

## Chapter 8: Operations Management

### Section 1: Operations Management

#### Lesson 103: Complaints

##### **Objectives:**

Upon completion of this lesson the user will be able to:

- Enter a complaint into TWIST;
- Refer a complaint to the appropriate person;
- Retrieve a complaint referral;
- Enter actions taken on the complaint; and
- Print a complaint report for your agency

##### **Oregon Policies:**

- ☞ 588 Complaints
- ☞ 590 Participant Violations
- ☞ 452 Civil Rights

##### **Overview:**

In order to maintain high standards of integrity for the state WIC program, all of our staff, participants, and vendors are held responsible for following Program rules, policies, and procedures.

USDA required that the WIC Program provide an avenue for participants, vendors and others to complain about perceived inappropriate actions or treatment they have received.

Tracking complaints in TWIST will ensure that individual complaints are appropriately resolved, and allow us to see if a statewide issue needs our attention.

Users will document all complaints, against clients, farmers, stores and the WIC Program on this screen.

Details, details, details! When entering complaints, it is helpful to remember the five “W”s: **W**ho is complaining, **W**ho was involved, **W**hen did it happen, **W**hat are the issues, and **W**hom do I forward the complaint to for resolution.

The more detailed the information is, the quicker the complaint can be resolved.

### ***Instruction:***

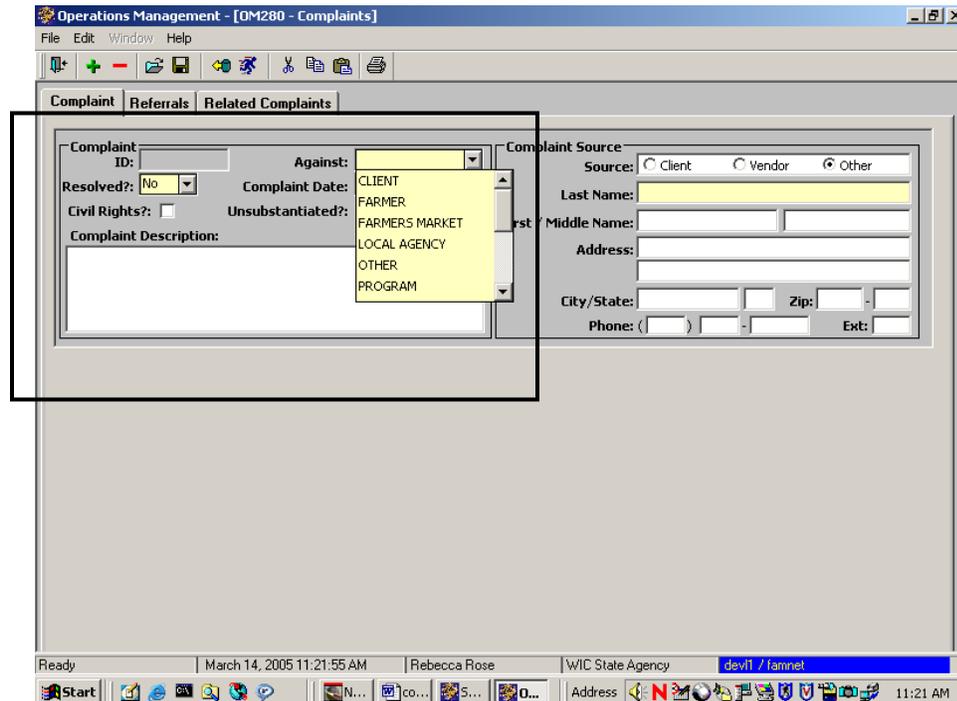
### ***Entering a Complaint***

The starting point for this section is:

Operations Management ÷ Compliance ÷ Complaints

### **“Complaint” Section:**

An “ID” number is automatically generated when all of the required fields have been completed and the screen has been saved.



**Figure 1: “Complaint Screen”**

1. **In the “Against” field, select whom the complaint is against from the drop-down menu.**

The screen will vary slightly, depending on which selection is made:

- Client – the complaint is being made against a WIC client.
- Farmer – the complaint is against a farmer.

- Farmers' Market – the complaint is against the market.
- Local Agency – the complaint is against the agency in general, not a specific employee of the agency.
- Other – the complaint is against someone or something not already categorized, such as USDA, a landlord withholding WIC FIs, etc.
- Program – the complaint is against the WIC Program in general, not a specific employee or local agency.
- Vendor – the complaint is against an employee of an authorized WIC store.

2. **Click on the drop-down menu in the “Resolved” field.**

This field defaults to “No.” State WIC staff will change this field after appropriate follow-up has been completed.

3. **Enter the date the alleged violation occurred in the “Complaint Date” field.**

This is the date of the actual event, not the date that staff entered the complaint into TWIST.

4. **Check the “Civil Rights” box when appropriate.**

Check this box if the complaint involves discrimination against any individual based on that individual's race, color, national origin, age or disability.

♪ Note: Contact the state WIC civil rights coordinator immediately after entering the civil rights complaint into TWIST. Refer to PPM 588 for more information.

5. **The “unsubstantiated” box will be checked, after investigation, if the allegation has been determined to be false, cannot be verified or the complaint is withdrawn.**

6. **Double click in the “Complaint Description” field; enter a detailed description of the complaint in the pop-up text box.**

Remember that details are important for resolving complaints.

### “Against” field screen changes:

As mentioned in Step 2., the screen changes slightly depending on whom the complaint is against.

The screenshot shows the 'Complaint' tab selected. The 'Against' dropdown menu is set to 'CLIENT'. Below the main form, a section titled 'Client' displays the following information: WIC ID: 00768692-01, Lesson, Formy, and Clinic: CANBY. The 'Complaint Source' section shows 'Source' as 'Client' (selected), 'Vendor', and 'Other' (unselected). The 'Vendor' dropdown is set to 'REALLY GOOD STORE'.

**Figure 2: Complaint Screen: Against Client**

If the complaint is against a client, a section will appear that requires a WIC client ID number.

#### 7. Enter the client WIC ID number and press enter.

TWIST will display the client name and clinic.

🎵 NOTE: If you do not know the WIC ID, Fast Path to client master, find the client and click on the “Return with Client” button. TWIST will auto-fill the ID field.

The screenshot shows the 'Complaint' tab selected. The 'Against' dropdown menu is set to 'FARMER'. Below the main form, a section titled 'Farmer' displays the following information: Name: TEST FARMER and Associated Farmer's Market: TEST MARKET. The 'Complaint Source' section shows 'Source' as 'Client' (selected), 'Vendor', and 'Other' (unselected). The 'WIC ID' field is filled with 00768692-01, and the 'Clinic' field is filled with CANBY.

**Figure 3: Complaint Screen: Against Farmer**

If the complaint is against a farmer, a section will appear that requires the user to select the name of a farmer from the drop-down menu.

8. **Select the name of the farmer from the drop-down menu.**
9. **Select the name of the farmers' market where the alleged violation took place.**

Complaint Referrals Related Complaints

Complaint ID:  Against: **FARMERS MARKET** Complaint Source:  Client  Vendor  Other

Resolved?: **No** Complaint Date: 03/14/2005 WIC ID: 00768692-01

Civil Rights?:  Unsubstantiated?:  Lesson, Formy

Complaint Description:

Clinic: CANBY

Farmer's Market Name: **CEDAR MILL SUNSET FARMERS' MARKET**

CEDAR MILL SUNSET FARMERS' MARKET  
HILLSBORO FARMERS' MARKET  
MCMINNVILLE FARMERS' MARKET  
TEST MARKET  
TEST MARKET 2

**Figure 4: Complaint Screen: Against Farmers' Market**

If the complaint is against a Farmers' Market, a section will appear that requires the user to select the name of the Market from the drop-down menu.

Complaint Referrals Related Complaints

Complaint ID:  Against: **LOCAL AGENCY** Complaint Source:  Client  Vendor  Other

Resolved?: **No** Complaint Date: 03/14/2005 WIC ID: 00768692-01

Civil Rights?:  Unsubstantiated?:  Lesson, Formy

Complaint Description:

Clinic: CANBY

Agency Name: **Baker CHD**

Baker CHD  
Benton CHD  
Clackamas CHD  
Clatsop CHD  
Columbia CHD  
Coos CHD

**Figure 5: Complaint Screen: Against Local Agency**

If the complaint is against a Local Agency, a section will appear that requires the user to select the name of the Local Agency from the drop-down menu.

The screenshot shows a web form with three tabs: 'Complaint', 'Referrals', and 'Related Complaints'. The 'Complaint' tab is active. The 'Against' dropdown menu is set to 'OTHER'. Below this, there are fields for 'Resolved?' (set to 'No'), 'Complaint Date' (set to '00/00/0000'), 'Civil Rights?' (checkbox), and 'Unsubstantiated?' (checkbox). A 'Complaint Description' text area is present. To the right, the 'Complaint Source' section has radio buttons for 'Client', 'Vendor', and 'Other' (which is selected). Below this are fields for 'Last Name', 'First / Middle Name', 'Address', 'City/State', 'Zip', 'Phone', and 'Ext'. At the bottom, an 'Other' section has fields for 'First Name', 'Middle Name', 'Last Name', and 'Title'. A circle highlights the 'Against: OTHER' dropdown, and an arrow points from it to the 'Other' section below.

Figure 6: Complaint Screen: Against “Other”

If the complaint is against a person or entity not listed in drop-down menu, such as, a store that is not authorized or a person that is not a client at this time, the user would select “Other” from the menu.

No additional sections will appear when the user selects “Program” from the “Against” drop-down menu.

The screenshot shows the same web form as Figure 6, but with the 'Against' dropdown menu set to 'VENDOR'. The 'Complaint Source' radio buttons are now 'Client', 'Vendor', and 'Other' (which is selected). Below this, there are fields for 'Last Name', 'First / Middle Name', 'Address', 'City/State', 'Zip', 'Phone', and 'Ext'. At the bottom, a 'Vendor' section has a 'Name' dropdown menu and a 'Notice Text (State Use Only)' text area. To the right, a 'Persons Involved' section has fields for 'Last Name', 'First Name', 'Middle Name', 'Title', 'Role', and 'Description'. At the bottom, there is an 'Issues' dropdown menu, 'Next Person' and 'Previous Person' buttons, and a 'Print Notice' button. A circle highlights the 'Against: VENDOR' dropdown, and two arrows point from it to the 'Vendor' and 'Persons Involved' sections below.

Figure 7: Complaint Screen: Against “Vendor”

If the complaint is against a vendor, two new sections will appear:

**“Vendor” Section:**

10. **In the “Name” drop-down menu, select the store where the complaint event took place.**

All Oregon authorized WIC vendors are listed in this menu. If the name of the store is not in the list, change the “Against” selection to “Other” and continue to enter the details of the incident.

The “Notice Text” field is for state use only.

**“Persons Involved” Section:**

11. **Enter in the name of the person at the store that committed the alleged violation.**

This could be a checker, store manager, pharmacist, etc. If the person making the complaint does not know or remember the name, use “Unknown.”

12. **Click in the “Description” box.**

If the name of the “Person Involved” is unavailable, enter a description of the person, time of day, receipt number, or any other helpful information.

13. **From the “Title” drop-down menu, select the person’s job description.**

14. **Use the “Insert” icon to enter additional people involved in the incident.**

15. **Click on the “Previous Person” and “Next Person” buttons.**

You will see the information on the last person that you entered.

16. **Click on the “Next Person” button.**

You will see the information on the most recent person entered.

### “Complaint Source” Section:

This section is for documenting the type of person making the complaint. Complaint source information is kept confidential unless authorized for release by the person making the complaint.

There are three choices: vendor, client and other. The fields will change according to which source you choose.

#### 17. Click in the “Client” circle.

The screenshot shows a form titled "Complaint Source". It contains three radio buttons: "Client" (which is selected), "Vendor", and "Other". Below the radio buttons, there is a "WIC ID" field with the value "00768692-01". Underneath the WIC ID field, there are two text input fields: the first contains "Lesson, Formy" and the second contains "CANBY".

Figure 8: “Complaint Source: Client”

#### 18. Enter the client WIC ID number and press enter.

TWIST will auto-fill the client name and clinic.

♪ NOTE: If you do not know the WIC ID, Fast Path to client master, find the client and click on the “Return with Client” button. TWIST will auto-fill the field.

#### 19. Click in the Vendor circle.

The screenshot shows a larger form interface with tabs for "Complaint", "Referrals", and "Related Complaints". The "Complaint" tab is active. It contains several fields: "Complaint ID" (1163), "Against" (CLIENT), "Resolved?" (No), "Complaint Date" (11/02/2004), "Civil Rights?" (checkbox), and "Unsubstantiated?" (checkbox). The "Complaint Source" section has three radio buttons: "Client", "Vendor", and "Other" (which is selected). Below these are fields for "Last Name" (GoodCheck) and "First / Middle Name" (Johnny). A "Vendor" dropdown menu is open, showing a list of vendors with their addresses. The selected vendor is "REALLY GOOD STORE".

Vendor Name	Address
9009 - REALLY GOOD STORE	- 1212 YELLOW BRICK ROAD, ANYWHERE, OR
2136 - RED APPLE MARKET	- 849 W. 6TH AVE, EUGENE, OR
1074 - RED APPLE MARKETPLACE	- 555 SW 4TH AVE, ONTARIO, OR
2138 - RED BARN NAT. GROC.-TERMED	- 357 VAN BUREN, EUGENE, OR
1078 - RED BARN NATURAL GROCERY	- 357 VAN BUREN, EUGENE, OR

At the bottom of the form, there is a "Client WIC ID" field (007) and a "Clinic" field (CANBY).

Figure 9: “Complaint Source: Vendor”

20. **Enter the name of the store employee who is reporting the complaint.**

Information about the complaint source is kept confidential unless they authorize release of the information. If, after explaining that, they do not want to disclose their name, enter “Anonymous” in the “Last Name” field.

21. **Select the name of the store they work for from the “Vendor” drop-down menu.**
22. **Enter a phone number where the employee can be reached for more information.**

If the person does not want the state staff to contact them, or if they have certain requirements for contact, enter notes in the “Complaint Description” field.

#### “Issues” Section:

The screenshot shows a web-based form for entering complaint information. At the top, there are tabs for 'Complaint', 'Referrals', and 'Related Complaints'. The 'Complaint' tab is active. The form is divided into several sections:

- Complaint ID:** 1163
- Against:** CLIENT (dropdown menu)
- Complaint Source:** Radio buttons for Client, Vendor (selected), and Other.
- Last Name:** GoodCheck
- First / Middle Name:** Johnny
- Vendor:** REALLY GOOD STORE (dropdown menu)
- Phone:** ( ) - - Ext: ( )
- Resolved?:** No (dropdown menu)
- Complaint Date:** 11/02/2004
- Civil Rights?:**
- Unsubstantiated?:**
- Complaint Description:** A large text area for notes.
- Client:** WIC ID: 00768692-01, Lesson, Formy
- Clinic:** CANBY
- Issues:** A dropdown menu with the selected issue: CLIENT SELLING WIC FOODS OR FORMULA. This section is highlighted with a red box.

**Figure 10: Complaint Screen: “Issues” Section**

23. **Tab to the “Issues” drop-down menu and select the issue that closely most closely matches the complaint.**

You can select more than one issue by clicking on the “Insert” icon at the top of your screen.

If you need to explain specific details, use the “Complaint Description” box.

24. **“Save.”**

TWIST will generate and display a complaint ID number upon “Save.”

## **Referrals Tab**

The starting point for this section is:

Operations Management ÷ Compliance ÷ Complaints ÷ Referrals Tab

### **“Referrals” Section:**

Once the complaint information has been entered and saved, the complaint should be referred to an appropriate person for follow-up. This step is preferred, however, if the local clinic staff are pressed for time, it is an optional step. The state WIC Compliance Coordinator will run a report of all non-referred complaints on a regular basis and refer to the appropriate person for follow-up.

The WCC may refer back to the local agency Coordinator if additional information or action is needed.

**Figure 11: “Referrals” Screen**

1. **Click in the “WIC Agency” circle of the “Referred To:” section.**

Two drop-down menus will be displayed.

The “Other Entity” circle is selected when referring the complaint to an outside program, such as USDA or the Department of Agriculture.

2. **In the “Agency” drop-down, select “WIC State Agency.”**

State staff will forward complaints to the appropriate local agency if necessary for follow-up.

3. **In the “Staff” drop-down, select the appropriate state staff.**

If you do not know whom to select, refer the complaint to the state WIC Compliance Coordinator (WCC.) Once processed, the complaint will be forwarded to the appropriate person.

4. **Click on the “Referral Date” field.**

TWIST will default to today’s date. Users can change the date if necessary.

5. **Double click in the “Referral Notes” box and enter any information you want to pass on with the referral.**

6. **“Save.”**

**“Action Taken” Section:**

The screenshot shows the 'Referrals' section of the TWIST software interface. It includes the following fields and values:

- Referred To:**  WIC Agency,  Other Entity
- Agency:** WIC State Agency
- Referral Note:** (Empty text box)
- Created By:** rose
- Referral Date:** 03/15/2005
- Staff:** Rose, Rebecca - WIC Compliance C
- Create Date:** 03/15/2005

Below the 'Referrals' section is the 'Actions Taken' section, which is highlighted with a black box. It contains the following fields and values:

- Date:** 03/15/2005
- Last Name:** Hardworker
- First/Middle Name:** Barbara
- Description:** I called the store manager on 3/01/2005 to discuss the lack of Enfamil Lipil on the shelf. He said that he would make sure there was enough on hand.

**Figure 12: “Referrals”**

This area is for documenting each action that was taken on this complaint.

7. **Enter the date the action took place.**

TWIST will default to today’s date.

8. **Enter your name, if you are the person that took action on the complaint.**

If you are entering the information for someone else, put their name in the field.

9. **Double click in the “Description” box to enter a summary of the action.**

This could be a conversation with the store manager or client, decision of the local agency.

10. **Click on the “Insert” icon to add a new row for additional actions.**

11. **“Save”**

### ***Related Complaints Tab***

The starting point for this section is:

Operations Management ÷ Compliance ÷ Complaints ÷ Related Complaints Tab

Complaint Referrals Related Complaints							
Case ID	Complaint Type	Complaint Date	Resolved?	Civil Rights?	Vendor		Client
1161	CLIENT	03/05/2005	No	N			Lesson, Formy
1162	CLIENT	02/01/2005	No	N			Lesson, Formy
1163	CLIENT	11/02/2004	No	N			Lesson, Formy

**Figure 13: Related Complaints Screen**

This screen is “display only.” The screen will list the current complaint and any other complaints that have been made against this client, vendor, farmer, etc.

### ***(Practice Activities:***

Using the information from your K Activity Sheet, follow the steps below to enter a complaint into TWIST.

1. Click on the “Operations Management” module.
2. From the Compliance menu, select “Complaints.”

3. Enter a new complaint by selecting “Vendor” in the “Against” drop-down menu.
4. Enter today’s date as the “Complaint Date.”
5. Enter a description of the incident in the “Complaint Description.”
6. Select “Client” as the “Complaint Source.”
7. Enter a WIC client ID number and press “enter.”
8. Click on the “Vendor” drop-down menu and select the store where the incident took place.
9. From the “Person involved” section, enter the name of the person who committed the alleged violation.
10. Select a title and role from the drop-down menus.
11. Click on the “insert” icon and enter a second person.
12. “Save.”
13. Look for the “Complaint ID” number that TWIST generated.
14. Click on the “Referrals” tab.
15. Select “WIC State Agency.”
16. Select the “WIC Compliance Coordinator’s” name from the “Staff” drop-down menu.
17. Enter a referral note.
18. Tab to “Action Taken: Date” field and enter today’s date.
19. Enter your name in the “Last Name” and First Name” fields.
20. In the “Description” field, type a summary of the conversation with the client regarding the incident.
21. “Save.”

***N Notes:***

