

# North Central Workforce Development Area

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## LOCAL ONE-STOP GUIDANCE

Directive #: <u>13-09 (Rev 2)</u> Date: <u>June 1, 2022</u>
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TO: WorkSource Center and Affiliates, WIOA Title I-B Providers, Wagner-Peyser & Trade Adjustment Act Providers

FROM: Lisa Romine, Executive Director

SUBJECT: Customer Concern & Complaint Policy

SUPERCEDES: LOG 13-09 REV 1

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### Summary of changes:

- Added Discrimination Complaint Handbook link and clarified Discrimination concerns or complaints should be immediately forwarded to the local Equal Opportunity Officer.
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### I. PURPOSE:

The purpose of this directive is to provide additional guidance to ensure prompt resolution of all and customer concerns and outline minimum expectations for complaint processing coordination among partners. Full guidance is found in [WorkSource Policy 1012 Rev 2](#).

Federal law and regulations require procedures for handling complaints alleging violation of Workforce Investment Act Title 1, Wagner-Peyser (including TAA), and Non-Discrimination laws. The Employment Security Department: Workforce & Employment Development Division established a State policy that provides standards for processing customer concerns and complaints. It defines customer “concern” and customer “complaint.” Minimum requirements have been established to create a process for referring complaints to partners located at one-stop centers and affiliates for additional processing and resolution.

Program concerns shall be addressed at the lowest level possible by making every effort to find a resolution rather than immediately referring the customer or elevating to a complaint. The intent is to require local Center or Provider staff to collaborate as necessary to promptly and informally address customer concerns.

### II. COMPLAINT COORDINATOR AND PROGRAM CONTACTS:

Each Comprehensive, Affiliate or Title I Center is to identify the following:

- One (1) Complaint Coordinator and one (1) backup
- One (1) Program Complaint Contact and one (1) backup for each applicable partner program housed at the Center (Wagner-Peyser, TAA, WIOA Title I)

Please use the attached form (**Attachment A**) to identify these individuals. Centers are required to update this information with the WDB (or One Stop Operator) on an annual basis or whenever a change to these assignments is made.

### **III. POLICY:**

#### **a. One Stop Operator Responsibilities:**

(Note: In the case where a Workforce Investment, Wagner-Peyser or Trade Adjustment service provider is not housed at a One Stop Center or Affiliate, the service provider has the same following responsibilities at their location).

Each Operator or Provider will establish and implement a procedure that:

- Designates at least one complaint coordinator and one back up, who shall be responsible to track all complaints within their Center, Affiliate or Provider;
- Requires local complaint contacts collaborate when complaints present allegations involving multiple partners;
- Requires informal resolution of customer concerns;
- Requires WorkSource partners assure that the complaint coordinator will be informed of all customer complaints concerning the Center, Affiliate or Provider, from point of entry to resolution;
- Includes the minimum complaint processing requirements contained in the attached Complaint Handbook for Workforce Investment Title 1, Wagner-Peyser, Trade Adjustment, and Discrimination; and
- Establishes a single system to log, and track to closure, all complaints defined in the Program Complaint Handbook (see References).

#### **b. Local Customer Concern Resolution:**

Concerns shall be processed by appropriate local personnel prior to state level intervention. The intent is to require local Center or Provider staff collaborate as necessary to promptly and informally address customer 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.

#### **d. Confidentiality:**

The identity of complainants and any persons who furnish information relating to, or assisting in, an investigation of a complaint must be kept confidential to the maximum extent possible, consistent with applicable law and a fair determination of the complaint.

### **IV. SUMMARIZED DEFINITIONS: (See WorkSource Policy 1012 Rev 2 for full definitions)**

#### **Concern**

Concerns are written or verbal expressions of dissatisfaction rather than alleged violations of program or discrimination regulations. Concerns do not require the same formal process as a complaint (i.e., logging, tracking, etc.). Concerns should be resolved at the lowest level possible before escalating to the level of a complaint. Any staff person can attempt to resolve a concern. If a staff person is unable to resolve a concern, it is referred to the applicable onsite program supervisor.

## **Complaint**

A complaint is the submission of a written and signed allegation that falls under the jurisdiction of Wagner-Peyser, Trade Adjustment Assistance, Workforce Investment Title 1 and/or Non-Discrimination requirements as specified in WorkSource Policy 1012 Rev 2 Program Complaint Handbook.

## **Complaint Coordinator**

The Complaint Coordinator is the person responsible for logging and tracking all complaints arising at their respective location from filing to resolution. The Complaint Coordinator is responsible for facilitating the initial process and promoting coordination to resolve all complaints.

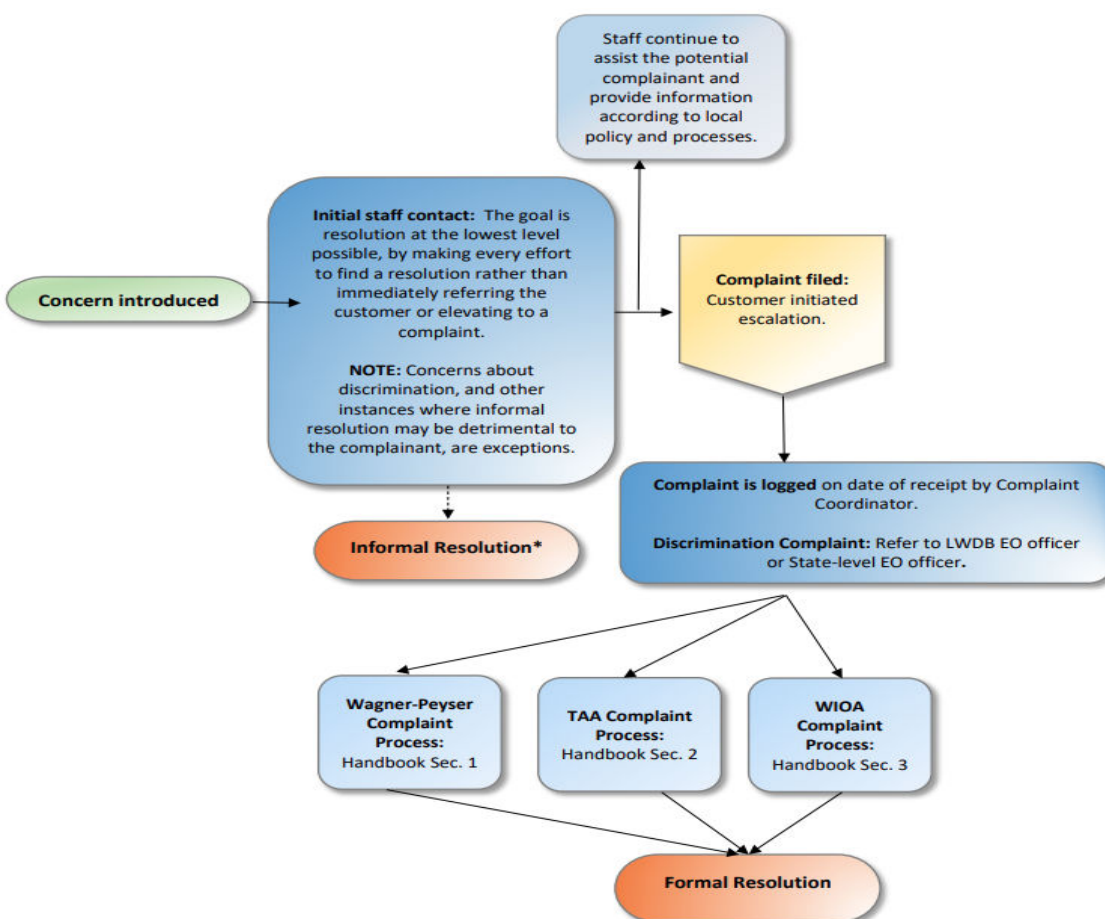
## **Program Complaint Contact**

The Program Complaint Contact is the Program management or staff designated by a Partner responsible for processing program complaints that fall within their jurisdiction. Each program within a WorkSource Center, Affiliate or Title I Service Provider site must designate a Program Complaint Contact. Ideally, the Program Complaint Contact receives all official complaints for their respective program throughout the five county Area. This is preferable, but not required.

**Discrimination Complaint Contact** is the Equal Opportunity (EO) Officer or his/her designee/backup.

**Non WIOA Title I/Wagner-Peyser/Trade Adjustment Act** Concerns unrelated to WIOA Title I, Wagner-Peyser, Trade Adjustment Act and Discrimination are referred to the onsite supervisor for the program involved and are processed as concerns.

## **V. CONCERN/COMPLAINT PROCESSING FLOW: (From WorkSource Policy 1012 REV 2)**



\*Except in cases where informal resolution at the local level would be detrimental to the complainant or allegations of discrimination are made.

**STEPS TO RESOLUTION:** (As outlined in above flow chart. See full policy for additional details)

1. **Concern Introduced:** A customer voices a concern to a Center staff person.
2. **Initial Staff Contact:** The Center staff who receives the concern attempts to resolve the customer's concern and/or requests assistance from their supervisor, if needed. The goal is resolution at the lowest level possible by making every effort to find a resolution rather than immediately referring the customer or elevating to a complaint. **NOTE:** Concerns about discrimination are exceptions and should be forwarded to the Local Equal Opportunity Officer upon receipt.
3. **Informal Resolution:** The Center staff continues to assist the potential complainant & provide information according to local policy and procedures. If the customer is satisfied with the information and no longer indicates a concern, the concern is informally resolved. If the customer is not satisfied with the information and the concern is not resolved at this point, the Center staff contacts the applicable onsite program supervisor for further assistance. The concern is either informally resolved at this point or the customer requests to file a complaint. **NOTE:** Concerns about Discrimination must be forwarded immediately to the Local Equal Opportunity Officer.
4. **Complaint Filed:** If the customer indicates they want to file a formal complaint, Center staff provide the applicable form (program or discrimination) found in the policy [Handbook](#). The complaint form is submitted to the Complaint Coordinator, then logged and tracked to closure. The Complaint Coordinator forwards the complaint to the appropriate Program Complaint Contact.
5. **Formal Resolution:** The appropriate Program Complaint Contact receives the complaint and follows the program's complaint procedures to resolution. The Complaint Coordinator tracks the complaint to closure.

**NOTE:** Concerns unrelated to Wagner-Peyser, Trade Adjustment Act, WIOA Title I are referred to the onsite supervisor of the program involved and are processed as concerns. The Complaint Coordinator is not required to log and/or track concerns. Discrimination complaints are to be sent to the Local EO Officer or State EO Officer and follow WorkSource System Policy 1017 (see references).

#### **VI. Action:**

1. Operators must modify local procedures to implement and comply with the requirements contained in this guidance and the Handbook (Attachment A). Updated local procedures will be referenced in the Memorandum of Understanding (MOU) during the next MOU modification.
2. Operators must send SkillSource the name and contact information of the Complaint Coordinator within 30 days of this publication. Existing Complaint Contacts under the current procedure may assume the Program Complaint Contact responsibilities under this new guidance.

#### **VII. References:**

WS Policy 1012 Rev 2 - [Customer Concern and Complaint Resolution Policy](#) - [Handbook](#)  
WS Policy 1017 Rev 2 - [Discrimination Complaint Processing Policy](#) - [Handbook](#)  
EO Discrimination Complaint Form - [English](#) / [Spanish](#)

#### **Direct Inquiries To:**

SkillSource, c/o Lisa Romine  
240 N. Mission Street,  
Wenatchee, WA 98801  
509-663-3091

## ATTACHMENT A

### North Central Concern/Complaint Contact Form

<b>Date:</b>			
<b>Center Name:</b>			
<b>Address:</b>			
<b>Programs housed in the Center:</b> (Check all that apply)		<input type="checkbox"/> Wagner-Peyser <input type="checkbox"/> Trade Adjustment <input type="checkbox"/> Workforce Investment (Title I-B)	

	Name (Primary)	Name (Back up)
<b>Complaint Coordinator (CC)</b>		
<b>Program Complaint Contact (PCC)</b>		
• Wagner Peyser		
• Trade Adjustment Act		
• WIOA Title I	Susan Adams	Aaron Parrott
• Discrimination (EO Officer)	Christy Mataya	

**NOTE:** Concerns unrelated to Wagner-Peyser, Trade Adjustment Act, WIOA Title I and/or Discrimination are referred to the onsite supervisor for the program involved and are processed as concerns.