



- reprisal. Staff shall provide writing assistance to any persons seeking to make complaint/appeal who has limited English proficiency or a disability that impedes their ability to complete the required documentation.
2. Responsiveness: All complaints and constructive feedback shall be taken seriously and handled within timelines established by approved procedures
  3. Cultural Appropriateness: HHs' process shall consider the complainants specific cultural attributes including traditional mechanisms for raising and resolving issues, to ensure that the concerns of different groups and subgroups are received and addressed.
- B. Protecting the Complainants/Appellants and Safeguarding Their Rights: HHs' staff receiving complaints and appeals shall understand the risks associated with to the act of filing and complaint and shall afford the complainant confidentiality, anonymity and other complainant rights:
1. Protection: Potential risks to all parties to a complaint shall be carefully considered, including ways to prevent harm. Complainant shall be assured of HHs' commitment to no retaliation
  2. Confidentiality and Anonymity: Staff shall comply with confidentiality and privacy requirements when collecting, using, disclosing and storing information, and will treat all complaints and appeals confidentially. They will ensure that any request for confidentiality is complied with unless doing so would pose a risk to any person. Complainants and appellants shall be advised of the communication challenges with respect to anonymously filed complaints or appeals including follow-up on the resolution
  3. Rights-Compatibility: HHs' process, its related complaint or appeal outcomes and remedies do not restrict the complainants right to access to other redress mechanisms
  4. Impartiality and Independence: HHs' complaint and appeal decisions shall be impartially made. Complaints and appeals shall be treated on their merits, with an open mind and without prejudice arising from any previous contact between the complainant and the organization. There shall be a full and objective evaluation of the facts or evidence provided in support of a complaint. Issues of conflict of interest shall be identified and declared to ensure objectivity.
- C. Process Monitoring: The Board of Directors shall receive periodic reports related to the complaint and appeal activities including the number received, trends in the type of complaints and significant findings and recommendations for improvement.

### **Communication and Training:**

The Board shall receive a copy of the policy at the time of periodic review and will have an opportunity to ask clarifying questions during the approval process. Employees and volunteers shall receive notice of the Board's policy review and approval including notice of any substantive changes. The notice will provide a link to the policy located on the HH website.

The complaint and appeals process shall be widely communicated to current/prospective employees, current/prospective clients and community stakeholders and accessible on the HH website.

### **Definitions:**

1. Appeal: When a party requests a formal change to an official decision and the request is referred to a higher authority.

2. Complaint: Any dispute with respect to management/staff decision, action or failure to act in accordance with requirements or policy.
3. Formal Complaint/Appeal: A dispute or concern that is put in writing, typically a persistent or egregious matter.
4. Stakeholders: Constituents of HH including but not limited to clients, prospective clients, employees, prospective employees, volunteers, community partners and catchment area residents.

**Other Related Materials:**

Complaints and Appeals Form  
 Managing Complaints and Appeals Procedure

**References/Legal Authority:**

[Filing a Formal Complaint, US Equal Employment Opportunity Commission, 2023.](#)

[Complaint Mechanisms: Reference Guide for Good Practice, Transparency International, 2016.](#)

[Performance and Quality Improvement Standards \(PQI\) 1.03 & 3, Council on Accreditation, 2023.](#)

**Change Log:**

Date of Change	Description of Change	Responsible Party
2.2024	This is a new procedure.	N. Miller, Prog. Eval. Consultant



## Universal Complaint and Appeal

Complaint    Appeal

**Instructions:** Complete all sections below. Attach all documentation that may be appropriate in supporting your complaint or appeal.

_____	_____
First Name	Last Name
_____	_____
Street Address	City, State, Zip Code
<input type="checkbox"/> Email <input type="checkbox"/> Phone <input type="checkbox"/> Text	
_____	_____
Best Contact Method	Email and/or Phone #

Indicate which category your complaint/appeal relates to:

- Service Access/Denial of Service    Service Quality    Equal Employment Opportunity
- Other, describe: \_\_\_\_\_

Please describe the problem resulting in your complaint/appeal.

Please explain your requested solution to the problem or issue.

Describe any attached supporting documentation.

I have read and understand Hopeful Horizons' Complaint and Appeal policy and related procedure and attest the information submitted is complete and accurate.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Office Use Only \_\_\_\_\_

Received By: \_\_\_\_\_ Date: \_\_\_\_\_

Action/Resolution: \_\_\_\_\_

\_\_\_\_\_