

Title: Complaint Case Handling	Supersedes: 2013-0032 (May 3, 2013)	Procedure #: 2013-0032
Procedure Owner: Enforcement	Effective: Immediately	Page: 1 of 28
Issue Date: April 30, 2014	Approved By: Joanne Wenzel, Bureau Chief Bureau for Private Postsecondary Education	

Policy: The highest priority of the Bureau for Private Postsecondary Education (Bureau) is consumer protection. The California Private Postsecondary Education Act of 2009 (Act) gives the Bureau authority to place an institution on probation or the option to suspend or revoke an institution’s approval to operate for:

1. Obtaining an approval to operate by fraud.
2. A material violation or repeated violations of this chapter or regulations adopted pursuant to this chapter that have resulted in harm to students.

Purpose: Handling complaints is a priority of the Bureau and an important function of the Enforcement Unit. This process outlines the process for complaint handling.

Definitions:

Approval to Operate: the authorization to offer to the public and to provide postsecondary educational programs

Approved to Operate: an institution has received authorization to offer postsecondary educational programs to the public.

Institution: any private postsecondary educational school, including its branch campuses and satellite locations.

Owner: an individual in the case of a sole proprietorship, partners in a partnership, members in limited liability company, or shareholders in a corporation.

Ownership: legal or equitable interest in an institution, including ownership of assets or stock

Postsecondary education: a formal institutional educational program whose curriculum is designed primarily for students who have completed or terminated their secondary education or are beyond the compulsory age of secondary education, including programs whose purpose is academic, vocational, or continuing professional education

Private Postsecondary Educational Institution: a private entity with a physical presence in this state that offers postsecondary education to the public for an institutional charge.

Offer to the Public: advertise, publicize, solicit or recruit

Operate: establish, keep, or maintain any facility or location in this state where, or from which or through which, postsecondary educational programs are provided.

Productivity Benchmark: (Include here the amount of staff time to complete this procedure and if some aspects of the procedure are not under our control (e.g. waiting for response from school), estimate the typical timeframe before hearing back to show the total elapsed time of the procedure.)

ENFORCEMENT SECTION

COMPLAINT INVESTIGATIONS PROCEDURES

COMPLAINT CASE HANDLING

(1) COMPLAINT PRIORITIZATION

Upon receipt of a new complaint, the Complaint Investigations (CI) analyst prioritizes their case workload according to:

Urgent (Highest Priority)

- Allegations that indicate an immediate danger to the public health, safety or welfare
- Imminent or on-going criminal activity
- Unlicensed activity posing an immediate danger to the public health, safety or welfare
- Aiding and abetting unlicensed activity posing an immediate danger to the public health, safety or welfare
- Multiple or singular complaints of fraud that potentially involve a substantial number of people or a substantial amount of money
- Arrests or convictions substantially related to the operation of the institution

High

- Significant financial harm to a person
- When evidence will like be destroyed or unavailable
- When complainant/victim may not be available later as a witness
- Unlicensed activity not posing an immediate danger to the public, health safety or welfare
- Aiding and abetting unlicensed activity, not posing an immediate danger to the public, health, safety or welfare
- Complaints with multiple prior complaints
- Complaints about schools on probation
- Fraud

Routine

- Quality of service
- Advertising
- Record keeping violations
- Non-compliance with a citation

The priority level of the complaint is indicated in the complaint file and on the Complaint Case Aging Log in the “Status” column.

It is the assigned CI analyst’s responsibility to adjust their caseload with regard to complaint priority. If you need assistance in determining how to adjust your caseload request a meeting with your manager.

(2) COMPLAINT CASE FILE REVIEW AND PROCESSING

Each complaint case file contains a “Case Activity Tracking Log” (Attachment A). The CI analyst is responsible for maintaining the “Case Activity Tracking Log” and recording all activities associated with the investigation of the complaint case and how long it took to conduct the activity

(3) REVIEW AND PROCESS THE COMPLAINT

1. THOROUGHLY READ THE COMPLAINT

- (1) The CI analyst reviews the complaint
- (2) The CI analyst checks the institution’s status in the Schools Automated Information Link (SAIL) Database.



All institutions with an approval to operate are issued a School Code.



- Enter the School Code and press the click the “Go” button

General School Information For School Code # []

File Schedule A Site Visit

S. A. I. L. Schools
General Information

Report Center Add/View Comments Save Work! Add School Item @ A Glance Back To Main

Institution's Program Types: Vocational: Degree: Registered: Title 38: Religious Exempt: Exempt: Residential: Distance Learning:

School Status: Active Status Date: 9/7/2010 Site Type: Main School Code: []
(When the current status changed.) **AUDIT** Institution Code: []

School/Institution Name: [] **AUDIT**

Title IV Funding? OPE ID: 00725300 Addressing Preference: []

School Physical Address: [] **AUDIT** School Mailing Address: []
Sacramento, CA 95834 Sacramento, CA 95834
County: Sacramento Phone Number: (916) [] Fax Number: (916) []
Accrediting Body/Agency: (> 2 please reflect in comments) Assigned Bureau Staff: Erica Smith Date Assigned: 4/30/2012
NACCAS - National Accrediting Commission of Cosm Web Address (URL Address): []

Contact Info Ownership Custodian Agent for ss Branches/Satellites Site Visits
Approval Registrations Religious Exemption Other Exemptions Enforcement Revenue Tracking Applications

Institutional Approvals (past and present) for Institution Code # 3401271

Approval ID	Approval Status	Approval Date	Expiration Date	Temp Expiration Date *	Associated App	Active?
	Accredited Institution Approval	5/12/2012	1/31/2016		24590	Yes
2022	Full Approval	12/21/2005	6/28/2012		18630	No
18874	Full Approval	6/30/2001	6/29/2005		6156	No
16749	Full Approval	7/1/1995	6/30/2001			No
13995	Full Approval	6/1/1981	7/1/1995			No

* 'Temp Expiration Date' only valid if the Approval Status is 'Temporary Approval'

- a. What is the School Status?
- Active
 - Active Refer to Specialist
 - Closed
 - Exempt
 - Expired Approval
 - Religious Exempt
 - Revoked
 - Surrendered Approval
 - Suspended
 - Term. Denial
- b. What is the Approval Status?
- Accredited Institution Approval
 - Full Approval

- c. What is the Approval Expiration Date?
- d. From what location(s) is the institution approved to operate?
 - a. Also refer to the Branches/Satellites tab for additional locations

(3) The CI analyst searches the United States Department of Education, “The Database of Accredited Postsecondary Institutions and Programs” to determine institutional accreditation (if any). <http://ope.ed.gov/accreditation/Index.aspx>



- (4) The CI analyst writes file notes, including:
- a. Institution’s approval and accreditation status
 - b. Approved educational programs. (the approved educational programs are found in SAIL)

General School Information For School Code # []

File Schedule A Site Visit

S. A. I. L. *Schools' General Information*

Report Center Add/View Comments Save Work! Add School Item @ A Glance Back To Main

Institution's Program Types: Vocational: Degree: Registered: Title 38: Religious Exempt: Exempt: Residential: Distance Learning:

School Status: Active Status Date: 9/7/2010 Site Type: Main School Code: []
(When the current status changed.) **AUDIT** Institution Code: []

School/Institution Name: [] **AUDIT**

Title IV Funding? OPE ID: 00725300 Addressing Preference: []

School Physical Address: **AUDIT** School Mailing Address: []
 Sacramento, CA 95834 Sacramento, CA 95834
 County: Sacramento Phone Number: (916) [] Fax Number: (916) []
 Accrediting Body/Agency: (> 2 please reflect in comments) Assigned Bureau Staff: Erica Smith Date Assigned: 4/30/2012
 NACCAS - National Accrediting Commission of Cosn Web Address (URL Address): []

Contact Info Ownership Custodian Agent for Process Branches/Satellites Site Visits
 Approval Registrations Religious Exempt **Programs** Enforcement Revenue Tracking Applications

Institutional Approvals (past & present) for Institution Code # 3401271

Approval ID	Approval Status	Approval Date	Expiration Date	Temp Expiration Date *	Associated App	Active?
▶ 21965	Accredited Institution Approval	5/12/2012	1/31/2016		24590	Yes
20259	Full Approval	12/21/2005	6/28/2012		18630	No
18874	Full Approval	6/30/2001	6/29/2005		6156	No
16749	Full Approval	7/1/1995	6/30/2001			No
13995	Full Approval	6/1/1981	7/1/1995			No

* 'Temp Expiration Date' only valid if the Approval Status is 'Temporary Approval'

- From the “General School Information For School Code page, click on the “Programs” tab

General School Information For School Code # []

File Schedule A Site Visit

S. A. I. L. *Schools' General Information*

Report Center Add/View Comments Save Work! Add School Item @ A Glance Back To Main

Institution's Program Types: Vocational: Degree: Registered: Title 38: Religious Exempt: Exempt: Residential: Distance Learning:

School Status: Active Status Date: 9/7/2010 Site Type: Main School Code: 3401271
(When the current status changed.) Institution Code: 3401271

School/Institution Name: []

Title IV Funding? OPE ID: 00725300 Addressing Preference: []

School Physical Address: []
 Sacramento, CA 95834
 County: Sacramento

School Mailing Address: []
 Sacramento, CA 95834
 Phone Number: (916) [] Fax Number: (916) 529-5000

Accrediting Body/Agency: (> 2 please reflect in comments)
 NACCAS - National Accrediting Commission of Cosm

Web Address (URL Address): [] Assigned Bureau Staff: Erica Smith Date Assigned: 4/30/2012

Contact Info Ownership Custodian Agent for Process Branches/Satellites Site Visits
 Approval Registrations Religious Exemption Other Exemptions Programs Enforcement Revenue Tracking Applications

Programs/Courses for Institution Code # 3401271

Program Title	Program Type	Program Length (Hours or Lessons)	# of Units	Subject to MW?	Approved On	Discontinued On
Barber	Non-Degree	1500		No	5/7/2013	
Barber Crossover	Non-Degree	400		No	6/27/2013	
Cosmetology	Non-Degree	1600		No	3/1/1992	
Esthetician	Non-Degree	600		No	3/1/1992	
Massage Therapy - 24 Semester Credits	Non-Degree		24	No	8/10/2010	

- The Programs tab lists all of the educational programs the institution is approved to provide. (when reviewing the complaint, ensure the program in which the student is enrolled is approved by the Bureau)

c. Complainant's allegations

- I. The allegations must also be entered in SAIL

Institutions/Schools Main Site

File Annual Reports Application Processing Certs of Authorization Enforcement Revenue Tracking School Information STRF Title 38 Help

Schools Information

Schools Information

1. Enter School Code:

(Example: 3404141)

▶ Enforcement/Complaints

▶ Applications Processing

▶ Annual Reports

▶ STRF

▶ Revenue Tracking

▶ COAFS / Agent Permits

▶ S.A.I.L. Net Main Site

S.A.I.L. NET

Schools Automated Information Link
Schools Main Site

The School Information site welcomes to the system.

Institutions Report Center

- From the main School Information Page, click on “Enforcement/Complaints



- The complaint record can be accessed by entering:
 1. Complaint Number
 2. School Code
 3. Institution Name
 4. Complainant Name
- Enter the search criterion

- The Enforcement Files Detail page is populated when the complaint case is opened. The CI analyst is responsible for inputting the “Allegations Against Subject School or Facility”.
 - Using the drop down arrow, select one of the pre-populated allegations. Up to three allegations can be selected
- d. Remedy sought by the complainant. How does the complainant want the issue(s) resolved?
 - e. Possible violations, based on the complainant’s allegations. Cite the specific Bureau laws and regulations that apply
 - f. Jurisdiction of allegations that do not fall under Bureau law
 - g. Next steps. The next course of action to be taken

- (5) Within 15 days of receipt of complaint, the CI analyst makes contact with complainant, if known. (some complaints are sent anonymously)
- a. When making contact via phone:
1. Introduce yourself (who you are, why you are calling)
 2. Explain the investigative process
 3. Review the submitted complaint and clarify your understanding of the allegations in the complaint
 4. Request and obtain additional details and documents (i.e. enrollment agreement, school catalog, copies of payment receipts, etc.)
 - a. Ask complainant to provide documents within one week
 - b. Create a tickler file for follow up
 5. If non-jurisdictional provide resources (jurisdictional agency, phone numbers, websites, etc.)
 - a. Prepare a closure report
 - b. Prepare closure letter, including referral information/resources
 - c. Provide report to manager for approval
 - d. When approved for closure
 - i. Mail closure letter to complainant
 - ii. Close complaint in SAIL

Enforcement File Details - All Access

File Institutions Enforcement Help

S. A. I. L. *Enforcement Files*
General Information

Complainant Information:
 First: [] Last: []
 Anonymous Name: []
 Address: [] Gender (M or F): []
 Phone Number: [] Attorney Retained? (Y or N) []

General Complaint Information:
Enforcement File Type: Complaint
Current Staff: BPPE Enforcement
Date Received: 6/19/12
Date Closed: 4/10/13

Subject School or UnApproved/UnRegistered Facility:
 School Code: [] Complaint Number: []
Violator School Name: []
Violator School Contact: [] []
Violator School Address: [] [] []
Violator School Phone #: [] [] Ext. []

Allegations Against Subject School or Facility:
 Allegation #1: []
 Allegation #2: []
 Allegation #3: []

Closure Information:
BPPVE Section # Violated: []
Amount Refunded: []

Basis for Enforcement File Closure:
 Reason #1: []

Initial Correspondence []

Your Enforcement Mailbox SAVE INPUT!
 Enforcement Main Site Unlicensed Activity Info Add/View Comments Report Center Print File Details S.A.I.L. System Site

- Enter the date closed
- Using the drop down menu, enter the closure reason in the Basis for Enforcement File Closure section. For a definition of closure reasons, refer to Attachment D, “Categories of Complaint Closure”

e. Complete “Complaint Case Action Request” Form (Attachment B) to have support staff close the case on the Complaint Case Aging Log.

- When making contact via email
 1. Use the same processes as making contact via telephone
 2. Request a phone number from the complainant and provide your contact information (email address, telephone number, fax number and the Bureau’s toll free number (888) 370-7589)

c. When making contact via letter

1. Use same processes as telephone and email
- (6) Update file notes regarding all actions you have taken
- (7) Write an email or letter to complainant reiterating your conversation and what the complainant has agreed to provide within one week
 - a. Submit the drafted email or letter to manager for approval to send
 1. When approved, email or send letter to complainant
- (8) Update SAIL
 - a. Update allegations (if necessary)

The screenshot shows the S.A.I.L. Enforcement File Details web application. The form is titled "Enforcement File Details - All Access" and includes the following sections:

- Complainant Information:** Fields for First, Last, Anonymous Name, Address, Gender (M or F), Phone Number, and Attorney Retained? (Y or N). There is a checkbox for "Anonymous File?".
- General Complaint Information:** Fields for Enforcement File Type (Complaint), Current Staff (BPPE Enforcement), Date Received (6/19/12), and Date Closed (4/10/13). There is a "Follow Up Date" field.
- Subject School or UnApproved/UnRegistered Facility:** Fields for Violator School Name, Violator School Contact, Violator School Address, Violator School Phone # (760 635-1085), and Ext.
- Allegations Against Subject School or Facility:** Fields for Allegation #1 (Contractual - Lack of Job Placement), Allegation #2, and Allegation #3.
- Closure Information:** Fields for BPPVE Section # Violated and Amount Refunded. There is a "Initial Correspondence" field.

A blue arrow points from the "Follow Up Date" field in the General Complaint Information section to the "Initial Correspondence" field in the Closure Information section.

- b. Input date the correspondence was sent in the Initial Correspondence Field

Enforcement File Details - All Access

File Institutions Enforcement Help

S. A. I. L. *Enforcement Files*
General Information

Complainant Information:
 First: Last:
 Anonymous Name:
 Address: Gender (M or F):
 Anonymous File?
 Phone Number:
 Attorney Retained? (Y or N)

General Complaint Information:
Enforcement File Type:
Current Staff:
Date Received: 6/19/12
Date Closed: 4/10/13
 Follow Up Date

Subject School or UnApproved/UnRegistered Facility:
Violator School Name:
Violator School Contact:
Violator School Address: , CA
Violator School Phone #: Ext.

Allegations Against Subject School or Facility:
Allegation #1:
Allegation #2:
Allegation #3:

Basis for Enforcement File Closure:
Reason #1:

BPPVE Section # Violated:
Amount Refunded:

- Click on the “initial Correspondence” button

Enforcement File Details - All Access

File Institutions Enforcement Help

S. A. I. L. *Enforcement Files*
General Information

Complainant Information:
 First: Last:
 Anonymous Name:
 Address: Gender (M or F):
 Anonymous File?
 Phone Number:
 Attorney Retained? (Y or N)

General Complaint Information:
Enforcement File Type:
Current Staff:
Date Received: 6/19/12
Date Closed: 4/10/13
 Follow Up Date

Subject School or UnApproved/UnRegistered Facility:
 School Code: Complaint Number:
Violator School Name:
Violator School Contact:
Violator School Address: CA
Violator School Phone #: Ext.

Allegations Against Subject School or Facility:
Allegation #1:
Allegation #2:
Allegation #3:

Basis for Enforcement File Closure:
Reason #1:

Complaint Correspondence Info:

	SENT	DUE DATE	RECVD
Initial Letter:	<input type="text"/>	<input type="text"/>	<input type="text"/>
2nd Letter:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Final Letter:	<input type="text"/>	<input type="text"/>	<input type="text"/>

- Enter the date the correspondence was sent and the date by which the complainant is to respond

(9) Update file notes and Complaint Case Activity Tracking Log

- (10) Research additional information about the school
- a. Are there other complaints against the school?
 1. Is there a pattern of complaints?
 - a. Check SAIL
 - b. Review other complaints

General School Information For School Code # []

File Schedule A Site Visit

S. A. I. L. Schools

General Information

Report Center Add/View Comments Save Work! Add School Item @ A Glance Back To Main

Institution's Program Types: Vocational: Degree: Registered: Title 38: Religious Exempt: Exempt: Residential: Distance Learning:

School Status: [] Status Date: 5/3/2013 Site Type: Main School Code: []
(When the current status changed.) **AUDIT** Institution Code: []

School/Institution Name: [] **AUDIT**

Title IV Funding? OPE ID: [] Addressing Preference: []

School Physical Address: [] **AUDIT** School Mailing Address: []

[] , Ca [] [] , CA []

County: Los Angeles Phone Number: [] Fax Number: []

Accrediting Body/Agency: (> 2 please reflect in comments) Web Address (URL Address): [] Assigned Bureau Staff: Alicia Newcomb Date Assigned: 1/12/2004

[Contact Info](#) | [Ownership](#) | [Custodian](#) | [Agent for Process](#) | [Branches/Satellites](#) | [Site Visits](#)
[Approval](#) | [Registrations](#) | [Religious Exemption](#) | [Other Ex](#) | [Enforcement](#) | [Revenue Tracking](#) | [Applications](#)

Institutional Approvals (past and present) for Institution Code # 1939211

Approval ID	Approval Status	Approval Date	Expiration Date	Temp Expiration Date *	Associated App	Active?
21488	Accredited Institution Approval	6/29/2011	12/31/2011		23585	Yes
19814	Full Approval	3/25/2005	6/27/2011		16089	No
12646	Full Approval	6/27/2000	6/27/2004			No

* 'Temp Expiration Date' only valid if the Approval Status is 'Temporary Approval'

- Click on the Enforcement tab

General School Information For School Code # []

File Schedule A Site Visit

S. A. I. L. Schools
General Information

Report Center Add/View Comments Save Work! Add School Item @ A Glance Back To Main

Institution's Program Types: Vocational: Degree: Registered: Title 38: Religious Exempt: Exempt: Residential: Distance Learning:

School Status: [] Status Date: 5/3/2013 Site Type: Main School Code: []
(When the current status changed.) **AUDIT** Institution Code: []

School/Institution Name: [] **AUDIT**

Title IV Funding? OPE ID: [] Addressing Preference: []

School Physical Address: [] **AUDIT** School Mailing Address: []
[] , Ca [] [] , CA []

County: Los Angeles Phone Number: ([]) [] Fax Number: ([]) []
Accrediting Body/Agency: (> 2 please reflect in comments) Web Address (URL Address): [] Assigned Bureau Staff: Alicia Newcomb Date Assigned: 1/12/2004

Contact Info Ownership Custodian Agent for Process Branches/Satellites Site Visits
Approval Registrations Religious Exemption Other Exemptions Programs Enforcement Revenue Tracking Applications

Complaints/Enforcement Files for School Code # 1939211

Complaint #	Date Rcvd	Date Clsd	Allegation	Basis For Closure	File Type
997483	7/5/2011		Fraud - Other		Complaint
997581	8/22/2011		Fraud - Lack of Instruction		Complaint
9976344	5/6/2011	8/3/2011	Contractual - Quality of Education	Not Substantiated - Insufficient Evidence to Confirm	Complaint
997806	12/9/2011	2/17/2012	Contractual - Failure to Make Accurate or	Resolved by School - Refund Made	Complaint
998538	10/29/2012	5/14/2013	Incompetence/Negligence - Financial	Resolved by School - Compliance Obtained	Enforcement

- All current and previous complaints against the institution are listed

b. Does the institution have a website?

1. Check the internet

2. Review the institution's website

a. Does it comply with Bureau law?

c. Is the school accredited?

a. Check the United States Department of Education's Database of Accredited Postsecondary Institutions and Programs <http://ope.ed.gov/accreditation/Index.aspx>

b. If applicable, check the appropriate accrediting agency's website

i. Has the accrediting agency taken disciplinary action against the institution?

1. Pursuant to California Education Code (CEC) §94944.6, the Bureau has the authority to request documents from the accrediting agency
- d. Does the institution and or its educational program(s) require approval from another agency?
 1. Is the approval current?
 - a. Pursuant to CEC §94899, approval is required for programs leading to licensed profession
- e. Check S.A.I.L for “Revenue Tracking”.
 1. Are the fees current?
 - a. STRF
 - b. Annual
 - c. Application

General School Information For School Code #1942591

File Schedule A Site Visit

S. A. I. L. *Schools' General Information*

Report Center Add/View Comments Save Work! Add School Item @ A Glance Back To Main

Institution's Program Types: Vocational: Degree: Registered: Title 38: Religious Exempt: Exempt: Residential: Distance Learning:

School Status: Active Status Date: 12/23/2013 Site Type: Main School Code: Institution Code: **AUDIT**

School/Institution Name: **AUDIT**

Title IV Funding? OPE ID: Addressing Preference:

School Physical Address: **AUDIT** School Mailing Address:

County: Los Angeles Phone Number: Fax Number:

Accrediting Body/Agency: (> 2 please reflect in comments) Assigned Bureau Staff: Date Assigned:

ACCSC - Accrediting Commission of Career School Web Address (URL Address): Leeza Riffredi 11/25/2002

Contact Info Ownership Custodian Agent for Process Branches/Satellites Site Visits

Approval Registrations Religious Exemption Other Exemptions Program Revenue Tracking Applications

All Financial Invoices Associated With Institution Code #1942591.

Invoice #	Fee Description	Invoice Date	Amount Paid	Annual Fee Period	STRF Period	Trans No	Check Rcvd
900227149	Non-Degree - Change of Location (Main/Branch)	2/1/07	\$285.00			158064	1/29/2007
900170600	STRF Assessment - Non-Degree	3/17/04	\$795.00		4th Quarter - 2003	126072	3/15/2004
900163408	STRF Assessment - Non-Degree	12/9/03	\$1,629.00		1st Quarter - 2002	122474	12/2/2003
900163409	STRF Assessment - Non-Degree	12/9/03	\$0.00		2nd Quarter - 2002	122474	12/2/2003

Print Revenue History

- (11) Review and analyze all evidence received from complainant
 - a. Identify legal authority and applicable law
- (12) If appropriate, contact (telephone, email, letter) institution,

- a. Request specific information and documentation related to the complaint
 1. Request the same documents you requested from the complainant and any additional records the institution may have
 2. Ask the institution to provide the documents within two weeks
 - a. Send a follow up letter to the institution regarding your request
 - b. Create a tickler file for a date to follow up with the institution
- (13) Review and analyze all documentation received from the institution.
 - a. Compare documents with those received from complainant

*if institution does not respond, consult with manager for possible referral to field investigation.

- (14) Write an investigation report, including:
 - a. A synopsis of the complaint
 1. A brief description of the complaint
 2. A summary of the findings of the investigation
 3. A statement of the evidence used to support your findings
 - b. Allegations (the applicable laws violated)
 1. Cite the specific law
 - c. Definitions
 1. See Article 3 of the California Private Postsecondary Act of 2009 (Act) of the California Education Code (CEC)
 - d. Investigative Narrative (Case facts)
 1. A detailed summary of the complaint, including the date the Bureau received the complaint
 2. A chronological account of the investigative process and the actions taken. (Only include relevant information regarding the allegations, violations and evidence)
 - a. Keep the information factual. Do not include any personal thoughts or opinions
 3. If the investigation reveals possible violations that have been referred to other persons, either within the Bureau or other agencies, state to whom and when
 4. A statement as to whether or not the complainant and the respondent have been notified of the results of your investigation.
 - e. Exhibits

1. List of items obtained during the course of the investigation that are included in the report and support the findings. (always specify whether the exhibit is an original or a copy)
 - a. Exhibit 1 is the complaint

f. Findings

1. Include the allegations exactly as stated in the report. Introduce each finding with the statement, In regard to the allegation of violation.....
 - a. Immediately following the statement regarding the violation, list the findings regarding the allegation
 - b. Following the findings, make a statement as to whether the allegation(s) was substantiated, unsubstantiated, or could not be substantiated, based on the evidence collected
 - c. Include exhibit numbers for documents referenced in the findings

g. Recommendation

1. What is your recommendation for disposition of your investigation? (i.e case closure, refer to field investigation, citation, etc.)

h. Attachments

1. List of items that are attached to the report and are pertinent to the investigation but are not included in the evidence
 - a. Always indicate if the attachment is an original or a copy

i. Witnesses

1. A list of people interviewed or who provided documentation
 - a. Always list yourself as the first witness

(15) Provide the completed report to the Complaint Investigations Manager for review and approval

- a. Write a closure letter to the complainant and school, if applicable
- b. Obtain management approval prior to sending closure letters.
 1. Closure letters may not be mailed until the investigative report has been approved for closure by the manager or designated staff person.

(4) COMPLAINT DISPOSITION

Based on the findings of the investigation, the following may occur

(1) Complaint approved for closure

a. The CI analyst closes the complaint in SAIL

Enforcement File Details - All Access

File Institutions Enforcement Help

S. A. I. L. *Enforcement Files General Information*

Complainant Information:
 First: [] Last: []
 Anonymous Name: []
 Address: [] Gender (M or F): []
 Phone Number: []
 Attorney Retained? (Y or N) []

General Complaint Information:
Enforcement File Type: Complaint
Current Staff: BPPE Enforcement
Date Received: 6/19/12
Date Closed: 4/10/13

Subject School or UnApproved/UnRegistered Facility:
Violator School Name: []
Violator School Contact: []
Violator School Address: []
Violator School Phone #: [] Ext. []

Allegations Against Subject School or Facility:
Allegation #1: []
Allegation #2: []
Allegation #3: []

Closure Information:
BPPVE Section # Violated: []
Amount Refunded: []

Basis for Enforcement File Closure:
Reason #1: []

Follow Up Date: []

Initial Correspondence: []

Your Enforcement Mailbox **SAVE INPUT!**

Enforcement Main Site | Unlicensed Activity Info | Add/View Comments | Report Center | Print File Details | S.A.I.L. System Site

- Enter the date closed
- Using the drop down menu, enter the closure reason in the Basis for Enforcement File Closure section
- If a violation was confirmed, enter the code violated in the “Closure Information:” section.
- If a refund was obtained for the complainant, enter the amount of the refund in the “Closure Information:” section.

Enforcement File Details - All Access

File Institutions Enforcement Help

S. A. I. L. *Enforcement Files General Information*

Complainant Information:
 First: [BPPE] Last: [Licensing]
 Anonymous Name: []
 Address: [] Gender (M or F): []
 Phone Number: []
 Attorney Retained? (Y or N) []

General Complaint Information:
 Enforcement File Type: [Complaint]
 Current Staff: [BPPE Enforcement]
 Date Received: [6/19/12]
 Date Closed: [4/10/13]

Subject School or UnApproved/UnRegistered Facility:
 School Code: [3712361] Complaint Number: [998242]
 Violator School Name: [Natural Success School of Holistics]
 Violator School Contact: []
 Violator School Address: [1106 2nd Street, #630]
 [Encinitas] [CA] [92024]
 Violator School Phone #: [760] [635-1085] Ext. []

Allegations Against Subject School or Facility: Allegation Description
 Allegation #1: [Contractual - Lack of Job Placement]
 Allegation #2: []
 Allegation #3: []

Basis for Enforcement File Closure:
 Reason #1: [Non-Operation]

Closure Information: Initial Correspondence []
 Number of Violations: []
 Amount Refunded: []

Your Enforcement Mailbox [] SAVE INPUT! []
 Enforcement Main Site [] Unlicensed Activity Info [] Add/View Comments [] Report Center [] Print File Details [] S.A.I.L. System Site []

- b. Mail complaint closure letter to complainant and institution
- c. File copy of letter(s) in case file

(2) Complaint approved for transfer

If the desk CI analyst is unable to resolve the complaint it may be necessary to transfer the case to a field CI analyst that can go to the institution location to collect records

- a. The desk CI analyst makes notes in SAIL

Enforcement File Details - All Access

File Institutions Enforcement Help

S. A. I. L. *Enforcement Files General Information*

Complainant Information:
 First: Last:
 Anonymous Name:
 Address: Gender (M or F):
 Anonymous File?
 Phone Number:
 Attorney Retained? (Y or N)

General Complaint Information:
Enforcement File Type:
Current Staff:
Date Received: 6/19/12
Date Closed: 4/10/13
 Follow Up Date

Complaint Correspondence Info:

	SENT	DUE DATE	RECVD
Initial Letter:	<input type="text"/>	<input type="text"/>	<input type="text"/>
2nd Letter:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Final Letter:	<input type="text"/>	<input type="text"/>	<input type="text"/>

School Code: **Complaint Number:**

Subject School or UnApproved/UnRegistered Facility:
Violator School Name:
Violator School Contact:
Violator School Address: CA
Violator School Phone #: Ext.

Allegations Against Subject School or Facility:
Allegation #1:
Allegation #2:
Allegation #3:

Basis for Enforcement File Closure:
Reason #1:

- Click on the “Add/View Comments” button

Enforcement - Comments & History

ENFORCEMENT - Add/View Comments

OR

For the below Complaint or Unapproved Facility File

Complaint #

- Click on the “Add Comment” button

Enforcement - Add A Comment

ENFORCEMENT - Add Comments


Comment to be Associated with

Complaint # * Required

and/or

School Code * Optional

Comment Body:



- Enter a comment that the case is being referred for field investigation

Enforcement - Add A Comment

ENFORCEMENT - Add Comments

Comment to be Associated with

Complaint # **and/or** **Add Comment**

School Code * Optional

Comment Body:

- Click the “Add Comment” button

- (4) Complaint approved for formal discipline
 - a. Notify the complainant and school of your findings
 - b. Request a License Certification from the Bureau's Custodian of Record.
 - 1. Send an email to the Custodian of Record requesting the licensing history of the specific institution. Be sure to cc: your manager on the email.
 - a. Provide the institution name, school code, and address
 - c. Complete the "Enforcement Referral" Form
 - c. Complete a "Complaint Action Request" Form
 - 1. Provide to the Complaint Investigations manager for approval
 - 2. Upon approval forward complaint file and forms to support staff for transfer to the Discipline Unit.
