SAMPLE POLICY

Sample policy from the CareRulebook Illinois manual. Fictional agency. Rule-verified on October 1, 2026.

This is Policy 2.4 of the 37 in the manual, exactly as it prints in a buyer's copy, but filled in with example answers for a fictional agency, Sample Home Care, LLC. Rule-verified means each quote under Rule basis was checked word for word against the official text we saved on that date. It is not legal advice.

Your copy is filled in with your own agency's details and choices: https://www.carerulebook.com/us/illinois/home-care/manual

POLICY 2.4

Complaint resolution

77 Ill. Adm. Code 245.30(b)(3) · 77 Ill. Adm. Code 245.220(i) · 77 Ill. Adm. Code 245.210(c)(6) · 77 Ill. Adm. Code 245.20 · 77 Ill. Adm. Code 245.115(a)-(b) · 77 Ill. Adm. Code 245.40(c)(6)(B)(i) · 77 Ill. Adm. Code 245.250(a)(3) · 77 Ill. Adm. Code 245.90(a)(3)(I)(i) · IDPH Surveillance Nurse Visit Checklist (Home Services) (archived copy of August 30, 2025) · IDPH Home Services Agencies FAQ (archived copy of March 21, 2026) · IDPH Home Services Application, form 445104 (archived copy of March 21, 2026) · IDPH File a Health Care Complaint (archived copy of September 30, 2026) · IDPH Home Services Agencies page (archived copy of March 21, 2026)

Purpose

To give clients, their advocates and families a clear way to raise complaints about Sample Home Care, LLC's services, and to set out how the agency records, investigates and resolves each complaint and tells the person who complained the outcome. These are the written policies for complaint resolution between the agency and its clients and client advocates that 77 Ill. Adm. Code 245.30(b)(3) requires. They go to IDPH with the initial license application (245.90(a)(3)(I)(i)), and the client contract describes them (245.220(i); Policy 2.3).

Scope

This policy applies to every complaint about the services Sample Home Care, LLC provides, or about its staff, billing or scheduling, made by a client, a client's advocate, designee or representative, a family member or anyone else acting for a client, whether made in person, by phone, by email or in writing, and to whichever member of staff receives it. An advocate is a person who represents the rights and interests of an individual as though they were the person's own (245.20). Allegations of abuse, neglect or financial exploitation are also handled under Policy 6.1.

Policy

1. **Complaints welcome.** Any client, advocate or person acting for a client may make a complaint to any member of staff, or directly to the agency manager, Jordan Lee, at (217) 555-0100 or PO Box 100, Springfield, IL 62705. The client contract gives this contact information (245.210(c)(6); 245.220(c)). A complaint may be made without giving a name; the agency investigates it as far as it can.
2. **Written policies, carried out.** Sample Home Care, LLC must develop and implement these written policies for complaint resolution (245.30(b)(3)). Every complaint is handled under this policy, however small it seems and whether or not it is upheld.

Complaint log and records

3. **Complaint log.** The agency manager keeps a complaint log at the office. IDPH's Surveillance Nurse Visit Checklist lists the complaint log and process among the materials surveyors review. Each entry has a complaint number and shows:
   - the date received, who received it and how;
   - the name of the person complaining (or "not given") and their relationship to the client;
   - the client concerned and a short summary of the complaint;
   - the date acknowledged;
   - who investigated it and the date the investigation was finished;
   - the outcome and resolution, and the date and way the person complaining was told; and
   - whether it was also handled under Policy 6.1.
4. **Investigation record.** For each complaint, the investigator completes a Complaint investigation record (template in the Procedure), filed under the complaint number.

Who does what

5. **Intake.** The agency manager, or in the agency manager's absence Taylor Brooks, logs and acknowledges each complaint. Any staff member who receives a complaint passes it on the same day.
6. **Investigation.** The agency manager investigates, or assigns the supervisor of home services workers, Taylor Brooks, for complaints about a worker or about care. No one investigates a complaint about their own conduct. If a complaint is about the agency manager, the governing body, the members of Sample Home Care, LLC, names the investigator.
7. **Time limit.** The agency finishes investigating each complaint within 14 days of first receiving it, and tells the person who complained the outcome and the resolution within the same period. No rule sets this number; it is the agency's own commitment and the agency must keep to it.

Linked duties

8. **Abuse, neglect and financial exploitation.** If a complaint alleges, or gives reason to suspect, abuse, neglect or financial exploitation of a client, the person who receives it also follows Policy 6.1 at once. If the allegation is against an employee, the agency must immediately remove the alleged perpetrator from direct contact with clients and investigate (245.250(a)(3)). The complaint process never delays these steps or the reports Policy 6.1 requires.
9. **Concerns about a worker's performance.** If a complaint raises an area of concern in a worker's performance, the supervisor makes an on-site visit to observe and assess the worker while they are providing care no later than the next supervisory visit (245.40(c)(6)(B)(i); Policy 5.5).
10. **Service plan.** If a complaint shows the service plan does not meet the client's needs, the supervisor reviews it with the client (Policy 5.1).
11. **Complaints to IDPH.** Complaints about agencies licensed under the Act and Part 245 may be made to the IDPH Central Complaint Registry in writing, by telephone or by other electronic means, and IDPH investigates every complaint it receives (245.115(a)-(b)). A client or anyone else may complain to IDPH at any time, whether or not they have complained to the agency first. IDPH's Home Services Agencies page points to IDPH's complaint section, which gives these ways to reach the Central Complaint Registry:
    - phone: the Central Complaint Registry Hotline, 800-252-4343, Monday to Friday, 8:30 a.m. to 4:30 p.m. (TTY 800-547-0466);
    - online: IDPH's OHCR Portal, by selecting "File a Complaint";
    - mail: IDPH's Health Care Facilities Complaint Form, sent to Illinois Department of Public Health, Office of Health Care Regulation, Central Complaint Registry, 525 W. Jefferson St., Ground Floor, Springfield, IL 62761-0001;
    - fax: the same form, to 217-524-8885; or
    - email: the same form, to DPH.CCR@illinois.gov.

    IDPH does not tell the agency who complained, and complaints may be made anonymously. The agency cooperates with IDPH's investigation (Policy 1.6).
12. **Application and review.** A copy of this policy goes to IDPH with the initial license application (Policy 1.5). IDPH also asks for the agency's complaints policy when an agency submits a potential abuse, neglect or theft finding for review (Policy 6.1).

Procedure

Receiving a complaint

1. The staff member who receives a complaint writes down what was said, who said it, the client concerned, and the date and time, and passes it to the agency manager the same day. Outside office hours, they pass it on through (217) 555-0199.
2. If the complaint suggests a client is in danger, the staff member calls 911 if needed and tells the agency manager or the supervisor at once, who acts to protect the client, for

example by changing the worker or arranging a visit.

3. If the complaint alleges or suggests abuse, neglect or financial exploitation, the staff member and the agency manager follow Policy 6.1 at once.

Logging and acknowledging

4. The agency manager enters the complaint in the complaint log with a complaint number.
5. The agency manager acknowledges the complaint to the person who made it, in person, by phone or in writing, tells them who will look into it and when they will hear the outcome, and records the date. If no contact details were given, the log says so.

Investigating

6. The investigator talks to the person who complained, the client, and the staff involved, and reviews the client record, the service plan, visit records and schedules as needed.
7. The investigator records each step, the findings and whether the complaint was upheld, partly upheld or not upheld on the Complaint investigation record.

Resolving and closing

8. The investigator proposes a resolution, for example an apology, a billing correction, retraining, a supervisory visit, a change of worker or a change to the service plan. The agency manager approves it, or the governing body does when the complaint is about the agency manager.
9. The agency manager tells the person who complained the outcome and the resolution within 14 days of receipt, in writing if the complaint was made in writing or if they ask, and reminds them that they may also contact the IDPH Central Complaint Registry (800-252-4343, or the other ways in Policy item 11). The date and method are recorded.
10. When the resolution has been carried out, the agency manager records it and closes the entry in the log.

Complaint investigation record (template)

Item	Details
Complaint number and date received	
Received by, and how (in person, phone, email, letter)	
Person complaining and relationship to the client	
Client concerned	
The complaint, in the person's own words where possible	
Also handled under Policy 6.1? (yes / no; date)	
Investigator, and steps taken with dates (people spoken to, records reviewed, visits)	
Findings: upheld / partly upheld / not upheld, and why	

Item	Details
Resolution and who approved it (name, date)	
Date and method the person complaining was told the outcome	
Action completed (date) and complaint closed (date)	

Responsibilities

- **Agency manager (Jordan Lee):** keeps the complaint log; acknowledges complaints; investigates or assigns an investigator; approves resolutions; tells the person who complained the outcome within 14 days; makes the log available to IDPH surveyors.
- **Alternate (Taylor Brooks):** logs and acknowledges complaints when the agency manager is absent.
- **Supervisor of home services workers (Taylor Brooks):** investigates complaints about workers and care when assigned; observes the worker on site when a complaint raises a concern about their performance; reviews the service plan when needed.
- **Governing body (the members of Sample Home Care, LLC):** names the investigator and approves the resolution when a complaint is about the agency manager.
- **All staff:** pass every complaint on the same day and cooperate with investigations.

Records

- The complaint log, kept at the office and available to IDPH surveyors.
- A Complaint investigation record for each complaint, filed by complaint number.
- A note in the client record (Policy 10.1) of any change to the client's services that resulted from a complaint.

The complaint log and investigation records are kept as Policy 10.3 sets out (at least two years after the last entry).

Recommended practice

- Never reduce or end a client's services, or treat a client or anyone else differently, because a complaint was made to the agency or to IDPH.
- Acknowledge each complaint within one working day of receiving it.
- Review the complaint log at each quarterly record review and at the annual program evaluation, looking for patterns (Policy 9.1).
- Thank the person for raising the complaint, and tell them what changed as a result.
- Post the Central Complaint Registry hotline number (800-252-4343) in the office, next to the agency's own complaint contact.

Rule basis

> The agency shall develop and implement written policies for complaint resolution between the agency and its patients or clients and patient or client advocates in regard to services being provided to the patient or client.
> `77 Ill. Adm. Code 245.30(b)(3)`

> A description of the agency complaint resolution process;
> `77 Ill. Adm. Code 245.220(i)`

> Contact information for the client to use in case of concerns, complaints, or questions on care to be provided.
> `77 Ill. Adm. Code 245.210(c)(6)`

> Advocate – a person who represents the rights and interests of an individual as though they were the person's own, to realize the rights to which the individual is entitled, obtain needed services, and remove barriers to meeting the individual's needs.
> `77 Ill. Adm. Code 245.20`

> Client – an individual receiving services from a home nursing agency, a home services agency or a placement agency. This term includes the client's advocate or designee.
> `77 Ill. Adm. Code 245.20`

> a) Complaints in regard to agencies licensed under the Act and this Part may be submitted either in writing, by telephone or by other electronic means to the IDPH Central Complaint Registry. b) The Department will conduct an investigation of all complaints received.
> `77 Ill. Adm. Code 245.115(a)-(b)`

> If an area of concern in the performance of a home services worker is noted by the supervisor, then the supervising individual shall make an on-site visit to the location where the client is receiving services in order to observe and assess the home service worker while he or she is performing care no later than the next supervisory visit.
> `77 Ill. Adm. Code 245.40(c)(6)(B)(i)`

> If the abuse or neglect is alleged to be a result of actions by an employee of the agency providing in-home, home health, or home nursing services, the agency shall immediately remove the alleged perpetrator from direct contact with clients and investigate the allegation.
> `77 Ill. Adm. Code 245.250(a)(3)`

> Copies of policies and procedures for the following: i) Complaint resolution as required per Section 245.30(b)(3);
>
> `77 Ill. Adm. Code 245.90(a)(3)(I)(i)`

> Complaints can be filed by phone, mail, e-mail, or fax. ... Central Complaint Registry Hotline - 800-252-4343 ... Monday-Friday 8:30 a.m. to 4:30 p.m. ... TTY for the Hearing Impaired Only - 800-547-0466 ... Complaints can be submitted online by visiting the OHCR Portal and selecting File a Complaint ... Office of Health Care Regulation ... Central Complaint Registry ... 525 W. Jefferson St., Ground Floor ... Springfield, IL 62761-0001 ... Fax form to: 217-524-8885 ... E-Mail form to DPH.CCR@illinois.gov
>
> `IDPH, File a Health Care Complaint (archived copy of September 30, 2026)`

> The identity of the complainant is not disclosed to the facility by the Department. ... Complaints may be filed anonymously.
>
> `IDPH, File a Health Care Complaint, Frequently Asked Questions (archived copy of September 30, 2026)`

> For information on filing a complaint or checking the status of a current complaint, please visit our complaint section.
>
> `IDPH, Home Services Agencies page (archived copy of March 21, 2026)`

> Complaint resolution policy (245.30 b) 3)
>
> `IDPH Home Services Application, form 445104, page 7 (archived copy of March 21, 2026)`

> Complaint log and process
>
> `IDPH Surveillance Nurse Visit Checklist (Home Services), Required Materials for Surveyor Review (archived copy of August 30, 2025)`

> Facility policy on the following: Health Care Worker Background Check Abuse, neglect, and financial exploitation Complaints
>
> `IDPH Home Services Agencies Frequently Asked Questions (archived copy of March 21, 2026)`

Adopted November 1, 2026 · Next review November 1, 2027