

COMPLAINT RESOLUTION POLICY #: 2004

Original Policy Date: 8/28/2013
Effective Date: 10/23/2013

Purpose:

To encourage prompt resolution of all customer concerns, outline minimum expectations for coordination among partners, and clarify roles in the complaint system.

Background:

Federal law and regulations require procedures for handling complaints alleging violation of WIA Title 1, Wagner-Peyser (including TAA), and Non-Discrimination laws (attached). The complexity of these procedures, and the resulting silos, may prevent partners from assisting all customers who have service delivery or customer service related concerns before they rise to the level of a formal, written complaint. The lack of standard expectations for handling concerns limits prompt and informal resolution and may unnecessarily increase the number of formal, written complaints.

This policy provides standard expectations for processing customer concerns and formal complaints. In so doing, it creates distinct definitions of customer “concern” and customer “complaint.” Minimum requirements have been established to create a process for referring complaints to partners located at one-stop center and affiliates for additional processing and resolution.

The oversight responsibility of WDCs is also clarified when dealing with complaints from “*other interested parties affected by the local Workforce Investment System, including One-Stop partners and service providers*” as described in 20 CFR 667.600(c)(1). The state has determined that allegations concerning WorkSource Center and Affiliate partners that do not fall under the defined program and non-discrimination processes described in the attached WorkSource System Complaint Handbook shall be processed as concerns.

Policy:

a. Concern and Complaint System

- The SWWDC will appoint one complaint coordinator, who will be responsible for the oversight of the complaint contacts. The complaint coordinator will appoint complaint contacts for each program and/or office.
- The complaint contact will be the first point of contact to the complainant and responsible for tracking all local complaints;
- It is the expectation of the SWWDC that complaint contacts shall collaborate when complaints present allegations involving multiple partners. The collaboration will also include the complaint coordinator and Local Equal Opportunity Officer, if necessary;

- SWWDC requires that all WorkSource partners provide an assurance that the complaint coordinator will be informed of all local complaints concerning WorkSource Centers and Affiliates Sites, from point of entry to resolution;
- All WorkSource system partners are required to follow the minimum complaint processing requirements contained in the attached WorkSource System Complaint [Handbook](#) for WIA Title 1, Wagner-Peyser, TAA, and Discrimination; and
- All partners are required to log, and track to closure, all complaints defined in the WorkSource Complaint [Handbook](#).

b. Local Customer Concern Resolution

Concerns must be processed at the local level prior to any state level intervention. The intent is to enable partners to assist customers at the lowest level possible, which will encourage the prompt and informal resolution of concerns.

c. Complaint Jurisdiction

All partners located at WorkSource Centers, Affiliates or elsewhere are responsible for the outcomes of complaints that fall within their jurisdiction. Determinations of jurisdiction will be made based on the specific funding stream that supports the function tied to the complaint allegations, not based on associations other than funding sources.

Definitions:

For a complete list of definitions refer to the attached handbook.

Complaint – The submission of a written and signed allegation that falls under the jurisdiction of WIA Title 1, Wagner-Peyser, TAA, and/or Non-Discrimination requirements as noted in the WorkSource Complaint [Handbook](#). At a minimum, complaints must contain the following information:

- Complainant's name;
- Mailing address, or other means by which the complainant may be contacted;
- Identification of individual(s) or organizations(s) responsible for the alleged issue;
- A description of the complainant's allegations, which must include enough details to determine the jurisdiction of the complaint and the date(s) the alleged incident(s) took place; and

The complainant's signature and signature date. The signature of his/her authorized representative is also acceptable.

Complaint Contact – The Program management or staff designated by program Administrators responsible for processing program complaints. WDC Equal Opportunity officers or the State Equal Opportunity Officer may serve as a complaint contact for discrimination complaints. A contact may also be appointed by the One-Stop Operator that initially assists all customers interested in filing a complaint at a local WorkSource office and determines partner(s) program's complaint jurisdiction if a complaint is subsequently filed.

Complaint Coordinator – The WDC designated single point(s) of contact for each WorkSource Center and Affiliate Site. The site's Complaint Coordinator is responsible for facilitating the initial process and promoting coordination to resolve all complaints.

Concern – Any verbal expression of dissatisfaction or any written expression of dissatisfaction other than alleged violations of program or non-discrimination rules or laws. Concerns must be referred but do not require the same formal process as a complaint (i.e., logging, tracking, etc.). See [Handbook](#) for complete process.

Supersedes:

The following guidance documents have been incorporated in the WorkSource Complaint Handbook. All of these documents have been superseded by this policy and the accompanying handbook.

SWWDC Policies:

- 4004 Initial Customer Complaint Policy

State Policies/Guidance:

- WorkSource Policy 1012, Initial Customer Complaints
- WIA Policy 3440 Rev 1, WIA Complaint Policy
- WIA Policy 3450 Rev 1, Equal Opportunity and Discrimination Complaint Processing Policy and Procedures
- WIA Policy 4061, Migrant and Seasonal Farmworker Complaint Policy
- TAA Policy 3075, Complaints Appeal Process

Website:

<http://www.swwdc.org/service-providers/policies.html>

Attachments:

Attachment A: Complaint Handbook ([LINK](#))