

CLOSURE LETTER & ALLEGATION FILE CHECKLISTS

A. Closure Letter Checklist

- Verify that Statement of Concerns in the acknowledgment letter compares with Resolution of Concerns and concerns listed in CL and that all concerns have been addressed.
- Verify that responsible branch has concurred on closure letter to allegor.
- Verify that D:ACES (or designee) has concurred on closure correspondence to the allegor and the licensee for unsubstantiated discrimination and wrongdoing allegations.
- Verify that responsible branch has concurred on closure letter to licensee for unsubstantiated discrimination and wrongdoing allegations.

Judith Wall
Completed by

4/26/07
Date

B. Allegation File Closure Checklist

- Verify that all assigned actions have been completed by the responsible branches and/or divisions.
- Verify that dates of assigned and completed actions match the dates of the related documentation maintained in the file.
- Compare the concerns stated in the receipt documentation to the Statement of Concerns in the acknowledgment letter and the Resolution of Concerns in the closure letter and CL. If discrepancies are identified, such as a concern that was not addressed, the responsible branch chief should be notified. If warranted, the allegor should be contacted and a supplemental closure letter should be issued to the allegor.
- Verify that the file contains copies of the referenced memoranda, inspection reports, ARB summaries, OI reports, OI transcripts, DOL documentation, acknowledgment and closure letters to the allegor, referral letters to the licensee or Agreement State, and AMS summary page.
- N/A* If the allegation was referred to the licensee and no further action will be taken, contact the licensee to advise that the allegation is closed.
- Verify accuracy of all AMS data entries and that a "file closed" entry was made in AMS.
- e-mail responsible branch that file is closed.

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b-h