

**641—155.16(125) Complaints and investigations.**

**155.16(1) *Complaints.*** Any person may file a complaint with the department against any program licensed pursuant to this chapter. The complaint shall be made in writing and shall be mailed or delivered to the division director at the Division of Behavioral Health and Professional Licensure, Lucas State Office Building, 321 East 12th Street, Des Moines, Iowa 50319. The complaint shall include the name and address of the complainant, the name of the program, and a concise statement of the allegations against the program, including the specific alleged violations of Iowa Code chapter 125 or this chapter, if known. A complaint may also be initiated upon the board's own motion pursuant to evidence received by the department. Timely filing of complaints is required in order to ensure the availability of witnesses and to avoid initiation of an investigation under conditions which may have been significantly altered during the period of delay.

**155.16(2) *Evaluation and investigation.*** Upon receipt of a complaint, the department shall make a preliminary review of the allegations contained in the complaint. Unless the department concludes that the complaint is intended solely to harass a program or lacks a reasonable basis, it shall conduct an on-site investigation of the program which is the subject of the complaint as soon as is practicable. The program which is the subject of the complaint shall be given an opportunity to informally respond to the allegations contained in the complaint either in writing or through a personal interview or conference.

**155.16(3) *Investigative report.*** Within 30 working days after completion of the investigation, the department shall prepare a written investigative report and shall submit the report to the executive director of the program, the chairperson of the governing body, and the board. This report shall include the nature of the complaint and shall indicate if the complaint allegations were substantiated, unsubstantiated, or undetermined, the basis for the finding, the specific statutes or rules at issue, a response from the program, if received, and a recommendation for action.

**155.16(4) *Review of investigations.*** The board shall review the investigative report at its next regularly scheduled meeting and shall determine appropriate action.

*a. Closure.* If the board determines that the allegations contained in the complaint are unsubstantiated, the board shall close the case and shall promptly notify the complainant and the program by letter.

*b. Referral for further investigation.* If the board determines that the case warrants further investigation, it shall refer the case to the department for further investigation.

*c. Written plan of corrective action.* If the board determines that the allegations contained in the complaint are substantiated and corrective action is warranted, the board may require the program to submit and comply with a written plan of corrective action. A program shall submit a written plan of corrective action to the department within 20 working days after receiving a request for such plan. The written plan of corrective action shall include a plan for correcting violations as required by the board and a time frame within which such plan shall be implemented. The plan is subject to department approval. Requiring a written plan of corrective action is not formal disciplinary action. Failure to submit or comply with a written plan of corrective action may result in formal disciplinary action against the program.

*d. Disciplinary action.* If the board determines that the allegations contained in the complaint are substantiated and disciplinary action is warranted, the board may proceed with such action in accordance with rule 641—155.11(125).

**155.16(5) *Confidential information and public information.*** Information contained in a complaint may be confidential pursuant to Iowa Code section 22.7(2), 22.7(18), or 125.37 or any other provision of state or federal law. Investigative reports, written plans of corrective action, and all notices and orders issued pursuant to rule 641—155.11(125) shall refer to clients and patients by number and shall not include any other client or patient identifying information. Investigative reports, written plans of corrective action, and all notices and orders issued pursuant to rule 641—155.11(125) shall be available to the public as open records pursuant to Iowa Code chapter 22.