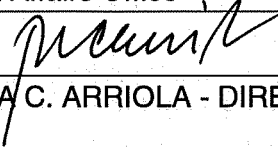


Guam Behavioral Health and Wellness Center		
TITLE: Consumer Complaint Process	POLICY NO.: AD-PA-10	Page 1 of 4
RESPONSIBILITY: Patient Affairs Office		
APPROVED BY:  THERESA C. ARRIOLA - DIRECTOR	DATE OF ORIGINAL APPROVAL: 4/19/2017	LAST REVIEWED/ REVISED: 7/1/20

PURPOSE:

- A. To promote consumer's access to high quality services by responding to consumers' concerns in a sensitive and timely manner.
- B. Provide consumers with an easily accessible, problem resolution process for resolving issue whenever possible.

POLICY:

- A. Guam Behavioral Health and Wellness Center (GBHWC) is committed to listening to consumers and other stakeholder's complaints and responding in a fair, timely and respectful manner. All complaints will be given due consideration without reprisal, discrimination and barriers to services. Complaints shall be given action or address within ten (10) working days.
- B. GBHWC actively informs consumers of their right to register complaints (verbal or written), rights to access an advocate or other assistance through the Guam Protection and Advocacy Office and seek resolution. This information is accessible and printed in the Consumers Rights and Responsibilities Statement or Notice of Privacy Practices. *(reference: Consumer Orientation Policy)*
- C. All aspects of complaint will be handled in confidence. However, if the complaint involves allegations of illegal or unethical behavior, information may need to be shared with external authorities.
- D. The GBHWC Director will be the last level of internal review for all consumer complaints. Any decision made by the director shall be deemed final. If the consumer is not satisfied with the resolution, he/she will be advised of her/his options and right to start litigation.
- E. Complaints deemed a risk to the Department are brought forward to the Risk Management Officer.
- F. All complaints shall be investigated accordingly and included in the annual analysis if appropriate.

RESPONSIBILITIES:

Division Heads: shall be the primary person responsible for tracking, reporting and monitoring consumer complaints. Responsibilities include;

- A. Shall keep track of all the complaints filed in their division, and shall address the complaints within 10 working days.
- B. Shall keep and maintain a centralized log of all; complaints and grievances. This log shall contain at least the following;

1. Name of consumer
 2. Date of receipt of the complaint
 3. Nature of the complaint or problem
 4. Final disposition
 5. Date of written decision sent to the consumer or documentation of final disposition.
- C. A report of all the complaints log and summary shall be submitted quarterly to the Quality Improvement Coordinator in charge of the complaints/Designated Customer Service staff.

Designated Customer Service/Quality Improvement Coordinator in charge

- A. Shall accept, log and triage all formal and informal complaints accordingly.
- B. Shall collect on a quarterly basis all the formal complaints report from the different program and prepare a summation of all the complaints to be reported and submitted to the Environments of Care Committee (EOC) or Quality Improvement Committee meeting.
- C. A written annual analysis of all formal complaints shall be completed by the designated customer service staff / Quality Improvement Coordinator in charge which will include trends, areas needing performance improvement and actions taken and submitted to the EOC and Director or Deputy Director

Risk Management Officer:

- A. Shall investigate all complaints deemed a risk to the Department under the direction of the Director.

Environments of Care Committee/Quality Improvement Committee

- A. Shall determine trends and identify areas needing performance improvement from the quarterly report of the designated consumer service staff.

DEFINITIONS:

1. Appeal: A request for review of an action, which denies, reduces, suspends or terminates a previous resolution.
2. Formal Complaint: Complaints made in writing using the consumer complaints form.

PROCEDURE:

To provide maximum support to the staff- consumer relationship, the complaint resolution process begins with the involvement of the staff person who provided service, unless this is not in the best interest of the consumer.

Step 1: Receiving a Complaint

- A. If the staff providing service receives the complaint, the consumer should be offered the earliest opportunity to discuss their concern(s) with their primary counselor or social worker, and shall be directed to the designated consumer complaint service staff to fill out the Complaint Form.

- B. The consumer service staff shall try to handle the complaint if possible, and explain GBHWC policy if appropriate.
 - 1. If complaint is handled to the mutual satisfaction of the complainant, consumer services staff shall fill out the Complaint Response Form documenting the resolution of the complaint. A completed copy is forwarded to the supervisor or Department Head of the person providing services, and original shall be filed in the customer service binder.
 - 2. If the complaint is not resolve, consumer service staff shall forward the complaint to the appropriate Division Supervisor for resolution.
- C. The complaint shall be forwarded to the section supervisor for investigation and resolution.
- D. If the complaint is handled to the mutual satisfaction of the complainant and the person providing service, the complaint and resolution is documented on the *Complaint Form F-AD-PA-10.1* and *Complaint Response Form F-AD-PA-10.2*. Once the form is completed a copy is forwarded to the Consumer Service Staff

Step 2: Discussion with a Manager/Supervisor

- A. If the consumer service staff is unable to resolve a complaint, the complaint shall be forwarded to the section supervisor.
- B. The preferred method is to have the manager contact the consumer as soon as possible after consulting with the involved staff
- C. If a complainant contacts a manager/supervisor to complain about the staff or about the service provided, the manger should hear the complaint, but offer no action without discussing the matter with the staff person involved.
- D. From the point a manager takes a call from a complainant or contacts the complainant about a complaint, a meeting between the manager and complainant should be offered within five (5) working days if the complaint was not resolved
- E. The staff being complained at and the manager should jointly plan the response to the consumer's complaint.
 - 1. Whenever possible the plan should support the integrity of the consumer- staff relationship and unless contraindicated, the staff person involved should be present at any meeting between the manager and complainant.
- F. The manager shall try to resolve the matter to the satisfaction of the complainant and staff involved, if this fail, the manager informs the complainant of their right to appeal and seek resolution through a meeting with the director.
- G. A letter must be sent to the complainant within two (2) weeks of the meeting. The Director is informed of the complaint and the resolution or lack of resolution.

Step 3: Appeals Process/Meeting the Director or Designee

- A. If the complainant is not satisfied with the response from the manager, the complainant may take the complaint and appeal to the Director.

- B. The Director is alerted immediately if the complainant wishes to pursue the case and appeal the decision of the Manager to the Director. A copy of the completed *Complaint Form F-AD-PA-10.1* and the *Complaint Response Form F-AD-PA10.2* shall be completed and submitted to the Director.
- C. If requested, the Director or designee will meet with the complainant one (1) week of receiving the request or the earliest possible time both parties can schedule a meeting.
- D. Prior to the set meeting, the Director or designee will contact the manager and the staff involved and seeks any necessary consultation or conduct an investigation. Whenever possible the Director or designee will attempt to involve the staff and manager in the planning process and may invite one or both to the meeting.
- E. The Director or designee will attempt to resolve the problem with the complainant. Within two (2) weeks of the meeting, the director or designee shall send a letter to the complainant setting out any agreement reached, or, the Director's decision regarding the complaint.
- F. In instances where there is an allegation of criminal or serious ethical breach of conduct by GBHWC personnel, the Director may waive the requirement to inform personnel until legal and/or police advice is sought and may continue to refrain from informing the person during the course of an investigation providing there is no breach of a legal or contractual standard.

Documentation

- A. All consumers with a complaint shall formally fill up the *Complaint Form F-ADPA-10.1* and shall be assisted if necessary by the staff receiving the complaint.
- B. All complaint forms must be forwarded to the appropriate Supervisor or Division heads for filing and for action.
- C. *Complaint Response Form F-ADPA-10.2* shall be completed by the Supervisor/Manager for any actions taken to resolve the complaint.
- D. The complaint file (includes all documentation, correspondence, resolution and follow up) should be maintained by the Manager/Division Heads.
- E. A quarterly report of all complaints shall be forwarded to the Directors and reported in the Quality Performance Improvement Committee monthly meeting.

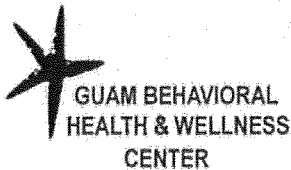
ATTACHMENTS:

- A. *F-AD-PA-10.1 Complaint Form*
- B. *F-AD-PA-10.2 Complaint Response Form*

REFERENCES:

SUPERSEDES:

- A. CASD Grievance Protocol; 8/10/2012 / Wilfred Aflague
- B. Consumer's Procedure for Grievance; 1/8/91 Marilyn Wingfield



GBHWC COMPLAINT FORM

Purpose: Fill out this form if you believe your rights as a consumer have been violated by GBHWC staff or you are dissatisfied with the services you received at GBHWC.

Process: Written or verbal complaints can be initiated by you or someone acting on your behalf (i.e., parent, guardian, etc.).

Step 1: Complete all sections of this form.

If you need help filling out this form you can ask the Registration Staff to contact a Consumer Advocate or your Lead Provider for you or ask a staff member you trust to help you fill up the form.

Step 2: Submit the completed form to the Suggestion Box on the 2nd floor near the Registration Desk in the main office or in the Registration Desk of other offsite satellite offices.

Please make sure you included your contact information (i.e., phone number, mailing address) so we have a way of responding to your complaint.

Step 3: Someone will contact you within ten (10) working days.

The appropriate staff will respond to your complaint accordingly. If you request a meeting, we will schedule it at the earliest date convenient to all involved individuals. If we are unable to reach you by telephone we will mail a response within 5-10 business days.

If you do not hear from anyone within 10 working days please call our Quality Improvement Coordinator at 647-1901.

Filing a complaint on behalf of a consumer: For confidentiality purposes, if you are a parent/guardian and filing the complaint on the consumer's behalf, please provide a copy of documentation authorizing your ability to do so (i.e., guardianship papers).

Questions: If you have questions about this form or the process of making a complaint, please contact our Registration Desk at 647-5330.

Anonymous complaints: We cannot respond to anonymous complaints or complaints with no contact information. Remember, all complaints are kept confidential and your treatment and services will not be affected if you file a complaint. You are encouraged to submit your complaint in the drop box on the 2nd floor near registration in the main facility or at other registration desk in the offsite satellite offices to help maintain your confidentiality.



COMPLAINT FORM

Consumer or community member Information filing the complaint	
Name:	
Date of Complaint:	
Designation: <input type="checkbox"/> Consumer <input type="checkbox"/> Parent <input type="checkbox"/> Guardian <input type="checkbox"/> other:	
Contact Info: Mailing address and telephone no.	
Complaint information: Please tell us what happened. When did it happen? Who was involved?	
Date and Time of Incident	Location:
Complaint Issues: (Use back page for additional space)	
Solutions Sought by Consumer or Community Member: (Use back space for additional space) (note the solutions the complainant is seeking to each of the issues listed above)	
Complaint Background: (brief description of client's circumstances and situation leading to complaint)	
Witness (es)	



COMPLAINT RESPONSE FORM

FOR OFFICIAL USE ONLY

Complainant Name: _____ Date and Time of Incident _____

Date Complaint Received: _____ Received by: _____

ACTIONS TAKEN

Step 1 Process

Step 2 Process

Step 3 Process

Date:

Staff Involved:

Notes:

Outcome: Resolved Not Resolved Next Step

Date:

Recommendation:

Staff _____

Supervisor _____

Program Head/Administrator _____

Director: _____



GUAM BEHAVIORAL HEALTH & WELLNESS CENTER

790 Gov. Carlos G. Camacho Rd. Tamuning, Guam 96913

TEL: (671) 647-5330 FAX: (671) 649-6948

REVIEW AND ENDORSEMENT CERTIFICATION

The signatories on this document acknowledge that they have reviewed and approved the following:

Policy Title: Consumer Complaint Process

Policy No: AD-PA-10

Initiated by: Marilyn Aflague

Date	Signature
6-1-2020	

Marilyn Aflague
Administrative Services Officer

Date	Signature
6/17/2020	

Reina Sanchez, M.A.
Clinical Administrator Division of Clinical Services

Date	Signature
6-24-20	

Angie Unpingco LCSW, LPC
Child Adolescent Services Division Administrator

Date	Signature
6-19-2020	

Leonora G. Urbano MSN, RN-BC
Deputy Director

Date	Signature
6/29/2020	

Dr. Ariel Ismael
Medical director

Date	Signature
6/30/2020	

Carissa Pangelinan
Deputy Director

DA#062920-0404

