

Grievance Policy

Date Approved: August 23, 2017

Date Revised: June 1, 2018

Owner: Legal and Compliance

Policy

People Incorporated shall maintain a clear and responsive process for documenting, investigating, resolving and responding to any allegations of compliance violations made to People Incorporated by its employees, by individuals served by its programs or their authorized representatives, or by members of the public. All People Incorporated employees shall comply with and assist in the Grievance process as requested, including responding to inquiries of staff overseeing the Grievance process. People Incorporated shall not retaliate against individuals employed by, or receiving services from, People Incorporated who report concerns in good faith.

Definitions

“Grievance” means a statement made by any individual to People Incorporated alleging a violation of law, professional standards, or Corporate Policy by People Incorporated or someone acting on People Incorporated’s behalf, or alleging improper client service provision by People Incorporated or someone acting on People Incorporated’s behalf. Grievances include, but are not limited to, allegations of civil rights infringements, improper billing or payment, or improper access, use, or sharing of sensitive information. A Grievance is not synonymous with an “incident” as defined in the Incident Reporting Policy, but the allegation which forms a Grievance may include events which could meet the definition of an “incident” and, thus, it may additionally be necessary to report these events according to the Incident Reporting Policy.

Procedure

1. The Grievance process is initiated when any employee receives a Grievance regarding People Incorporated or someone working on People Incorporated’s behalf.
2. Employees shall not retaliate against any individuals for the submission of Grievances in good faith to People Incorporated, including individuals employed by People Incorporated, or receiving services from, People Incorporated.
3. The Legal and Compliance Team shall establish and communicate telephone and email hotlines that allow employees, individuals served by People Incorporated’s programs or their authorized representatives, and by members of the public to submit Grievances. Compliance Coordinators shall maintain these hotlines and monitor them for Grievances.

4. Compliance Coordinators shall maintain an organization—wide Grievance Log of all Grievances received, which includes, but is not limited to, date of receipt, summary information, current status, and date of resolution.
5. If required by law or program policy, employees shall provide individuals who receive services from People Incorporated a copy of the Grievance Policy consistent with that law or policy. Additionally, when requested, Employees shall provide individuals receiving services from People Incorporated, or their authorized representatives, copies of the Grievance Policy. When requested, Employees shall provide individuals who receive services from People Incorporated, or their authorized representatives, direction on how to submit a Grievance.
6. Any Employee who receives a Grievance from an individual directly must notify the Compliance Coordinator of the nature of the Grievance via email at legalandcompliance@peopleincorporated.org within the same business day. If the Grievance is in writing, the employee must also send a copy of the document or forward the communication to the Compliance Coordinator. To the extent that an employee has supplemental information about the Grievance— explaining the context of the Grievance or grievance or an explanation of actions that have been or will be taken in response to the Grievance or grievance – that information should be sent along with the Grievance to the Compliance Coordinator.
7. If any Grievance received implicate matters in which the General Counsel or Compliance Coordinators are personally and substantially involved, action shall be taken in coordination with the CEO, CFO, or Board Chair, as appropriate, to mitigate any possible conflicts, including removing conflicted individuals from decision-making and involvement in the Internal Review.
8. If any Grievance cannot be resolved in the manner defined in the Grievance process in section 10, or an individual requests applicable external reporting resources, the following contact information shall be provided:

Office of Health Facility Grievances Phone:
651-201-4201, Fax: 651-281-9796
85 E 7th Place, Suite 220
St. Paul, MN 55101

Mental Health Association of
MN Phone: 651-493-6634
475 Cleveland Avenue N, Suite 222
St. Paul, MN 55104

Division of Licensing
Phone: 651-431-6500, Fax: 651-431-7673
444 Lafayette Road, PO Box 64242
St. Paul, MN 55164-0242

Office of the Ombudsman for Mental
Health and Developmental Disabilities
Phone: 651-757-1800
121 7th Place E, Suite
420 Saint Paul, MN
55101

Department of Human Rights
Phone: 651-539-1100
Freeman Building, 625 Robert Street N
St. Paul, MN 55155

Saint Paul Department of Human
Rights Phone: 651-266-8966
15 W Kellogg Blvd, City Hall
240 Saint Paul, MN 55102

Minneapolis Department of Civil Rights
Phone: 612-673-3012
350 South 5th Street, Room 239
Minneapolis, MN 55415

Minnesota Board of Behavioral Health
and Therapy
Phone: 612-548-2177
2829 University Ave. SE Suite #210
Minneapolis, MN 55414

9. When the Compliance Coordinator receives a Grievance, it shall be added to the Grievance Log, along with appropriate documentation.
10. Subsequent to logging a Grievance, the Compliance Coordinator shall determine whether any program-specific regulations mandate a specific sequence and timing for handling the Grievance. If so, and if those requirements differ from the sequence and timeline identified in paragraphs 11 - below, then those requirements shall be followed even if they conflict with the below procedure.
11. The Compliance Coordinator shall acknowledge receipt of the Grievance to the individual making the Grievance. This communication to the individual who initiated the Grievance shall be made in writing (either via mail or email) unless no contact information is available for the individual which would allow for a response in writing.
12. The Compliance Coordinator shall review the nature of the Grievance to determine whether review under the Investigation Policy or the Internal Review Policy is necessary to resolve the Grievance.
13. If the Compliance Coordinator determines that review under the Investigation Policy or Internal Review Policy is not necessary, the Compliance Coordinator shall forward the Grievance to the appropriate manager to review the Grievance and to take appropriate action to resolve the Grievance. When forwarding the Grievance to the manager, the Compliance Coordinator shall indicate the date by which the Grievance must be resolved according to this policy or any applicable law. Once a manager reviewing a Grievance has reached a resolution, the manager shall communicate this to the Compliance Coordinator along with a brief summary of the resolution.
14. If the Compliance Coordinator determines that review under the Investigation Policy or the Internal Review Policy is necessary to resolve the Grievance, then review of the matter shall proceed as an Internal Review or Investigation, depending on the nature of the Grievance. The Compliance Coordinator shall assure that those individuals involved in any Internal Review or Investigation are aware that the resolution of the Grievance must be completed within 30 days of receipt of the Grievance.
15. Regardless of whether the Grievance was reviewed and resolved under paragraph 13 or 14, within 30 days of receipt of the Grievance, the Compliance Coordinator shall communicate in writing, where possible, the resolution of the Grievance to the individual who made the Grievance. The Compliance Coordinator shall document a summary of the events in the Grievance Log. Program staff are responsible for documenting the grievance and its resolution in the applicable service recipient's record, to the extent required by law or by program policies.

Roles and Responsibilities

All Employees

- Responsible for forwarding Grievances to Legal and Compliance, along with any supplemental information the employee may have regarding the Grievance.
- Responsible for advising individuals of the Grievance and reporting resources, and, as appropriate or required, to assist individual receiving services in the submission of a Grievance.
- Responsible for documenting a Grievance and its resolution in the applicable service recipient's record, to the extent required by law or by program policies.

Program/Business Function Manager

- Responsible for ensuring all individuals receiving services from programs in their purview have been provided a copy of the Grievance Policy consistent with the law and program policy, as well as when requested.
- Responsible for ensuring the Grievance Policy is posted at the service location in a place accessible to all service recipients.
- Responsible for providing the Compliance Coordinator with all information requested to conduct the investigation, and by the date indicated.
- Responsible for reviewing and taking action to resolve Grievances in accordance with this policy.
- Responsible for ensuring any identified corrective action plans related to Grievances are completed and implemented.

Compliance Coordinator

- Responsible for intake, documentation, and archiving of all aspects of the Grievance process.
- Responsible for determining if a Grievance requires review under the Investigation Policy or Internal Review Policy.
- Responsible for initiating, where appropriate, an investigation or internal review to resolve a Grievance
- Responsible for communicating resolution of a Grievance to the individual who initiated the Grievance within 30 days or within any other time period required by law.
- Responsible for reviewing and responding to a Grievance consistent with any program-specific requirements and with this policy.
- Responsible for communicating findings and coordinating corrective measures and follow up to the individual within the applicable timelines.

General Counsel

- Responsible for providing advice on legal issues related to misconduct and compliance violations and the organization as a whole when appropriate.
- Responsible for working with the Compliance Coordinator to validate the findings of the investigation.

TO REPORT A GRIEVANCE, CONTACT THE LEGAL AND COMPLIANCE OFFICE:

(1) By phone at 612-623-1173; or

(2) By e-mail at legalandcompliance@peopleincorporated.org.