



Investigation File Checklist

What a complete, defensible investigation file contains, before anyone else opens it.

A CareCompli resource for skilled nursing and assisted living facilities

Why this checklist exists

An investigation is judged twice: once on what you did, and once on what your file shows you did. The second judgment is the one that happens in front of a surveyor, an auditor, or a lawyer, and it is entirely within your control. Use this checklist against your last three closed investigations. What the files are missing tells you what your process is missing.

Intake

- ☐ Original report or intake record, dated, with channel
- ☐ Immediate safety assessment and any protective steps, dated
- ☐ Reportability determination: was agency reporting required, decided by whom, on what basis, with the deadline calculated

Investigation

- ☐ Named investigator, with independence from the subject matter
- ☐ Investigation plan: what questions, what evidence, what interviews
- ☐ Interview records: who, when, summarized statements
- ☐ Documents and evidence gathered, listed and preserved
- ☐ Timeline of events reconstructed from the evidence

Findings

- ☐ Written findings: what happened, supported by the evidence, distinguishing substantiated from unsubstantiated
- ☐ Root cause analysis
- ☐ Regulatory analysis: which requirements were implicated and whether they were violated

Closure

- ☐ Corrective action plan opened, with reference number
- ☐ Any required agency reports, filed within deadline, with confirmation
- ☐ Discipline applied, if warranted, documented consistently with your standards
- ☐ Retaliation monitoring for the reporter, where applicable
- ☐ Closure sign-off: who closed it, when, on what basis

State note: Reportability triggers, agency destinations, and filing windows are state-specific, and several states also set investigation timing requirements for certain allegations. The intake section above depends on knowing yours.

How CareCompli answers this

In the portal, the file is not assembled after the fact. The matter record is the file.

What this document asks of you	In the CareCompli portal
Every element above, in one place	Intake, deadlines, assignments, evidence, and closure live together on the matter with timestamps.
Findings, playbook, and summaries	Our proprietary analysis engine produces the structured investigation memo, a step-by-step response playbook, and executive summaries grounded in the applicable federal and state frameworks.
Deadlines met and provable	Reporting deadlines are computed at intake; filings and dates are recorded on the matter.
Defensibility	Every action is timestamped as it happens, which is the difference between a file and a reconstruction.

See it live: carecompli.com | Info@CareCompli.com | (516) 631-0655

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