

SUBJECT: **Complaints**

NO: **C-555**

REVISION DATE: March 22, 2018

EFFECTIVE DATE: April 27, 2017

INTENDED USER(S): Arizona Training Program at Coolidge

Purpose:

- 1.0 Pursuant to 42 CFR, 483.420(a) (3), the purpose of this procedure is to provide guidance for conducting investigations of complaints received by the facility.
- 2.0 The facility will assure prompt detection, reporting, investigation and resolution of complaints and ensure that all complaint investigations are conducted in a fair, impartial, thorough, thoughtful manner and in compliance with all applicable state laws and regulations, and Department and Division policies and procedures.

Procedure

- 3.0 A complaint may be received by telephone, mail, electronic mail, mobile media or in person.
- 4.0 Whenever a complaint is received, the person receiving the complaint will immediately contact the Superintendent through the Switchboard.
- 5.0 The Superintendent/designee will:
 - 5.1 Assign responsibility for investigation of the complaint to an appropriate facility staff member;
 - 5.2 Establish a due date for the investigation to be completed and the complaint form submitted to the Superintendent's office for review and approval;
 - 5.3 Instruct the assigned investigator to enter the complaint into the Consumer Resolution System.
- 6.0 The assigned investigator will:
 - 6.1 Contact the complainant to acknowledge receipt of the complaint and request any additional information or clarification of the issues in the complaint;
 - 6.2 Conduct an investigation to acquire facts pertaining to the complaint; and
 - 6.3 Submit a completed complaint investigation report to the Superintendent within five working days of initial receipt of the complaint.
- 7.0 The Superintendent will review the complaint investigation report and:
 - 7.1 If determined not be thorough or complete, instruct the investigator to
 - 7.1.1 Conduct further investigation or
 - 7.1.2 Revise recommended resolution and
 - 7.1.3 Return the revised report to the Superintendent within a specified time period.

- 7.2 If determined to be thorough and complete,
 - 7.2.1 Assign responsibility for follow-up with the complainant to determine if the recommended findings/action resolves the complaint.
 - 7.3 Results of the follow-up will be:
 - 7.3.1 Entered into the Consumer Resolution System; and
 - 7.3.2 Entered on the complaint investigation report form;
 - 7.4 The completed complaint investigation report form will be maintained on file by the Superintendent.
- 8.0 The Superintendent will notify other relevant operational areas outside the facility (i.e. Employee Relations; Office of Inspector General, etc.) regarding the results of the complaint investigation and resolution if deemed necessary and/or indicated by applicable guidelines.

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