documenting a Rule Violation or Complaint within a Provider Record**



## **Knowledge Base Article**

# Documenting a Rule Violation or Complaint within a Provider Record

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# Documenting a Rule Violation or Complaint within a Provider Record

## Overview

This article demonstrates how to document a **Rule Violation** or **Complaint** within a Provider record.

A **Rule Violation** is any concern regarding a Provider (or Provider Member) that can directly correlate to an Agency Policy, the Ohio Revised Code, or an Administrative Rule infraction, and requires a documented investigation. A **Rule Violation** is required only for a Provider Type of Foster Care.

A **Complaint** is any information received by the recommending agency regarding a Provider (or Provider Member) that does not rise to the level of being considered an infraction of Agency Policy, the Ohio Revised Code or an Administrative Rule, but the agency determines is appropriate for formal documentation. A **Complaint** can be utilized for Provider Types of Foster Care, Adoptive Care or Adoptive Care – 1692.

For a user to have the ability to add a **Complaint** or **Rule Violation** record, the Provider must be in Active or On Hold status and an agency's Provider Type must be "Foster Care", "Adoptive Care" or "Adoptive Care-1692."

## Security

A user must have security permissions of **Home Study Assessor** or **Home Study Supervisor** and have assignment to the Provider record. If the user is the supervisor of the assigned worker, it is not necessary for the supervisor to be assigned to the Provider to add a Complaint/Rule Violation.

## Adding a Complaint or Rule Violation

From the Ohio SACWIS Home Page:

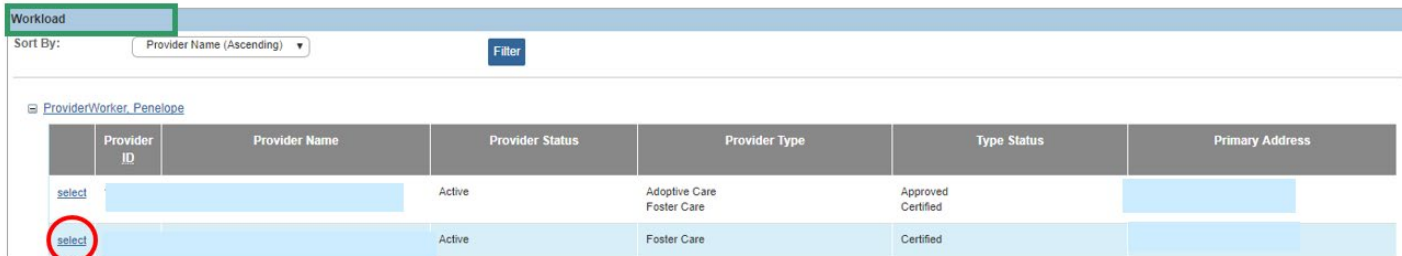
1. Click the **Provider** tab.
2. Click **Workload**.
3. Click the **plus sign** beside the name of the appropriate individual (or click the individual's name).

The screenshot displays the Ohio SACWIS Home Page interface. At the top, there are five main tabs: Home, Case, Provider, Financial, and Administration. The 'Provider' tab is selected and highlighted with a red circle. Below these tabs is a sub-menu bar with options: Workload, Provider Search, Provider Match, Recruitment, Inquiry, Training, Contracts, and Agency Certifications. The 'Workload' option is also highlighted with a red circle. Below the sub-menu bar, there is a 'Workload' section with a 'Sort By:' dropdown menu set to 'Provider Name (Ascending)' and a 'Filter' button. Below this, a list of providers is shown, with the first entry 'ProviderWorker\_Penelope' highlighted by a red box.

## Documenting a Rule Violation or Complaint within a Provider Record

The **Workload** screen appears, displaying a list of cases for the selected individual.

- Click **select** in the appropriate row.



Workload

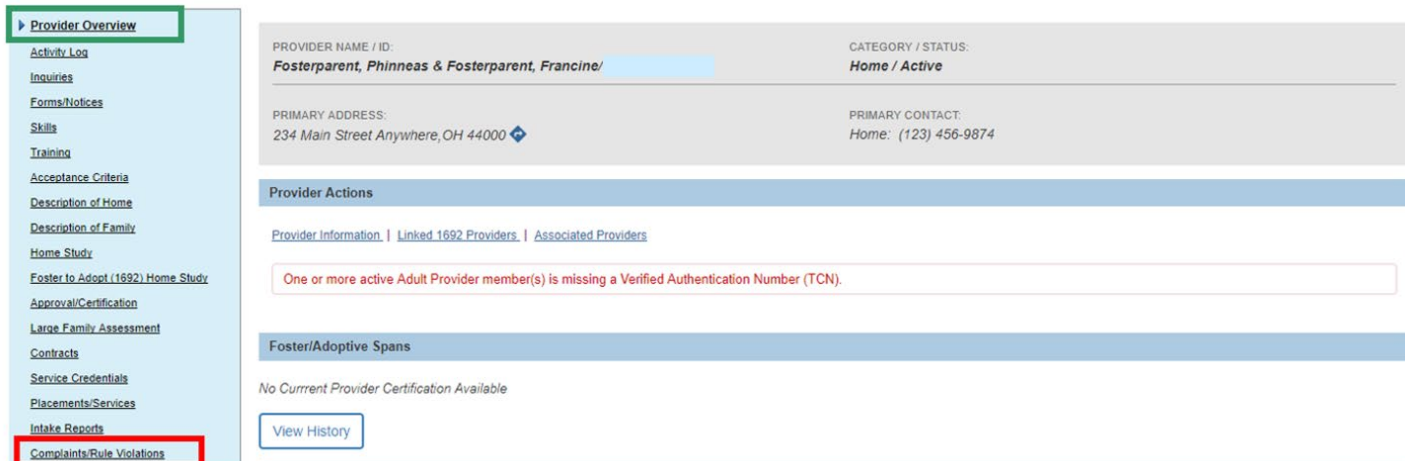
Sort By: Provider Name (Ascending) Filter

ProviderWorker\_Penelope

	Provider ID	Provider Name	Provider Status	Provider Type	Type Status	Primary Address
select			Active	Adoptive Care Foster Care	Approved Certified	
select			Active	Foster Care	Certified	

The **Provider Overview** screen appears.

- Click **Complaints/Rule Violations** in navigation pane.



Provider Overview

- Activity Log
- Inquiries
- Forms/Notices
- Skills
- Training
- Acceptance Criteria
- Description of Home
- Description of Family
- Home Study
- Foster to Adopt (1692) Home Study
- Approval/Certification
- Large Family Assessment
- Contracts
- Service Credentials
- Placements/Services
- Intake Reports
- Complaints/Rule Violations**

PROVIDER NAME / ID: **Fosterparent, Phinneas & Fosterparent, Francine/**

CATEGORY / STATUS: **Home / Active**

PRIMARY ADDRESS: **234 Main Street Anywhere, OH 44000**

PRIMARY CONTACT: **Home: (123) 456-9874**

Provider Actions

[Provider Information](#) | [Linked 1692 Providers](#) | [Associated Providers](#)

One or more active Adult Provider member(s) is missing a Verified Authentication Number (TCN).

Foster/Adoptive Spans

No Current Provider Certification Available

[View History](#)

The **Maintain Complaints / Rule Violation Incidents** grid appears.

- Click **Add Complaint / Rule Violation**

## Documenting a Rule Violation or Complaint within a Provider Record

Maintain Complaints / Rule Violation Incidents

Complaints / Rule Violation Incidents Filter Criteria

Agency:

Incident Type:  Status:

Created in Error: ☒ Exclude ☐ Include

Filter Clear Form

Complaints / Rule Violation Incidents

Add Complaint / Rule Violation

The **Maintain Complaint / Rule Violation Information** grid appears.

1. In the **Report Received By** text box, enter the name of the individual in the recommending agency who was first alerted about the information being documented.
2. Select from the **Incident Type** drop-down menu (**Complaint** or **Rule Violation**).  
**Important:** In the example below, Rule Violation was selected from the Incident Type drop-down menu. The areas that differ when an Incident Type of Complaint is chosen will be notated.
3. Enter **Date Report Received**.
4. The **Status** drop-down menu defaults to **Draft** and should not be changed to **Completed** until all information has been recorded and the investigation has concluded.

**Important:** If, at any time during completion of a Rule Violation or Complaint record, it was determined that the record was erroneously entered, the **Status** of **Created in Error** can be chosen. Once **Apply** or **Save** is pressed after **Created in Error** Status is selected, the record will no longer be editable.

### Reporter Information

1. Click the **Reporter Information** link in the **Rule Violations Topics** grid.  
**Note:** The grid name, **Rule Violation Topics** is used even when Complaint has been selected from the Incident Type drop-down menu.  
**Important:** Your information will be saved as you navigate through screens.

## Documenting a Rule Violation or Complaint within a Provider Record

**Maintain Complaint / Rule Violation Information**

Agency: Ohio Child Welfare Agency Record ID:  

Report Received By: \*  Date Report Received: \*

Incident Type: Rule Violation ▼ Status: \* Draft ▼

Topic	Status
<a href="#">Reporter Information</a>	Provided
<a href="#">Linked Intake Reports</a>	0 Report(s) Linked
<a href="#">Administrative Rules Information</a>	0 Rule(s) Selected
<a href="#">Linked Activity Logs</a>	1 Activity Log(s) Linked
<a href="#">Summary</a>	Not Provided
<a href="#">Outcome</a>	Pending

The **Maintain Reporter Information** screen appears. Completion of this screen is required screen for both Rule Violation and Complaint records.

1. In the **Reporter Details** grid, select **Yes** or **No** to the question: **Does the Reporter Wish to Remain Anonymous?**

**Note:** If **Yes** is selected, no further information is required under **Reporter Details**.

If **No** is selected, enter a name in the **Name of Reporter** text box. The Address and Phone entries are optional.

2. In the **Incident Details** grid, enter the following if available:
  - **Incident Date**
  - **Incident Time**
  - **Place Incident Occurred**
3. Enter narrative in the **Concerns Reported** text box (required).
4. Select **Yes** or **No** from the drop-down menu beside: **Have Concerns Been Reported/Discussed With Anyone Else?**

- a. If 'Yes' is selected, a response to the question, **If Yes, Indicate Whom** is required.

5. Click **Save**.

## Documenting a Rule Violation or Complaint within a Provider Record

**Maintain Reporter Information**

**Reporter Details**

Does the Reporter Wish to Remain Anonymous? \*

Name of Reporter:

Address:

City:

Zip Code:  -

Phone:

State:

Ext:

**Incident Details**

Incident Date:

Incident Time:

Place Incident Occurred:

**Concerns Reported: \***

[\(expand full screen\)](#)

Have Concerns Been Reported/Discussed With Anyone Else?

If Yes, Indicate Whom:

The **Maintain Complaint / Rule Violation Information** screen appears.

### Linking an Intake Report

1. Click **Linked Intake Reports**.

**Important:** This link/screen is not available to employees of Private Agencies and is not a required entry for either a Rule Violation or Complaint record.

PROVIDER NAME / ID: *Fosterparent, Phinneas & Fosterparent, Francine /* CATEGORY: *Home*

**Maintain Complaint / Rule Violation Information**

Agency: *Ohio Child Welfare Agency* Record ID:

Report Received By: \*

Date Report Received: \*

Incident Type:

Status: \*

**Rule Violation Topics**

Topic	Status
<a href="#">Reporter Information</a>	Not Provided
<a href="#">Linked Intake Reports</a>	0 Report(s) Linked

The **Maintain Linked Intake Reports** grid appears.

2. Click **Link Intake Reports**.

## Documenting a Rule Violation or Complaint within a Provider Record

Report ID	Date/Time Report was Received	Place Occurred	Agency
-----------	-------------------------------	----------------	--------

[Link Intake Reports](#)

The **Intake Reports** grid appears.

3. Check the box next to the intake you wish to associate to the Rule Violation record and click **OK**.

PROVIDER NAME / ID: *Fosterparent, Phinneas & Fosterparent, Francine* / CATEGORY: *Home*

Report ID	Date/Time Report was Received	Place Occurred	Agency
<a href="#">view</a>	12/04/2017 10:53 AM	PCSA Foster Home	Ohio Child Welfare Agency

[OK](#) [Cancel](#)

The **Maintain Linked Intake Reports** grid appears.

4. Click **Save**.

PROVIDER NAME / ID: *Fosterparent, Phinneas & Fosterparent, Francine* / CATEGORY: *Home*

Report ID	Date/Time Report was Received	Place Occurred	Agency
<a href="#">view</a> <a href="#">unlink</a>	12/04/2017 10:53 AM	PCSA Foster Home	Ohio Child Welfare Agency

[Link Intake Reports](#)

[Apply](#) [Save](#) [Cancel](#)

The **Maintain Administrative Rules** screen appears.

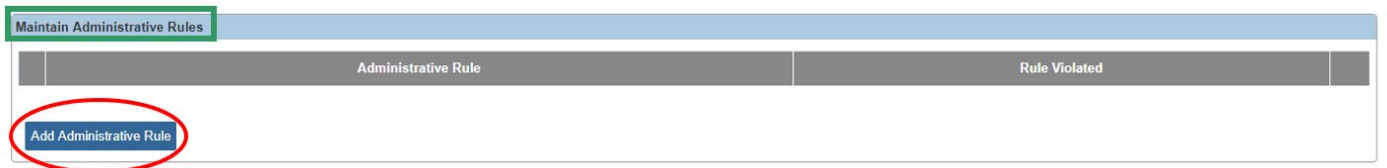
### Adding an Administrative Rule

1. Click **Administrative Rules Information**.

**Note:** This link/screen is only available for an Incident Type of **Rule Violation**, and is a required entry. If the link is selected when the Incident Type chosen is **Complaint**, Ohio SACWIS will display the following message: **This Topic is available only when Incident Type is Rule Violation.**



## Documenting a Rule Violation or Complaint within a Provider Record

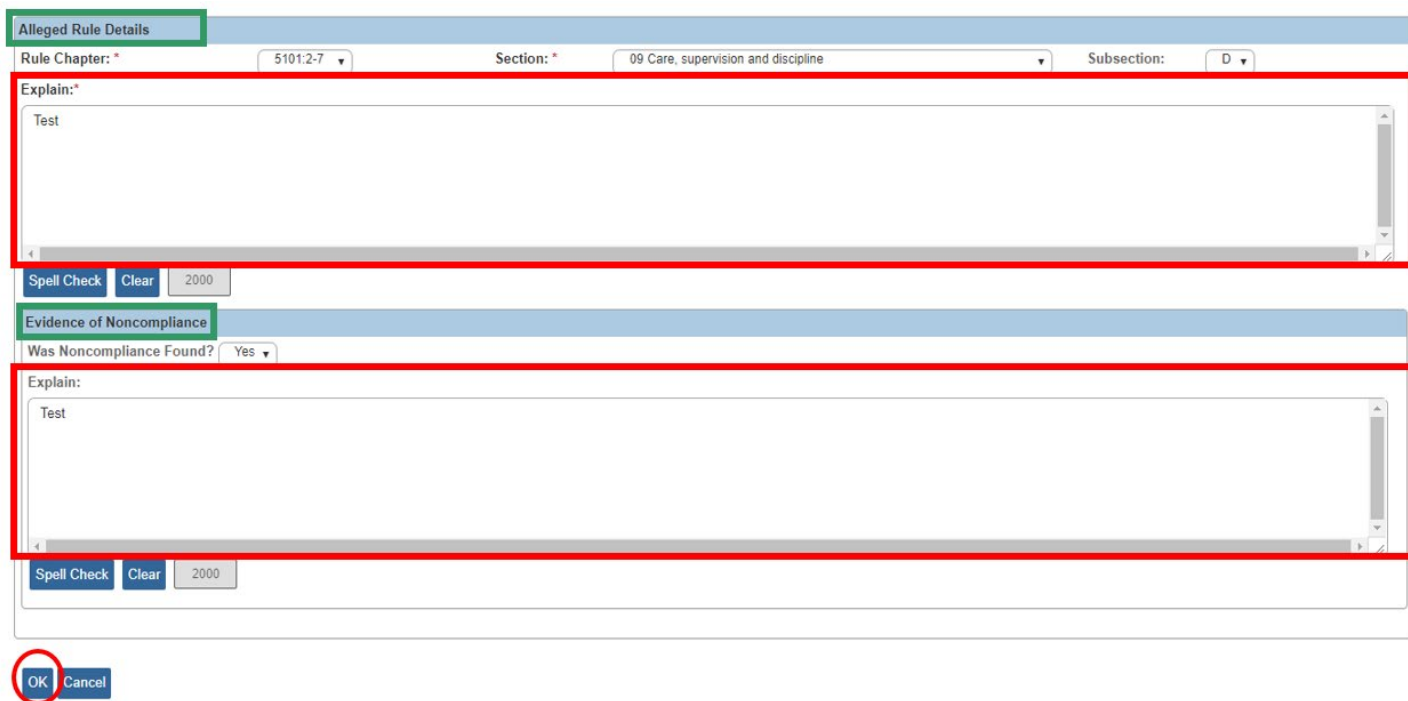


Administrative Rule	Rule Violated
---------------------	---------------

**Add Administrative Rule**

The **Alleged Rule Details** and **Evidence of Noncompliance** grids appear.

2. Make a selection in the **Rule Chapter**, **Section** and **Subsection** drop-down menu (if applicable) in the **Alleged Rule Details** grid.
3. Enter narrative regarding how the chosen rule was allegedly violated in the **Explain** textbox in the Alleged Rule Details grid.
4. Select Yes or No from the **Was Noncompliance Found?** drop-down menu in the **Evidence of Noncompliance** grid.
5. Enter narrative explaining why noncompliance was or was not found in the **Explain** text box in the Evidence of Noncompliance grid.
6. Select **OK**.



**Alleged Rule Details**

Rule Chapter: \* 5101:2-7 Section: \* 09 Care, supervision and discipline Subsection: \* D

Explain:

Test

Spell Check Clear 2000

**Evidence of Noncompliance**

Was Noncompliance Found? Yes

Explain:

Test

Spell Check Clear 2000

**OK** Cancel

The **Maintain Administrative Rules** grid appears.

Multiple rules may be chosen to add to the record.

5. Click **Add Administrative Rule** and complete Steps 1-5 above, as needed.
6. Click **Save**.

## Documenting a Rule Violation or Complaint within a Provider Record

Maintain Administrative Rules		
	Administrative Rule	Rule Violated
<a href="#">view</a> <a href="#">edit</a>	5101-2-7; 09 Care, supervision and discipline ;(D)	Yes <a href="#">delete</a>
<a href="#">view</a> <a href="#">edit</a>	5101-2-7; 11 Socialization and education ;(C)	No <a href="#">delete</a>
<a href="#">view</a> <a href="#">edit</a>	5101-2-48; 09 Application Process and Preservice Training ;(C)	No <a href="#">delete</a>

[Add Administrative Rule](#)

[Apply](#) [Save](#) [Cancel](#)

The **Maintain Complaint / Rule Violation Information** grid appears.

### Linking an Activity Log

1. Click **Linked Activity Logs** in the **Rule Violation Topics** grid.

Maintain Complaint / Rule Violation Information			
Agency:	Ohio Child Welfare Agency		Record ID:
Report Received By: *	<input type="text" value="John Q. Public"/>	Date Report Received: *	<input type="text" value="01/23/2018"/>
Incident Type:	<input type="text" value="Rule Violation"/>	Status: *	<input type="text" value="Draft"/>
Rule Violation Topics			
Topic		Status	
<a href="#">Reporter Information</a>		Not Provided	
<a href="#">Linked Intake Reports</a>		1 Report(s) Linked	
<a href="#">Administrative Rules Information</a>		1 Rule(s) Selected	
<a href="#">Linked Activity Logs</a>		0 Activity Log(s) Linked	

The **Maintain Linked Activity Logs** screen appears.

**Note:** This link/screen is not a required entry for either a Rule Violation or Complaint record.

2. Click **Link Activity Logs**.

Maintain Linked Activity Logs				
	Start Date	Contact Type	Category	Sub-Category
<a href="#">Link Activity Logs</a>				

The **Link Narrative/Activity Information** screen appears. A list of all Provider activity logs in **Completed** status is presented.

3. Enter information as needed in the **Activity Log Filter Criteria** to filter the **Result(s)** list in the **Activity Log** grid.
4. Click **Filter**.

## Documenting a Rule Violation or Complaint within a Provider Record

**Note:** the Activity Log results will be filtered according to the information you entered in the Activity Log Filter Criteria grid.

5. Place a checkmark in the box by any activity log associated to the investigation of the current Rule Violation or Complaint.
6. Alternatively, press the **Add Activity Log** button to be taken to an **Activity Log Details** screen, where a new Activity Log can be created, saved, and is then available for choosing on the **Link Narrative/Activity Information** screen.
7. After selection of the desired Activity Logs, press **Link Activity Logs** or **Cancel** at the bottom of the screen to return to the **Maintain Linked Activity Logs** screen.

**Link Narrative/Activity Information**

**Activity Log Filter Criteria**

Activity Date:    
From Date To Date

Responsible Worker:

Category:

Created By:

Contact Type:

Sub-category:

Activity State:

Sort Results By:

**Filter** **Clear Form**

**Activity Log**

Result(s) 1 to 5 of 5 / Page 1 of 1

		Start Date / Activity State	Contact Type	Category	Sub-category	Responsible Worker	Created By
<input type="checkbox"/>	<a href="#">view</a>	12/28/2017 Completed	Face-to-Face Visit with Provider(s)	Foster/Adoptive Home Applicant	Assessment Visit	Provider/Worker, Penelope	Provider/Worker, Penelope
Associated Participants: Phineas Fosterparent, Francine Fosterparent							
<input type="checkbox"/>	<a href="#">view</a>	12/12/2017 Completed	Face-to-Face Visit with Provider(s)	Foster/Adoptive Home Applicant	Assessment Visit	Provider/Worker, Penelope	Provider/Worker, Penelope

**Link Activity Logs** **Cancel**

The **Maintain Linked Activity Logs** grid appears, displaying the linked activity.

8. Click **Save**.

**Maintain Linked Activity Logs**

		Start Date	Contact Type	Category	Sub-Category
<a href="#">unlink</a>	<a href="#">view</a>	12/28/2017	Face-to-Face Visit with Provider(s)	Foster/Adoptive Home Applicant	Assessment Visit

**Link Activity Logs**

**Apply** **Save** **Cancel**

The **Maintain Complaint / Rule Violation Information** grid appears.

### Summary

1. Click **Summary**.

## Documenting a Rule Violation or Complaint within a Provider Record

**Maintain Complaint / Rule Violation Information**

Agency: Ohio Child Welfare Agency Record ID:

Report Received By: \*  Date Report Received: \*

Incident Type:  Status: \*

Topic	Status
<a href="#">Reporter Information</a>	Not Provided
<a href="#">Linked Intake Reports</a>	1 Report(s) Linked
<a href="#">Administrative Rules Information</a>	1 Rule(s) Selected
<a href="#">Linked Activity Logs</a>	1 Activity Log(s) Linked
<a href="#">Summary</a>	Not Provided

The **Summary Details** screen appears.

**Note:** This link/screen is required for Rule Violation records but is not a required entry for a Complaint record. The Summary Details screen for a Complaint record does not include a Selected Rule Violation Details text box.

2. Enter a date in the **Date Investigation Initiated** box.
3. The **Selected Rule Violation Details** text box will populate with all information entered in the Administrative Rules Information topic and is not user modifiable.
4. In the **Investigation Summary** grid, enter narrative text.
5. Click **Save**.

PROVIDER NAME / ID: *Fosterparent, Phinneas & Fosterparent, Francine* /  CATEGORY: *Home*

**Summary Details**

Date Investigation Initiated:

Selected Rule Violation Details:  
([expand full screen](#))

Administrative Rule: 5101.2-75101:2-7.09D  
Concerns Reported: Test  
Rule Violated: Yes  
Evidence of Noncompliance: Test  
.....  
Administrative Rule: 5101.2-75101:2-7.11C

**Investigation Summary**

Explain:  
([expand full screen](#))

Spell Check Clear 20000

Apply **Save** Cancel

The **Maintain Complaint / Rule Violation Information** grid appears.

# Documenting a Rule Violation or Complaint within a Provider Record

## Completing the Outcome Information

1. Click **Outcome**.

**Note:** This link/screen is not available for a Complaint Record. Completion is required for a Rule Violation.

The **Outcome Details** screen appears.

2. Select one of the following from the Recommended Outcome Based on Rule Violation drop-down menu.
  - **Continue Certification**
  - **Pending** (default value)
  - **Recommend Denial**
  - **Recommend Revocation**
  - **Voluntarily Withdrawn**
3. Enter **Date Outcome Determined**.
4. Select **Yes** or **No** to the question: **Was the Rule Violation Investigation Delayed due to CAN/Law Enforcement Investigation?**
5. Select **Yes** or **No** to the question: **Is a Corrective Action Plan Required?**
  - a. If **Yes** is selected above, enter narrative text in the **If Yes, Explain** textbox.
  - b. Within this area, the user should enter information documenting the content of the Corrective Action Plan as mandated by their agency, including the following:
    - i. What actions are being taken to prevent the identified infraction in the future?
    - ii. When must the Corrective Action Plan be completed?
    - iii. Date the Corrective Action Plan was signed by the caregiver and the agency.
6. Enter a number in the box beside, **Number of Days the Provider Should Respond in Order to Begin the Agency Grievance Process**, if applicable.
7. Click **Save**.

The screenshot shows the 'Outcome Details' form. A red rectangular box highlights the following fields: 'Recommended Outcome Based on Rule Violation:' (a dropdown menu currently showing 'Pending'), 'Date Outcome Determined:' (a date picker), 'Was the Rule Violation Investigation Delayed Due to CAN/Law Enforcement Investigation?' (a dropdown menu), and 'Is a Corrective Action Plan Required?' (a dropdown menu). Below these fields is a large text area labeled 'If Yes, Explain:'. At the bottom of the form, there are buttons for 'Spell Check', 'Clear', and a character count '4000'. Below that is a field for 'Number of Days the Provider Should Respond in Order to Begin the Agency Grievance Process:'. At the very bottom, there are three buttons: 'Apply', 'Save' (which is circled in red), and 'Cancel'.

The **Maintain Complaint / Rule Violation Information** grid appears.

## Documenting a Rule Violation or Complaint within a Provider Record

**Note:** If the **Recommended Outcome Based on Rule Violation** was **Recommend Denial** or **Recommend Revocation**, a new question appears on the **Maintain Complaint / Rule Violation Information** screen: **Was the Outcome of the Rule Violation Investigation Appealed?**

1. Select, **Yes** or **No** from the drop-down menu beside: **Was the Outcome of the Rule Violation Investigation Appealed?**
2. Click, **Apply**.

If the answer to this question is **No**, then the Rule Violation record can be placed in **Completed** Status. Please skip to the **Completion of a Rule Violation or Complaint Record** section below if the Rule Violation record is completed.

3. If the answer to this question is **Yes**, click **Appeal/Grievance Information**.

Maintain Complaint / Rule Violation Information	
Agency:	Ohio Child Welfare Agency
Report Received By: *	Penelope Provider/Worker
Date Report Received: *	12/25/2017
Incident Type:	Rule Violation
Status: *	Draft
Rule Violation Topics	
Topic	Status
<a href="#">Reporter Information</a>	Provided
<a href="#">Linked Intake Reports</a>	1 Report(s) Linked
<a href="#">Administrative Rules Information</a>	1 Rule(s) Selected
<a href="#">Linked Activity Logs</a>	2 Activity Log(s) Linked
<a href="#">Summary</a>	Provided
<a href="#">Outcome</a>	Recommend Denial Was the Outcome of the Rule Violation Investigation Appealed? <span>▼</span>
<a href="#">Appeal/Grievance Information</a>	Not Applicable

Apply Save Cancel

### Adding an Appeal/Grievance

1. Click **Add Appeal/Grievance**.

Appeals/Grievances List	
Result of Appeal/Grievance	Appeal/Grievance Decision Date

Add Appeal/Grievance

The **Appeal/Grievance Details** screen appears.

## Documenting a Rule Violation or Complaint within a Provider Record

2. Select **Result of Appeal/Grievance** (Continue Certification, Upheld Recommendation for Denial, Upheld Recommendation for Revocation or Voluntarily Withdrawn).
3. Enter **Appeal/Grievance Decision Date**.
4. Enter narrative in the **Comments** text box in the **Appeal/Grievance Summary** grid.
5. Press **OK**.

PROVIDER NAME / ID: Fosterparent, Phinneas & Fosterparent, Francine / CATEGORY: Home

**Appeal/Grievance Details**

Result of Appeal/Grievance:\* Upheld Recommendation for Denial

Appeal/Grievance Decision Date:\* 12/28/2017

**Appeal/Grievance Summary**

Comments:\*  
test

**OK** **Cancel**

The **Appeals/Grievances List** grid appears.

6. Click **Add Appeal/Grievance** and complete Steps 1-4 above to document multiple Appeal/Grievances as needed.
7. Click **Save**.

**Appeals/Grievances List**

	Result of Appeal/Grievance	Appeal/Grievance Decision Date	
<a href="#">edit</a>	Upheld Recommendation for Denial	12/28/2017	<a href="#">delete</a>
<b>Add Appeal/Grievance</b>			

**Apply** **Save** **Cancel**

The **Maintain Complaint / Rule Violation Information** grid appears, displaying the Appeal/Grievance Information decision.

## Completing a Rule Violation or Complaint Record

1. Once information has been entered in all topic areas and checked for accuracy, change the **Status** of the Rule Violation or Complaint to **Completed** in the **Maintain Complaint / Rule Violation Information** grid.

**Note:** In the case of a Rule Violation record where the **Recommended Outcome Based on Rule Violation** was **Recommend Denial** or **Recommend Revocation**, the Rule Violation record can only be placed in **Completed** status after the question **Was the Outcome of the Rule Violation Investigation Appealed?** has been

## Documenting a Rule Violation or Complaint within a Provider Record

answered. The specified **Number of Days the Provider Should Respond in Order to Begin the Agency Grievance Process** will have needed to pass prior to answering this question.

2. Click **Save**.

**Important:** Once the **Completed** status is saved, the record is no longer editable.

If you need additional information or assistance, please contact the Automated Systems Help Desk at [SACWIS\\_HELP\\_DESK@childrenandyouth.ohio.gov](mailto:SACWIS_HELP_DESK@childrenandyouth.ohio.gov) .