



**Workforce Solutions**

**Complaint Processing Standards and**

**Guidelines**

## Complaint Processing Standards and Guidelines

I.	<a href="#"><u>STANDARD</u></a> .....	3
II.	<a href="#"><u>OVERVIEW</u></a> .....	3
	A. <a href="#"><u>Complaint Process Notification</u></a> .....	3
	B. <a href="#"><u>Glossary and Terms</u></a> .....	4
	C. <a href="#"><u>Staff Complaints</u></a> .....	5
	D. <a href="#"><u>Complaints Originating at the State or Federal Level</u></a> .....	5
	E. <a href="#"><u>Board Reviews</u></a> .....	5
	F. <a href="#"><u>Confidentiality</u></a> .....	6
	G. <a href="#"><u>Retaliation</u></a> .....	6
	H. <a href="#"><u>Record Retention</u></a> .....	6
III.	<a href="#"><u>INFORMAL COMPLAINTS</u></a> .....	6
IV.	<a href="#"><u>FORMAL COMPLAINTS – CONTRACTORS</u></a> .....	7
V.	<a href="#"><u>CCIC CUSTOMER CONCERNS INQUIRIES COMPLAINTS</u></a> ....	8
VI.	<a href="#"><u>FORMAL COMPLAINTS – BOARD LEVEL</u></a> .....	10
VII.	<a href="#"><u>COMPLAINTS AGAINST A VENDOR</u></a> .....	10
VIII.	<a href="#"><u>COMPLAINTS FROM A VENDOR</u></a> .....	14
IX.	<a href="#"><u>VENDOR BOARD REVIEWS</u></a> .....	14
X.	<a href="#"><u>CHILD CARE BOARD REVIEWS</u></a> .....	16
XI.	<a href="#"><u>SCHOLARSHIP BOARD REVIEWS</u></a> .....	21
XII.	<a href="#"><u>APPENDIX – Forms &amp; Correspondence</u></a> .....	25

## Complaint Processing Standards and Guidelines

### I. Standard

Workforce Solutions strives to deliver exemplary customer service by demonstrating the following principles:

- I AM Workforce Solutions to my customer
- I use my customer's perspective to guide my work
- I understand the resources available throughout our system
- I can always help my customer even when I have to say "no"
- I learn from my mistakes and gain a better understanding of how to help my customer

We encourage all Workforce Solutions staff to provide consistent customer service and attempt to resolve complaints within the confines of Workforce Solutions operating guidelines which include all Board issued requirements such as Contracts, Policies and Procedures, Standards and Guidelines, Issuances, Desk Aids, emails, and trainings.

On occasion, an internal or external customer may feel the service they received fell short of expectations. This standard outlines the process to file a complaint. This process does not apply to handling discrimination complaints; that process can be found in the [Equal Opportunity Standards and Guidelines](#), as well as on the Orientation to Discrimination Complaint form.

### II. Overview

#### A. Complaint Process Notification

Any person and/or organization may submit a complaint to express dissatisfaction regarding any services received or lack thereof at Workforce solutions.

Complaints may come from any of the following individuals or groups:

- Individuals
- Employers
- Staff
- Contractors
- Partners
- Vendors

## Complaint Processing Standards and Guidelines

Workforce Solutions' website gives information about how to file a complaint. During orientations that inform customers, employees, contractors, vendors, partners, and/or the public of Workforce Solutions' service, staff must include a discussion of the right to file a complaint and the process to follow, including how to access the [Workforce Solutions Customer Inquiry/Concern Form](#).

*Additionally, customers may submit an inquiry regarding the status of their aid, training, benefit, or service. Inquiries will not be treated as complaints unless they are submitted through IssueTrak. An inquiry may become a complaint when it is either escalated to management or cannot be resolved the same day.*

### **B. Glossary and Terms**

*Adverse Action - Any denial or reduction in benefits or services to a party, including from current employment by a workforce center customer.*

*Board Review (Appeal) - A written request for a review filed with the Board by a person in response to a determination or a decision.*

*Board Decision - The written finding issued by a Board Adjudicator following a review before that Adjudicator in response to a request for review or complaint.*

*Continuance - A hearing that is scheduled at the discretion of the Board Adjudicator to review additional evidence that is required to make a decision. Each party has an opportunity to rebut the new evidence presented at the continuance.*

*Complainant - Customer or recipient filing a complaint.*

*Determination - A written statement issued to a workforce center customer by the Board or its Contractor relating to an adverse action, or to a provider or Contractor relating to denial or termination or eligibility under program administered by the Board.*

*Discrimination Complaint - A complaint from a customer or recipient who believes that they have been subject to an adverse action based on a WIOA (Workforce Innovation and Opportunity Act) protected class basis.*

*Inquiry - any verbal or written request for information including but not limited to status updates (such as the status of an application or position on the waiting list), identifying what services are available, identifying where services can be accessed, and relaying how to update and/or access specific information.*

## Complaint Processing Standards and Guidelines

*Informal Complaint - any customer service issue that is conveyed verbally, in-person or over the phone.*

*Formal Complaint - any customer service issue that is submitted in writing, or via website form by a customer. Customers must submit formal complaints in writing via:*

- In person using the hardcopy [Workforce Solutions Complaint Form \(Spanish\)](#)
- *Electronic* [Workforce Solutions Customer Inquiry/ Concern Form](#)
- *Online at* [Contact Us | Workforce Solutions - Workforce Solutions \(wrksolutions.com\)](#)
- Complainants may send us formal complaints using the Workforce Solutions Complaint form (hard copy or electronic), or their own letters, notes, or memos.

### C. Staff Complaints

The Board may forward any staff complaints concerning unfair treatment, working hours and conditions, or similar issues to the contractor responsible for employing those staff members for resolution.

The Board may investigate any staff complaints regarding the operational procedures of an office or the quality of internal and external customer service.

### D. Complaints Originating at the State or Federal Level

Workforce Solutions staff often receive complaints from state or federal agencies, which usually require reporting within 24 to 48 hours. These complaints must be addressed immediately.

### E. Board Reviews (Appeals)

Everyone involved in the Workforce Solutions system has the right to appeal any decision made regarding a complaint or determination. If an appeal remains unresolved, it may be referred to and conducted as a Board Review. Review types include:

- Missing/Incomplete Information – additional documents needed from customer to complete application.
- Non-payment of Parent Share of Cost – customer fails to pay parent share of cost to daycare facility.

## Complaint Processing Standards and Guidelines

- Attendance – customer exceeded the allowed 40 absences in eligibility period.
- Over Income – customer does not qualify due to being over the income guidelines.
- Failure to return from activity interruption – customers who are given 90 days due to employment, training, and or homelessness to submit required documentation by deadline.
- 15 Day Closure – customer failed to respond to redetermination letter by deadline.
- TWC Appeals – customer disagrees with the decision made by our Board and have appealed with TWC.

### F. Confidentiality

While investigating a complaint, Workforce Solutions staff must maintain confidentiality of personal information whenever possible. Additionally, staff must refrain from using specific names of individuals when utilizing a complaint for training purposes.

### G. Retaliation

Workforce Solutions is committed to safeguarding individuals who file complaints and those involved in investigations, ensuring they are protected from any form of retaliation.

### H. Record Retention

Contractors are required to retain all logs and records pertaining to formal complaints for a minimum of three years from the date of complaint resolution.

## III. *Informal Complaints*

***Workforce Solutions staff must promptly handle informal complaints involving customers, employers, staff, contractors, vendors, and partners within the Workforce Solutions system, aiming to provide a resolution within three business days. Staff are required to listen to the concern, offer apologies for any inconvenience caused, and make efforts to resolve the issue to the satisfaction of the complainant.***

- 1. When a complaint is raised to staff, they must try to resolve it. If resolved to the customer's satisfaction, the resolution must be documented in WIT (Work in Texas).***
- 2. If staff cannot resolve the complaint, they must refer the customer to a supervisor. The supervisor will gather additional information if needed and***

## Complaint Processing Standards and Guidelines

- work towards resolving the complaint. If resolved satisfactorily, a summary of the resolution must be documented in WIT case notes and the complaint log.*
- 3. If the complaint remains unresolved, the supervisor must refer the customer to the manager. The manager will listen to the complainant and collaborate to address their concern. If resolved to the customer's satisfaction, a summary of the resolution must be documented in WIT case notes and the complaint log.*
  - 4. If the manager cannot resolve the issue at the office level, the customer must be directed to the contractor's designated point of contact for complaint resolution.*
  - 5. A WIT case note must be created to detail the complaint and its resolution, with the subject line indicating the type of complaint (e.g., Complaint-Vendor, Complaint-Customer, Inquiry-Customer).*
  - 6. Workforce Solutions staff must record the complaint resolution on the Complaint log on the same day.*
  - 7. The contractor's point of contact for complaint resolution must follow up with the customer until the issue is resolved or next steps are determined. If the matter remains unresolved to the customer's satisfaction, they must be offered the opportunity to submit a formal written complaint. This complaint must be initiated by the customer, although staff may assist if a reasonable accommodation request is made.*

*If an informal complaint cannot be resolved within three business days, or have a recommendation for resolution, staff are required to provide a detailed explanation outlining the steps taken for resolution, starting from the initial acknowledgment of the complaint.*

### **IV. Formal Complaints – Contractors**

*Written complaints escalated to Workforce Solutions contractor leadership must be handled according to the following process:*

- 1. If a complainant prefers not to engage with the office manager or supervisors, the manager or board staff must inform the contractor management and direct the customer to the contractor's designated point of contact for managing complaints.*
- 2. Workforce Solutions staff must make every effort to resolve all complaints to the satisfaction of the complainant, adhering to Workforce Solutions operating guidelines, which encompass all Board issued requirements such as Contracts, Policies and Procedures, Standards and Guidelines, Issuances, Desk Aids, emails, and trainings.*

## Complaint Processing Standards and Guidelines

3. *Upon receiving a complaint, Workforce Solutions staff must provide an acknowledgment to the complainant within one business day.*
4. *A written resolution must be provided to the complainant within three business days of receiving the complaint.*
5. *If a formal complaint cannot be resolved within three business days, or have a recommendation for resolution, staff are required to provide a detailed explanation outlining the steps taken for resolution, starting from the initial acknowledgment of the complaint.*
6. *Workforce Solutions staff must attempt to contact the complainant at least three times via phone and email over multiple days. If the complainant is unreachable or does not respond, the complaint will be closed as nonresponsive.*
7. *Before responding, Workforce Solutions staff must review the response with leadership to ensure appropriate action and services were provided. If the complainant remains dissatisfied, they must be offered the opportunity to file a formal complaint with the Board.*
8. *Complaints will be analyzed to identify systematic issues and implement fixes to prevent repeat occurrences.*
9. *All complaint information must be kept confidential and shared only with parties directly involved in the complaint process.*
10. *A WIT note must be created detailing the complaint and resolution, with the subject line indicating the type of complaint (e.g., Complaint-Vendor, Complaint-Customer, Inquiry-Customer).*
11. *Workforce Solutions staff must document the complaint on the Complaint log on the same day the resolution is emailed to the board.*

*Contractors must have a written process in place detailing how they will handle complaints from staff.*

*Workforce Solutions contractor staff must immediately notify appropriate board staff of complaints received from outside sources such as government officials and educational institutions.*

## V. *Customer Concerns Inquiries Complaints (CCIC)*

*CCIC refers to any information regarding customer inquiries, complaints, or concerns received at the board level from external entities, including the TWC Legislative Office, TWC Zendesk, and TWC Governor Relations Office. These matters are promptly delegated to contractor staff for immediate response, support, and resolution.*



## Complaint Processing Standards and Guidelines

*IssueTrak in the Financial Aid Communication System (FACS) serves as a centralized platform for managing all external inquiries or complaints received at the board level. These are directed via IssueTrak to the appropriate contractor leadership, with the following turnaround times:*

- 1. Workforce Solutions contractor staff must acknowledge the complaint or inquiry by the end of the business day on Day 1. Exceptions apply to those received after 3pm, which must be acknowledged by noon on the following business day.*
- 2. Contractor staff must aim to resolve the issue or provide a recommendation for resolution by the end of business on Day 3 (three business days after initial receipt and acknowledgment). This process occurs between 8am and 5pm.*
- 3. If resolution extends beyond three business days, the contractor staff must:*
  - Notify board staff via IssueTrak with a detailed explanation of the steps taken for resolution, starting from the initial acknowledgment, and outline projected next steps.*
  - Provide updates to board staff every 24 hours in IssueTrak for all CCICs involving the TWC Legislative Office and TWC Relations that extend past the three-business day timeframe, ensuring proper documentation and communication with TWC Governor Relations Office and TWC Legislative Office.*

### *Defining Response Times in IssueTrak:*

- Day 1 is defined as the initial receipt (acknowledgement) of the CCIC by the Contractor from Board Staff.*
- Day 2 is defined as two business days (between 8am – 5pm) after the initial receipt and acknowledgement of the CCIC by the contractor.*
- Day 3 is defined as three business days (between 8am – 5pm) after the initial receipt and acknowledgement of the CCIC by the contractor.*

*Note: Business hours are defined as 8am-5pm. Business days are defined as Monday-Friday. Contractor Holidays and HGAC (Houston Galveston Area Council) Board Holidays are an exception to the listed Business Hours and Business Days.*

## Complaint Processing Standards and Guidelines

### VI. Formal Complaints – Board Level

The Board may process formal complaints that have exhausted contractor resolution and received at the Board level via [Customer.referral@wrksolutions.net](mailto:Customer.referral@wrksolutions.net)

The Board must use the following steps.

1. Document the details surrounding the complaint.
2. The Board will contact appropriate staff/partners to conduct an interview or gather information regarding the complaint. Unless documented otherwise, contractors must respond to the Board within *three business days* of receiving the complaint from the Board.
3. *If a formal complaint cannot be resolved within three business days, or have a recommendation for resolution, the Board will provide a detailed explanation outlining the steps taken for resolution, starting from the initial acknowledgment of the complaint.*
4. The contractor must provide information to the Board to support the decision that was made. The Board will review the response and determine if the action taken was appropriate. If based on the response Board staff determines the contractor acted inappropriately or failed to provide service, a correction action may be required.
5. The Board will work with appropriate staff to develop a corrective action plan, inform stakeholders, implement solutions, and follow up with the complainant.
6. When appropriate, a final resolution notice must be sent to the complainant.
7. Record all formal complaints on the customer service complaint log; complaints must be tracked and recorded all the way through resolution.

### VII. Complaints Against a Vendor

Workforce Solutions must review complaints about a vendor following the vendor complaint process. All vendor related complaints must be submitted in writing.

#### A. Complaints Against a Vendor

Customers may file complaints, at any time, about a Workforce Solutions education and training vendor or child care vendor. All complaints **must** be submitted in writing and, at a minimum, include the following information:

- The name of the vendor, physical and mailing address, telephone number

## Complaint Processing Standards and Guidelines

- The name of the educational program or service received from the vendor
- Contact information – phone number and mailing address – of the person filing the complaint
- A detailed description of the problem or issue; the reason for the complaint

Customers may mail or email correspondence to:

Complaint – Financial Aid Payment Office, P.O. Box 741361, Houston, Texas 77274-1361; or email [wfvendor@wrksolutions.com](mailto:wfvendor@wrksolutions.com) with a subject line “Complaint.”

When a customer submits a complaint, Workforce Solutions Payment Office staff must take the following actions:

- Gather information and work to resolve all complaints within ***three business days***.
- Notify Board contract manager of any complaints against a vendor upon receipt. The contractor must work collaboratively with the Board regarding next steps and inform the Board contract manager of the decision prior to contacting the vendor.
- Send a letter to the vendor within ***three business days*** of receiving the complaint, notifying them that we received the complaint and outline next steps. If a complaint cannot be resolved within three business days, staff must notify the Board and provide a detailed explanation of the next steps to be taken to reach an outcome.
- Send a letter to the vendor and notify the customer with the outcome of the investigation within 30 business days.

### **B. Process for Initiating a Review of Complaints Against a Vendor**

The Payment Office must notify the Board contract manager of any complaints against a vendor and work collaboratively with the Board staff to determine next steps. The Payment Office must schedule a meeting or/and send a letter to the vendor within ***three business days*** of receiving a complaint, notifying them we have received a complaint and outline next steps.

The Payment Office must review all complaints and may visit the vendor’s location or office, conference with the vendor and involved parties, or interview other students or customers.

Once reviews are complete, the Payment Office must:

## Complaint Processing Standards and Guidelines

- Provide a written document of the review with a recommendation to Board staff.
- Meet with Board staff to discuss next steps.
- Notify the vendor within 30 business days of receiving the complaint, telling the vendor the outcome of the investigation. The letter must include:
  - A description of what was discovered during the investigation
  - Any actions the vendor has taken in the interim to address the complaint
  - Recommendations for resolving the complaint
  - A decision to allow the vendor to remain on our approved vendor list or be removed
  - The length of time the vendor must wait to re-apply (if applicable)
  - A description of our Board review process
- Notify the complainant of the resolution.

A vendor and any of its approved programs may be removed from the approved vendor list for any of the following reasons:

- The vendor submitted false or fraudulent information on an application.
- The vendor that provides an education or training service changes its physical location and does not inform us.
- The vendor is no longer in compliance with standards set by its regulatory or accrediting organization.
- The vendor does not renew its application timely.
- The vendor does not submit information or documents we have requested.
- The vendor does not meet performance standard
- We receive two separate complaints within a six-month period determined to be valid through an investigation
- We remove an occupation from the set of High-Skill, High-Growth Occupations, which causes the removal of a vendor's training program
- We determine a vendor's career training program does not directly prepare a student for employment in an occupation on our High-Skill, High-Growth Occupations list as described originally by the vendor

## Complaint Processing Standards and Guidelines

- We determine a vendor's career advancement training program does not help students gain essential skills or credentials related to occupations on our High-Skill, High-Growth Occupations list as described originally by the vendor or
- We find that a vendor and/or its program(s) are operating in a particularly harmful, offensive, discriminatory, illegal, or otherwise egregious, inappropriate manner.

We may remove a vendor from our approved vendor list for a period of at least 12 months, although we may specify a longer period. During this time, we will not list the vendor on our approved vendor list and will not authorize payment to the vendor.

Vendors may re-apply by:

- Submitting a new application
- Providing evidence that the problem(s) which caused the vendor to be removed have been resolved; and
- Allowing Workforce Solutions staff to do an on-site visit and review.

Vendors that are removed from the approved vendor list may request a Board Review of our decision. To request a review the vendor must:

- Send a written request no later than 14 calendar days after receiving our letter removing them from our approved vendor list.
- Provide a detailed explanation of why it should not be removed including any resolution of a complaint that caused the removal.
- Send the request to [board.reviews@wrksolutions.net](mailto:board.reviews@wrksolutions.net) or Board Review-Workforce Solutions, P.O. Box 22777, Houston, Texas 77227-2777, fax: 713-993-4578.

A Board Adjudicator will be appointed to consider the vendor's request for review and make a final decision. The Board Adjudicator will provide written notice of the final decision within 14 calendar days after receiving the request.

We track all complaints and the results of our investigations. We will provide information about complaints to regulatory and licensing organizations that govern vendors. We may also work with regulatory and licensing organizations to investigate complaints.

## Complaint Processing Standards and Guidelines

### VIII. Complaints from a Vendor

Vendors may file complaints, for any reason, at any time regarding dissatisfaction with Workforce Solutions' service. Vendors include organizations and individuals approved in the Workforce Solutions Vendor Network, which include career education and training programs, career advancement training programs, basic skill training programs, work and education support vendors, and child care vendors. We ask that all complaints be submitted in writing and, at a minimum, include the following information:

- The name of the vendor, physical and mailing address, telephone number
- The type of service provided
- Name of the person filing the complaint, phone number and email or mailing address
- A detailed description of the problem or issue; date of occurrence; the reason for the complaint and individuals involved.

Vendors may mail or email correspondence to:

Complaint – Financial Aid Payment Office, P.O. Box 741361, Houston, Texas 77274-1361; or email [wfvendor@wrksolutions.com](mailto:wfvendor@wrksolutions.com) with a subject line 'Complaint.'

When a vendor submits a complaint, Workforce Solutions staff must take the following actions:

- Notify the Board contract manager of the complaint from a vendor upon receipt. The Payment Office must work collaboratively with the Board regarding next steps.
- A member of management must investigate and work to resolve all complaints within *three business days* of receiving the complaint.

A vendor may request a Board review of the decision with the Board if they do not agree with the Financial Aid Payment Office.

### IX. Vendor Board Reviews

A vendor may request a Board review of:

- a denial
- removal of the vendor or one of its programs
- recoupments
- overpayment

## Complaint Processing Standards and Guidelines

- underpayment, and
- A service improvement agreement.

Vendors must request a Board Review within 14 calendar days from the decision made regarding the determination. We ask that all reviews be submitted in writing and, at a minimum, include the following information:

- The name of the vendor, physical and mailing address, telephone number
- The name of the contractor or service received
- Contact information – phone number and mailing address – of the person filing the complaint
- A detailed description of the reason for the review and individuals involved.

Vendors may email correspondence to: [board.reviews@wrksolutions.net](mailto:board.reviews@wrksolutions.net) or mail: Board Reviews-Workforce Solutions, P.O. Box 22777, Houston, Texas 77227-2777, fax: 713-993-4578.

We will process requests for reviews received at the Board level, as a Board Review using the following steps.

1. Upon receipt of a Board review request, Board staff must log the review and request documentation from the Financial Aid Payment Office.
2. Board staff/ Board adjudicator will have seven business days to send a Board Review notice to the complainant and contractor. The notification letter to the complainant must include:
  - Summary of the complaint
  - Description of the resolution or next steps
  - Schedule of the Board Review
3. The Board Review must be scheduled to take place no later than 30 calendar days following the request.
4. The Board Adjudicator must remain as an impartial hearing officer and conduct the Board Review on the scheduled date.
5. The Board Adjudicator will have 10 business days to make a decision and email a copy of the decision letter to the appellant. The letter must include steps on how to appeal the decision to TWC for a formal review.



## Complaint Processing Standards and Guidelines

6. A Board Decision must be completed by the Board Adjudicator, within 60 calendar days of the original filing of the request for review or complaint.

## X. Child Care Board Reviews

### A. Board Reviews Referred from the Financial Aid Support Center (FASC)

The Board may review cases related to any of the following:

- Eligibility (Over Income, Hour Requirement)
- Non-payment of Share Cost
- Attendance
- Failure to Return from Activity Interruption
- 15 Day Closures
- Missing Documentation

Note: The Board may review requests referred from the Financial Aid Payment Office related to fraud cases according to the [Fraud Standards and Guidelines](#).

Every customer has a right to request a Board review of a decision or determination on their case. All requests must be submitted in writing within 14 calendar days from the date the decision was made regarding the determination. If the designated FASC representative agrees with the reason for denial the documents must be sent to the Adjudicator for review.

### B. Initial Board Review

Request for review received at the Financial Aid Support Center (FASC) are reviewed by a designated staff to determine if it is due to missing, incomplete information or staff eligibility error. All appeals must be reviewed within five business days from the date of receipt and labeled '*Appeals-ChCare*'.

#### 1. Missing/Incomplete Information

- When a customer submits a request for review regarding a missing document and returns the missing document by the deadline, a designated representative contacts customer, acknowledges that documents have been received and a



## Complaint Processing Standards and Guidelines

Board review is not needed. Staff must attach the document to the case and an eligibility determination must be made.

- If documentation is not submitted by the customer, a designated representative contacts customer to request incorrect or incomplete documents. In the event the representative is unable to reach the customer, the request for review is sent to the Board Adjudicator using the Board Appeal Log.
- A review is sent to the Board if the customer fails to provide all required missing documents.

### 2. Staff Eligibility Error

- After a review of the 'Request for Review' documents, if a staff error is identified, then the case is returned to the supervisor to work with the staff that made the error for immediate eligibility determination.
- A designated representative contacts customer to inform them of the error and they will receive a follow up call regarding eligibility determination.
- The designated representative enters a case note in the appropriate data management system with subject line 'We Agree' and mail/email the 'We Agree' letter to the customer.
  - *We Agree is when the customer has submitted a request for review and the designated representative agrees with the customer.*
- *Stamp the case 'We Agree'.*
- In this case, a review does not need to be sent to the Board.

## C. Documenting Information for Board Review

### 1. Case Notes to Initiate Board Review

- FASC designated representative must enter a case note in the appropriate data management system with the subject line 'Review Submitted'. The note must indicate the documents were submitted to the Adjudicator in order to schedule a review.
- In some instances, a customer is eligible to continue childcare up until a decision on a Board review is rendered. The customer may request the childcare to be extended by selecting the option on the Request for Review form. A new referral will be entered for a maximum of four weeks and time may be extended until a decision is rendered.

## Complaint Processing Standards and Guidelines

- FASC Appeal representative must enter the customer's information on the Board Appeal Log.
- The request for review and all supporting documents must be compiled into one document, saved as, 'Review for (Customer's Unique Identifier )' and uploaded to the Board Appeal Log.
- Stamp the case 'Forward to Adjudicator'.

### 2. Documentation Needed for Board Review

- Missing/Incomplete Information - Review cover letter, all correspondence mailed to customer regarding the denial, case notes from the appropriate data management system pertaining to the denial, and any other supporting document
- Non-Payment of Share of Cost - Review cover letter, case notes from the appropriate data management system, Application used to determine the customer eligibility, and closure letter
- Attendance - Review cover letter, case notes from the appropriate data management system, application used to determine the customer eligibility, correspondence sent to customer, attendance printout from the appropriate data management system.
- Over Income - Review cover letter, Application that was denied due to being over income, and check stubs submitted by customer, correspondence sent to customer, and case notes.
- Failure to return from activity interruption-Review cover letter, correspondence sent to customer, and case notes.
- 15 Day Closure - Review cover letter, correspondence sent to customer, case notes , previous application, and parent agreement
- TWC Appeal - Original appeal package that was submit in previously hearing and hearing decision by hearing office

### D. Board Review Process

The Financial Aid Support Center (FASC) designated representative must enter the customer's information on the Board Appeal Log. The Board Adjudicator will review the Board Appeal Log for new Board Review Requests.

#### 1. Before Scheduling a Board Review

Workforce Solutions Complaint Processing Standards and Guidelines

May 2024

Page 18 of 30

## Complaint Processing Standards and Guidelines

- The Board staff must review the log to ensure all items are included and notify FASC of any missing items.
- The Board Adjudicator must schedule the review and send a notice to the FASC designated representative and customer.
- The review notice must be sent via email/US mail within seven business days to the customer. The notice must be sent from PandaDoc with the Adjudicator's contact information.
- The customer has at least 10 business days from the date of mailing to prepare and provide any additional documentation for the hearing.
- The hearing must be scheduled to take place no later than 30 calendar days following the request.

### 2. Scheduling the Board Review

- The Board staff must send a weekly email to the FASC designees of the upcoming schedule reviews.
- FASC designated representative must enter a case note with subject line ***'Review Scheduled'***. The body of case note must include date and time of review and name of the Board Adjudicator.
- The review will be conducted via (Teams or Zoom) conference, a phone number is included in the appeals notice for customers to call in.
- Parties Needing Special Accommodations
  - A customer may request for sign language interpreters. The Board staff must arrange for a qualified interpreter.
  - The board staff may arrange for translation services or use of the language line for individuals with limited English proficiency.

### 3. Conducting a Board Review

- The Review must be recorded and saved to the Board Appeal Log in SharePoint.
- The board adjudicator must refer to the 'Conducting a Board Review' script and will follow the 'Board Review Process'.
- On the day of the Board Review, the FASC designated representative must enter a case note with a subject line of ***'Review Today'***. The case note will include the review start and end times, and the statement ***'Waiting on review decision'***.

### 4. Review Decision

## Complaint Processing Standards and Guidelines

- Decision must be made within 10 business days of the Board Review and be mailed/emailed to the customer using the ‘Board Decision Letter’.
- The decision is sent to the FASC designee to be uploaded in DocuWare and documented in the appropriate data management system.
- The FASC must enter a case note with the subject line ‘**Review Decision**’. The case note must include the outcome of the review.
- The FASC must contact the customer for next step if the review was overturned.
- Discontinue childcare and enter recoupment if the review decision was affirmed.

### E. Texas Workforce Commission Appeals Process

If the customer does not agree with the decision rendered by Board, the customer can appeal with Texas Workforce Commission (TWC). The customer has 14 calendar days from the date of the Review Decision letter to submit an appeal to TWC.

#### 1. Request for Documents from TWC

- The Board staff will receive an email request for documents from TWC. Once the request is received board staff must provide copies of documents to the TWC representative.
- Documents must be submitted to the TWC representative within one business day.
- Once TWC representative schedules the appeal hearing, an email/letter will be sent with notification of date and time.
- The FASC must be notified of the hearing and the appropriate data management system will be documented with subject line “**Hearing Scheduled**”. The case note must include the appeal date and time.

#### 2. Appeal Hearing

- The day of the appeal hearing, the designated staff from the FASC must call and check-in 30 minutes prior to the appeal hearing start time.
- Once appeal is conducted, a case note must be entered using the subject title “**Hearing Today**”. The case note must include the appeal start and end times, and the statement “**Waiting on appeal decision**”. TWC will email/mail the decision to the Board. Once received, the appropriate data management

## Complaint Processing Standards and Guidelines

system must be documented with the subject line “*Hearing Decision*”. The case note must include the outcome of the appeal.

### **XI. Scholarship Board Reviews**

#### **A. Board Reviews Referred from the Tracking Unit:**

- Eligibility (Over Income)
- Failure to complete initial assessment
- Missed deadline
- Recoupment of misused funds

Every customer has a right to request a Board review of a decision or determination on their case. All requests must be submitted in writing within 14 calendar days from the date the decision was made regarding the determination. If the designated Tracking Unit representative agrees with the denial reason, the documents must be sent to the Adjudicator for review.

#### **B. Initial Board Review**

Requests for review received at the Tracking Unit are reviewed by a designated staff to determine if it is due to missing, incomplete information or staff eligibility error. All appeals must be reviewed within five business days from the date of receipt and labeled ‘*Appeals-Scholarship*’.

##### **1. Missing/Incomplete Information**

- When a customer submits a request for review regarding a missing document and returns the missing document by the deadline, a designated representative contacts customer, acknowledges that documents have been received and a Board review is not needed. Staff must attach the document to the case and an eligibility determination will be made.
- If documentation is not submitted by the customer, a designated representative contacts customer to request incorrect or incomplete documents. In the event the representative is unable to reach the customer, the request for review is sent to the Board Adjudicator using the Board Appeal Log.
- A review is sent to the Board if the customer fails to provide all required missing documents.

##### **2. Staff Eligibility Error**

## Complaint Processing Standards and Guidelines

- After a review of the 'Request for Review' documents, if a staff error is identified, the case is returned to the supervisor to work with the staff that made the error for an immediate eligibility determination.
- A designated representative contacts customer to inform them of the error and they will receive a follow up call regarding eligibility determination.
- The designated representative enters a case note in the appropriate data management system with subject line '**We Agree**' and mail/email the '**We Agree**' letter to the customer.
  - *We Agree is when the customer has submitted a request for review and the designated representative agrees with the customer.*
- Stamp the case 'We Agree'.
- In this case, a review does not need to be sent to the Board.

### C. Documenting Information for Board Review

1. Entering a case note into the appropriate data management system initiates a Board Review
  - Tracking Unit designated representative must enter a case note into the appropriate data management system with the subject line '**Review Submitted**'. The case note must indicate the documents were submitted to the Adjudicator to schedule a review.
  - The Tracking Unit Appeal representative must enter the customer's information on the Board Appeal Log.
  - The request for review and all supporting documents must be compiled into one document, saved as, '**Review for (Customer Unique Identifier)**' and uploaded to the Board Appeal Log.
  - Stamp the case 'Forward to Adjudicator'

### D. Documentation Needed for Board Review

- Missing/Incomplete Information-Review cover letter, all correspondence mailed to customer regarding the denial, case notes from the appropriate management system pertaining to the denial, and any other supporting document.
- Over Income-Review cover letter, Application that was denied due to being over income, and check stubs submitted by customer, correspondence sent to customer, and case notes from the appropriate data management system.

## Complaint Processing Standards and Guidelines

- Recoupment-Review cover letter, documentation of purpose of funds usage, printout of funds expended by customer, case notes from the appropriate data management system pertaining to the usage of the funds and any correspondence sent to customer regarding misuse of funds.
- TWC Appeal-Original appeal package that was submit in previously hearing and hearing decision by the hearing office.

### E. Board Review Process

The Tracking Unit designated representative must enter the customer's information on the Board Appeal Log. The Board Adjudicator must review the Board Appeal Log for new Board Review Requests.

#### 1. Before Scheduling a Board Review

- The Board staff must review the log to ensure all items are included and notify Tracking Unit of any missing items.
- The Board Adjudicator must schedule the review and send a notice to the customer and a weekly email to the Tracking Unit.
- The review notice must be sent via email/US mail within seven business days to the customer from Panda Doc with the Adjudicator's contact information.
- The customer has at least 10 business days from the date of the mailing to prepare and provide any additional documentation for the hearing.
- The hearing must be scheduled no later than 30 calendar days after the request.

#### 2. Scheduling the Board Review

- The Board staff must send a weekly email to the Tracking Unit designees of the upcoming schedule reviews.
- Tracking Unit designated representative must enter a case note into the appropriate data management system-with subject line **'Review Scheduled'**. The body of note must include the date and time of review and name of the Board Adjudicator.
- The review must be conducted via Zoom conference. A phone number is included in the appeals notice for customers to call in.
- Parties Needing Special Accommodations
  - A customer may request sign language interpreters. The Board staff must arrange for a qualified interpreter upon request.
  - The board staff may arrange for translation services or use of the language



## Complaint Processing Standards and Guidelines

line for individuals with limited English proficiency.

### 3. Conducting a Board Review

- The Review must be recorded and saved to the Board Appeal Log in SharePoint.
- The board adjudicator must refer to the 'Conducting a Board Review' script and will follow the 'Board Review Process'.
- On the day of the Board Review, the Tracking Unit designated representative must enter a case note into the appropriate management system with a subject line of '**Review Today**'. The case note must include the review start and end times, and the statement '**Waiting on review decision**'.

### 4. Review Decision

- Decision must be made within 10 business days of the Board Review and be mailed/mailed to the customer using the 'Board Decision Letter'.
- The decision is sent to the Tracking Unit designee to be uploaded into the appropriate data management system and documented in the appropriate data management system.
- The Tracking Unit must enter a case note in the appropriate data management system with the subject line '**Review Decision**'. The case note will include the outcome of the review.
- The Tracking Unit must contact the customer for the next step if the review was overturned.

## F. Texas Workforce Commission Appeals Process

If the customer does not agree with the decision rendered by the Board, the customer can appeal to the Texas Workforce Commission (TWC). The customer has 14 calendar days from the date of the Review Decision letter to submit an appeal to TWC.

### 1. Request for Documents from TWC

- The Board staff will receive an email request for documents from TWC. Once the request is received board staff must provide copies of documents to the TWC representative.
- Documents must be submitted to the TWC representative within one business day.
- Once TWC representative schedules the appeal hearing, an email/letter must be sent with notification of date and time.



## Complaint Processing Standards and Guidelines

- The Tracking Unit must be notified of the hearing and enter case note into the appropriate data management system with subject line ***“Hearing Scheduled”***. The note must include the appeal date and time.
2. Appeal Hearing
- The day of the appeal hearing, the designated staff from the Tracking Unit must call and check-in 30 minutes prior to the appeal hearing start time.
  - Once appeal is conducted, the appropriate data management system must be documented by using the subject title ***“Hearing Today”***. The case note must include the appeal start and end times and the statement ***“Waiting on appeal decision”***.
  - TWC will email/mail the decision to the Board. Once received, the appropriate management system must be documented with the subject line of ***“Hearing Decision”***. The case note must include the outcome of the appeal.

## XII. Appendix –Forms & Correspondence

Workforce Solutions will notify complainants at appropriate stages during the review process using documents from the following list.

- A. Initial Response – Complaint
- B. Review A1 – Request for Review
- C. Review A2 – Request for Review (With Option to Continue Child Care)



## Complaint Processing Standards and Guidelines

### Appendix A: Initial Response – Complaint

DATE

COMPLAINANT NAME  
COMPLAINANT ADDRESS  
COMPLAINANT CITY, STATE, ZIP

Dear COMPLAINANT:

Workforce Solutions received your written complaint regarding (STATE PROGRAM OR OFFICE) dated (DATE). In your complaint, you raised the following issue(s):

- ISSUE(S)

Management from our \_\_\_\_\_ Office will be conducting a review of the complaint received and determining further action.

We will (send you a letter/contact you) providing you with the outcome/resolution of our review.

Sincerely,

NAME  
JOB TITLE  
Workforce Solutions

cc:

## Complaint Processing Standards and Guidelines

### Appendix B: Review A1 – Request for Review



Workforce Solutions – Financial Aid Support Center  
 PO Box 924586 Houston, TX 77292  
 TOLL FREE: 1-800-735-2989 FAX: 713-222-8660  
[www.wfsolutions.com](http://www.wfsolutions.com)



#### Request for Review

Name:	TWIST ID:	Decision Date:
<b>Services were denied, reduced, suspended, or terminated due to:</b> <input type="checkbox"/> Income Requirement <input type="checkbox"/> Absences <input type="checkbox"/> Hour Requirement <input type="checkbox"/> Failure to redetermine eligibility <input type="checkbox"/> Other: _____		
You have the right to a review of Workforce Solutions' decision to deny/reduce or discontinue your financial aid. We must receive your written request to review the decision within 14 days of the date on this letter. You may email, mail, or fax your request and supporting documents to:  <div style="text-align: center;">                     Workforce Solutions – FASC                      Attn: Financial Aid Review                      PO Box 924586                      Houston, TX 77292                      Fax: 713.222.2222 Email: <a href="mailto:appeals@wfsolutions.net">appeals@wfsolutions.net</a> </div>		

**\*\*You do NOT need to complete this form if you are providing requested documents by the deadline.**

Explain why you feel Workforce Solutions' decision to deny, reduce, or discontinue your financial aid is unfair or unjust. You may include additional pages if the space below is not sufficient.

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Are you submitting supporting documents you believe are relevant?  Yes  No

We will send you our decision within 15 days of date we received your request. If we are unable to resolve your issue, a Board Review will be scheduled.

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

Printed Name: \_\_\_\_\_

## Complaint Processing Standards and Guidelines

### Appendix C: Review A2 – Request for Review (With Option to Continue Child Care)



Workforce Solutions – Financial Aid Support Center  
 PO Box 924586 Houston, TX 77292  
 TEL: 713.334.5868 FAX: 713.222.2668  
 www.wfsolutions.com

#### Request for Review

Name:	TWIST ID:	Decision Date:
<b>Services were denied, reduced, suspended, or terminated due to:</b> <input type="checkbox"/> Income Requirement <input type="checkbox"/> Absences <input type="checkbox"/> Hour Requirement <input type="checkbox"/> Failure to redetermine eligibility <input type="checkbox"/> Other: _____		
<p>You have the right to a review of Workforce Solutions' decision to deny/reduce or discontinue your financial aid. We must receive your written request to review the decision within 14 days of the date on this letter. You may email, mail, or fax your request and supporting documents to:</p> <p style="text-align: center;">           Workforce Solutions – FASC            Attn: Financial Aid Review            PO Box 924586            Houston, TX 77292            Fax: 713.222.2222 Email: <a href="mailto:appeals@wfsolutions.net">appeals@wfsolutions.net</a> </p>		

**\*\*You do NOT need to complete this form if you are providing requested documents by the deadline.**

Explain why you feel Workforce Solutions' decision to deny, reduce, or discontinue your financial aid is unfair or unjust. You may include additional pages if the space below is not sufficient.

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Are you submitting supporting documents you believe are relevant?  Yes  No

Workforce Solutions may continue your financial aid while a decision on your review is pending. However, if the final decision supports the denial of financial aid, we will ask you to pay us back the money we provided you during the review process.

**Workforce Solutions will not pay for child care during an appeal when we discontinued financial aid because of excessive absences or failure to pay your parent share of cost.**

Do you wish to continue receiving childcare financial aid while a decision on your review is pending?

Yes-I wish to continue childcare     No-I do not wish to continue childcare

We will send you our decision within 15 days of date we received your request. If we are unable to resolve your issue, a Board Review will be scheduled.

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

Printed Name: \_\_\_\_\_

## Complaint Processing Standards and Guidelines



Workforce Solutions – Financial Aid Support Center  
 PO Box 924586 Houston, TX 77292  
 MAIN: 713.334.5980 FAX: 713.266.2495  
[www.wrksolutions.com](http://www.wrksolutions.com)



### Request for Review

Name:	TWIST ID:	Decision Date:
<input type="checkbox"/> Income Requirement <input type="checkbox"/> Absences <input type="checkbox"/> Hour Requirement <input type="checkbox"/> Failure to redetermine eligibility <input type="checkbox"/> Missing Documents <input type="checkbox"/> Failure to provide proof of employment-Initial Job Search <input type="checkbox"/> Proof of an activity <input type="checkbox"/> Other: _____		
<p>You have the right to a review of Workforce Solutions’ decision to deny/reduce or discontinue your financial aid. We must receive your written request to review the decision within 14 days of the date on this letter. You may email, mail, or fax your request and supporting documents to:</p> <p style="text-align: center;">           Workforce Solutions – FASC            Attn: Financial Aid Review            PO Box 924586            Houston, TX 77292            Fax: <a href="tel:7132662495">713.266.2495</a> Email: <a href="mailto:appeals@wrksolutions.com">appeals@wrksolutions.com</a> </p>		

**\*\*You do NOT need to complete this form if you are providing requested missing documents by the deadline.**

Explain why you feel Workforce Solutions’ decision to deny, reduce, or discontinue your financial aid is unfair or unjust. You may include additional pages if the space below is not sufficient.

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Are you submitting supporting documents you believe are relevant?  Yes  No


We will send you our decision within 15 days of date we received your request. If we are unable to resolve your issue, a Board Review will be scheduled.

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

Printed Name: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

## Complaint Processing Standards and Guidelines



Workforce Solutions – Financial Aid Support Center  
 PO Box 924586 Houston, TX 77292  
**MAIN:** 713.334.5980 **FAX:** 713.222.0000  
[www.wrksolutions.com](http://www.wrksolutions.com)

### Request for Review

Name:	TWIST ID:	Date:
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**Services were denied, reduced, suspended, or terminated due to:**

Income Requirement   
  Absences   
  Hour Requirement   
  Failure to redetermine eligibility  
 Missing Documents   
  Failure to provide proof of employment-Initial Job Search  
 Proof of an activity   
  Other: \_\_\_\_\_

You have the right to a review of Workforce Solutions' decision to deny/reduce or discontinue your financial aid. We must receive your written request to review the decision within 14 days of the date on this letter. You may email, mail, or fax your request and supporting documents to:

Workforce Solutions – FASC  
 Attn: Financial Aid Review  
 PO Box 924586  
 Houston, TX 77292  
 Fax: 713.222-2222 Email: [appeals@wrksolutions.com](mailto:appeals@wrksolutions.com)

\*\*You do NOT need to complete this form if you are providing requested documents by the deadline.

Explain why you feel Workforce Solutions' decision to deny, reduce, or discontinue your financial aid is unfair or unjust. You may include additional pages if the space below is not sufficient.

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Are you submitting supporting documents you believe are relevant?  Yes  No

Workforce Solutions may continue your financial aid while a decision on your review is pending. However, if the final decision supports the denial of financial aid, we will ask you to pay us back the money we provided you during the review process.

Workforce Solutions will not pay for child care during an appeal when we discontinued financial aid because of excessive absences or failure to pay your parent share of cost.

Do you wish to continue receiving childcare financial aid while a decision on your review is pending?  
 Yes-I wish to continue childcare   
  No-I do not wish to continue childcare

We will send you our decision within 15 days of date we received your request. If we are unable to resolve your issue, we will schedule a Review with a Board Adjudicator.


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

Printed Name: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

[www.wrksolutions.com](http://www.wrksolutions.com) 1-888-469-JOBS (5627)

Workforce Solutions is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. (Please request reasonable accommodations a minimum of two business days in advance.) Relay Texas: 1-800-735-2989 (TDD) 1-800-735-2988 (voice) or 711

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A2-Revised 10/2023