

POLICY and PROCEDURE

Title: Case Management Agency (CMA) Complaints
Policy Number: CMA-1.0
Department/Owner(s) CMA- Heather Murphy, Sheila Worth
Creator(s): Billie Bemis
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Approval Date: 2/20/24
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Approval Date: 2/20/24
Signature: *Heather Murphy*

1.0 Definitions

- 1.1 Case Management: The assessment of a Member eligible to receive or receiving LTSS, the development and implementation of a Support Plan for such Member, referral and related activities, the coordination and monitoring of LTSS delivery, the evaluation of service effectiveness, and the periodic reassessment of Member needs.
- 1.2 Case Manager: A person who provides case management services and meets all regulatory requirements for case manager.
- 1.3 Complaints: Any complaint received as it relates to the services provided through the CMA to include, but not limited to, general business functions, administration, State General Fund program, and case management functions. Excludes any complaints regarding activities outside the scope of this Contract.

2.0 Purpose

- 2.1 To define the policy and process of how a Member, Parent or Guardian, legally authorized representative, and/or other party with interest in a CMA Member (such as a Provider) can make a complaint.
- 2.2 To define how Members, Parents or Guardians, and/or legally authorized representatives are notified about changes in the complaint process.
- 2.3 To define the CMA process of accepting and documenting complaints.
- 2.4 To define the process of following up on complaints and documenting follow up activities.
- 2.5 To define the process of escalating complaints.

3.0 Applicability

3.1 RMHP CMA

3.2 Regulatory/ Contractual Requirement(s):

- 3.2.1 RMHP CMA Contract C24-186985
- 3.2.2 10 CCR 2505-10 8.7000
- 3.2.3 10 CCR 2505-10 9.519.20
- 3.2.4 10 CCR 2505-10 8.605

4.0 Policy

4.1 CMA Complaints

- 4.1.1 The CMA will receive, accept, and document all complaints made from Members, parents or guardians, legal representatives, or other parties with a vested interest in a Member, such as a provider of services, that meet the definition of a complaint as defined in Section 1.0 of this policy and procedure.
- 4.1.2 Complaints can be made in the following ways:
 - 4.1.2.1 By phone: 970-243-7050 or 800-346-4643 or TTY 711
 - 4.1.2.2 By email: RMHPCMAComplaints@uhc.com
 - 4.1.2.3 By fax: Attn: CMA Complaints 970-244-7880
 - 4.1.2.4 By postal mail: Rocky Mountain Health Plans, Attn: CMA Complaints, P.O. Box 10600, Grand Junction, CO 81502-5600
- 4.1.3 A CMA Supervisor, Manager, or the CMA Director will provide initial follow up with the complainant within 48 business hours of the complaint being received by the CMA and will continue to follow up with the complainant until the complaint is resolved or closed.
- 4.1.4 The complaint, all actions to resolve the complaint, and follow up completed with the complainant will be documented in the Complaint Tracker by CMA staff.
- 4.1.5 The CMA will not take any action that affects the future provision of appropriate services or supports based on a complaint received.
- 4.1.6 The CMA will always seek to find a mutually acceptable resolution to complaints.
- 4.1.7 Complaints that are not able to be resolved at the initial level can be escalated to the Director of LTSS for resolution.
- 4.1.8 No Member will be coerced, intimidated, threatened, or retaliated against for exercising their right to file a complaint or for participating in the complaint process.

5.0 Responsibilities

5.1 CMA Staff

- 5.1.1 All CMA staff are responsible for accepting complaints as defined in Section 1.0 of this policy and procedure.
- 5.1.2 When a CMA staff member receives a complaint, the staff member is responsible for documenting the complaint in the Complaint Tracker and notifying their immediate supervisor of the complaint, if they are not a supervisor.

- 5.1.3 Supervisory staff (Supervisor, Manager, and/or Director) are responsible for making an initial follow-up contact with the complainant within 48 business hours of the complaint being made.
- 5.1.4 Supervisory staff are responsible for continued follow up with the complainant until the complaint is resolved, closed, or escalated to the final level.
- 5.2 Routine Policy Review, Maintenance, and Communication
 - 5.2.1 This policy will be reviewed (and revised where necessary) at least annually or when there is a regulatory or contract change.
 - 5.2.2 The policy owner(s) are responsible to:
 - 5.2.2.1 Perform due diligence to confirm that the information is accurate and compliant with any applicable regulations, contracts, and laws.
 - 5.2.2.2 Ensure the final policy is updated in other locations including training manuals, provider manuals, websites, portals, intranets, and any other locations.
 - 5.2.2.3 Communicate revised policies to appropriate health plan staff and external stakeholders, as applicable. Communication must be documented and retained with the policy. Documentation could include inclusion in meeting minutes, email communication, and/or training attendance logs.
 - 5.2.3 The Director is responsible to:
 - 5.2.3.1 Obtain all required Committee reviews prior to finalizing the policy.
 - 5.2.3.2 Update the final version of the policy in the RMHP Policy and Procedure Library.

6.0 Procedure

6.1 Making a Complaint

- 6.1.1 Members, parents or guardians, legal representatives, and other parties with a vested interest in a Member can make a complaint regarding activities of the CMA or a specific case manager as defined in Section 1.0 of this policy and procedure.
- 6.1.2 Complaints can be made by phone, fax, email, or postal mail.
 - 6.1.2.1 By phone: 970-243-7050 or 800-346-4643 or TTY 711
 - 6.1.2.2 By email: RMHPCMAComplaints@uhc.com
 - 6.1.2.3 By fax: Attn: CMA Complaints 970-244-7880
 - 6.1.2.4 By postal mail: Rocky Mountain Health Plans, Attn: CMA Complaints, P.O. Box 10600, Grand Junction, CO 81502-5600

6.2 Receiving a Complaint

- 6.2.1 Any CMA staff can receive a complaint.
- 6.2.2 When a complaint is received, the CMA staff member receiving the complaint immediately documents it in the Complaint Tracker located on the CMA SharePoint site at [Case Management Agency - Home \(sharepoint.com\)](#).
 - 6.2.2.1 To document the initial complaint, CMA staff will follow these steps:

- 6.2.2.1.1 Go to the CMA SharePoint site at [Case Management Agency - Home \(sharepoint.com\)](#)
- 6.2.2.1.2 Click on “Complaint Tracker” in the top navigation bar.
- 6.2.2.1.3 Click on “New” in the left corner of the Complaint Tracker page which will open the web form to enter the complaint.
- 6.2.2.1.4 Complete the following sections in the web form:
 - 6.2.2.1.4.1 DSA
 - 6.2.2.1.4.2 Date Complaint Received
 - 6.2.2.1.4.3 Name of Person Making Complaint
 - 6.2.2.1.4.4 Relationship to Member
 - 6.2.2.1.4.5 Name of Person in or Needing Services
 - 6.2.2.1.4.6 Brief Description of Complaint
- 6.2.3 If the initial complaint was received by a CMA staff member other than a Supervisor, Manager, or Director, the staff member will notify the complainant that a Supervisor will follow up with them within 48 business hours.
- 6.2.4 If the initial complaint was received by a CMA staff member other than a Supervisor, Manager, or Director, the staff member will notify their immediate Supervisor of the complaint.

6.3 Resolving Complaints

- 6.3.1 If a Supervisor, Manager, or Director received the complaint, they will:
 - 6.3.1.1 Notify the complainant that the complaint has been documented.
 - 6.3.1.2 Notify the complainant of any action steps to be taken to resolve the complaint, if it cannot be resolved on the initial contact, and confirm the complainant agrees that the action steps will bring resolution to the complaint.
 - 6.3.1.3 Notify the complainant of an estimated time of completion of the action steps.
 - 6.3.1.4 Notify the complainant of the date they can expect the next follow-up if the complaint cannot be resolved immediately.
 - 6.3.1.4.1 The Supervisor, Manager, or Director that accepted the complaint will schedule themselves a reminder of the follow up date in their Outlook calendar.
- 6.3.2 If a complaint was referred to the immediate Supervisor of the CMA staff that received the complaint, the Supervisor will make an initial follow up contact with the complainant within 48 business hours of the complaint being received to:
 - 6.3.2.1 Notify the complainant that the complaint was received and documented.
 - 6.3.2.2 Notify the complainant of any action steps to be taken to resolve the complaint, if the complaint cannot be immediately resolved, and confirm the complainant agrees that the action steps will bring resolution to the complaint.
 - 6.3.2.3 Notify the complainant of an estimated time of completion of the action steps.

- 6.3.2.4 Notify the complainant of the date they can expect the next follow-up if the complaint cannot be resolved immediately.
 - 6.3.2.4.1 The Supervisor will schedule themselves with a reminder of the follow up date in their Outlook calendar.
- 6.3.3 Supervisors, Managers, or the Director will document the following fields in the Complaint Tracker once notified of or accepting the complaint and, if applicable, after the initial follow up has occurred with the complainant:
 - 6.3.3.1 Supervisor/Manager
 - 6.3.3.2 Case Manager
 - 6.3.3.3 Waiver/Program Member is Enrolled in
 - 6.3.3.4 Complaint Against
 - 6.3.3.5 Type of Complaint
 - 6.3.3.6 Specific Follow Up Actions Taken
 - 6.3.3.6.1 Document the initial follow up call and actions to be taken or that were taken to resolve the complaint.
 - 6.3.3.7 If the complaint was able to be resolved in the initial contact, the Supervisor, Manager, or the Director will also complete the following fields in the Complaint Tracker:
 - 6.3.3.7.1 Final Resolution
 - 6.3.3.7.2 Resolved by
 - 6.3.3.7.3 If Resolved by "Other, Please Explain (if applicable)
 - 6.3.3.7.4 Date of Resolution
- 6.3.4 If the complaint was not able to be resolved in the initial contact, the Supervisor, Manager, or Director will complete the action steps to resolve the complaint.
- 6.3.5 The Supervisor, Manager, or Director will follow up with the complainant before or no later than the date agreed upon in the initial follow up discussion to:
 - 6.3.5.1 Notify the complainant of actions completed towards resolving the complaint.
 - 6.3.5.1.1 If additional actions are still necessary to resolve the complaint, the Supervisor, Manager, or the Director will explain the additional action steps needed to get to resolution with an estimation of when the steps will be completed.
 - 6.3.5.1.2 The Supervisor, Manager, or Director will give the complainant a new follow-up date to update the complainant on progress towards resolution.
 - 6.3.5.1.3 The Supervisor, Manager, or the Director will continue entering the contacts made with the complainant and the action steps taken on the original complaint.
 - 6.3.5.2 If applicable, notify the complainant that the actions taken resolved the complaint from the CMA's perspective and confirm with the complainant that the steps taken have resolved the complaint from their perspective.

- 6.3.5.2.1 If the complainant agrees that the steps taken have resolved their complaint, the complaint is considered “resolved”.
 - 6.3.5.2.1.1 The Supervisor, Manager, or the Director will complete the following fields in the Complaint Tracker:
 - 6.3.5.2.1.1.1 Final Resolution
 - 6.3.5.2.1.1.2 Resolved by
 - 6.3.5.2.1.1.3 If Resolved by “Other, Please Explain (if applicable)
 - 6.3.5.2.1.1.4 Date of Resolution
- 6.3.5.2.2 If the complainant does not agree that the steps taken have resolved their complaint, the Supervisor, Manager, or the Director will seek to understand from the complainant what remains unresolved.
 - 6.3.5.2.2.1 If a new complaint is identified, the new complaint will be documented and worked separately from the existing complaint.
 - 6.3.5.2.2.2 If the complainant identifies additional action steps they feel are needed for resolution of the current complaint, the Supervisor, Manager, or the Director will accommodate, if possible, reasonable, and agreed upon.
 - 6.3.5.2.2.2.1 The Supervisor, Manager, or the Director will document the additional follow ups with the complainant as well as the additional follow-up actions on the original complaint.
 - 6.3.5.2.2.3 Supervisors or Managers that are not able to get to resolution on a complaint will escalate the complaint to the next level of leadership for assistance.
 - 6.3.5.2.2.3.1 The Supervisor or Manager will notify the complainant that the complaint is being escalated to the next level of leadership.
 - 6.3.5.2.2.3.2 The Supervisor or Manager will document in the original complaint’s Specific Follow Up Actions Taken that the complaint was escalated to the next level of leadership.
 - 6.3.5.2.2.3.3 If escalated to the Director, and the Director is unable to resolve with the help of the VP of LTSS, the Director will seek additional guidance from the Department.
 - 6.3.5.2.2.3.3.1 If the complaint is resolved after escalation, the Supervisor, Manager, or the Director will ensure all action steps and follow ups are documented in the original complaint and will also

complete the following fields in the Complaint Tracker:

- 6.3.5.2.2.3.3.1.1 Final Resolution
- 6.3.5.2.2.3.3.1.2 Resolved by
- 6.3.5.2.2.3.3.1.3 If Resolved by “Other, Please Explain (if applicable)
- 6.3.5.2.2.3.3.1.4 Date of Resolution

6.3.5.2.2.3.3.2 If the complaint is still not resolved after all levels of escalation have been exhausted, the Supervisor, Manager, or the Director will ensure all follow ups and action steps completed are documented in the original complaint and complete the following fields in the Complaint Tracker:

- 6.3.5.2.2.3.3.2.1 If Unresolved, Explain Why

6.4 Review of Complaints

- 6.4.1 The Complaint Tracker will be reviewed monthly by the Director and VP of LTSS to ensure timely resolution of complaints and to trend complaint data.
- 6.4.2 Trended data will be provided to CMA teams monthly for review of their designated service areas and overall CMA complaints.
 - 6.4.2.1 If appropriate and warranted, process changes may occur based on trend analyses to ensure the CMA is working in the best benefit of its Members.
- 6.4.3 Data from the Complaint Tracker will be redacted of all PHI and provided to the Community Advisory Committee (CAC) for quarterly review.
 - 6.4.3.1 The CAC may also recommend process improvements based on the trend analyses completed.
- 6.4.4 The data from the Complaint Tracker will be used to populate the Department’s Complaint Log quarterly deliverable.

7.0 Revision History

VERSION	DATE	REVISED BY	DESCRIPTION OF CHANGES
0	2/18/2024	Billie Bemis	Initial Policy