SAMPLE POLICY

Sample policy from the CareRulebook Maine manual. Fictional agency. Rule-verified on October 4, 2026.

This is Policy 2.9 of the 33 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/maine/home-care/manual

POLICY 2.9

Grievances and complaints to DLC

10-144 C.M.R. Ch. 129 § 1 (definitions: Grievance) · 10-144 C.M.R. Ch. 129 § 7(B)(1)-(5) · 10-144 C.M.R. Ch. 129 § 7(A)(1)(i)-(j) · 10-144 C.M.R. Ch. 129 § 8(B)(3) · 10-144 C.M.R. Ch. 129 § 10(C)(1) · 10-144 C.M.R. Ch. 129 § 9(B)(1)(j) · 10-144 C.M.R. Ch. 129 § 5(A)(1)(d)(xii) · DLC File a Complaint page (contact details) · Maine Long-Term Care Ombudsman Program home page (contact details)

Approved by the administrator, effective November 1, 2026

Purpose

To set out Sample Home Care, LLC's grievance procedures: how clients raise concerns, how every grievance is recorded and investigated, how the client gets a written resolution within seven calendar days, how clients are told they can complain to DLC instead of or as well as filing a grievance, and that no client is treated worse for complaining (10-144 C.M.R. Ch. 129 § 5(A)(1)(d)(xii), § 7(B), § 7(A)(1)(i)-(j), § 10(C)(1)).

The forms are at the end of the Procedure section: the grievance log, the grievance investigation record and the grievance resolution letter.

Scope

This policy applies to every client and legal representative, to every employee who hears a client's concern, and to the administrator, who handles grievances.

Policy

What a grievance is

1. Chapter 129 defines a grievance as a complaint by a client about either an action or inaction by an agency or an employee (§ 1, "Grievance"). Sample Home Care, LLC treats any concern a client or legal representative raises about the manner and quality of its services, or about anything else Sample Home Care, LLC or an employee has done or

failed to do, as a grievance, however it is raised and whether or not the client uses the word.

2. A concern raised by a family member or friend who is not the legal representative is handled the same way, with the client's agreement (this is Sample Home Care, LLC's own practice).

How clients raise a grievance (§ 7(B)(1))

3. Sample Home Care, LLC must have a process for clients to raise issues or concerns about the manner and quality of services or other grievances. A client or legal representative may raise a grievance in any way: by telling any employee, by calling or emailing the office ((207) 555-0100, office@samplehomecare.com), by letter to 100 Main Street, Suite 200, Augusta, ME 04330, or in person.
4. **Telling clients how.** Clients are told, verbally and in writing, in a language they understand, how to file a grievance with Sample Home Care, LLC (§ 7(A)(1)(i)), and how to file a complaint with DLC and that a DLC complaint may be filed instead of or in addition to a grievance (§ 7(A)(1)(j)). This is done at contract signing, using the agency expectations handout (Policy 2.3), and again in every grievance resolution letter.

When an employee hears a grievance (§ 8(B)(3))

5. If a client expresses any grievance about their services, the employee must document the concern in the client's record and report it in accordance with this policy. The employee writes the concern in the visit record (Policy 2.5) and reports it to the administrator or acting administrator the same day. The employee does not try to settle it alone, and never discourages the client from raising it.

Recording every grievance (§ 7(B)(2))

6. Sample Home Care, LLC keeps a record of all grievances filed by any client or a client's legal representative. The grievance log shows, for each one:

    1. the client's name;
    2. the date the grievance was filed; and
    3. the nature of the grievance.

    The log also shows who handled it and the date the written resolution was given. The date filed is the day any employee or the office first received the grievance.

Investigating every grievance (§ 7(B)(3)-(4))

7. Sample Home Care, LLC investigates all grievances. The administrator, or a person the administrator names who was not involved in what the grievance is about, talks with the client (and legal representative), the employees involved and anyone else who knows what happened, and looks at the relevant records.
8. The investigation and the resolution of every grievance are documented in the client's record, on the grievance investigation record.

A written resolution within seven calendar days (§ 7(B)(5))

9. Sample Home Care, LLC must provide a written resolution to the client within seven calendar days, and a copy must be kept in the client's record. Chapter 129 does not say when the seven days start. Sample Home Care, LLC counts them from the day the grievance is received (our reading), so the letter is given or sent no later than seven calendar days after that day.
10. The resolution letter is written in a language the client understands. It says what the client raised, what Sample Home Care, LLC found, what Sample Home Care, LLC has done or will do and by when, and how to contact DLC and the Long Term Care Ombudsman Program if the client is not satisfied. If the client's legal representative filed the grievance, the representative also gets a copy.
11. If some action (for example, a change of employee, or a billing correction) will take longer than seven days, the letter is still given within the seven days and says what will happen and when. The administrator follows up and records the outcome.

Concerns that are also reports

12. If a grievance includes possible abuse, neglect, exploitation or misappropriation of a client's property, it is reported at once under Policy 3.1 and investigated under Policy 3.2, as well as handled as a grievance. The grievance process never delays those reports.

Complaints to DLC (§ 7(A)(1)(j))

13. A client, legal representative or anyone else may file a complaint with DLC at any time, instead of or in addition to a grievance with Sample Home Care, LLC. The handout in Policy 2.3 and every resolution letter give DLC's complaint contacts. If DLC investigates, Sample Home Care, LLC cooperates fully.

No retaliation (§ 10(C)(1))

14. Sample Home Care, LLC may not retaliate against any client or their representative for filing a complaint with DLC. Sample Home Care, LLC applies the same rule to anyone who files a grievance with Sample Home Care, LLC (this wider protection is Sample Home Care, LLC's own policy, as in Policy 2.3). No employee may reduce, delay or end a client's services, or treat a client differently in any way, because a grievance or complaint was made. An employee who does so is disciplined under Policy 4.6.

Procedure

1. **Any employee who receives a grievance:** writes it down (in the visit record, if during a visit) and tells the administrator or acting administrator the same day.
2. **The administrator or acting administrator:** enters it in the grievance log the day it is received, with the client's name, the date filed and its nature, and notes the date seven calendar days later.
3. **The administrator:** contacts the client (and legal representative) promptly to hear the concern in full, and decides whether it must also be reported under Policy 3.1.

4. **The administrator, or the person the administrator names:** investigates and completes the grievance investigation record.
5. **The administrator:** writes and signs the resolution letter, and gives or sends it to the client no later than seven calendar days after the grievance was received.
6. **The administrator:** files the investigation record and a copy of the letter in the client's record, and completes the log.
7. **The administrator:** follows up any action that takes longer, and records the outcome on the investigation record.

Sample Home Care, LLC: Grievance log

Client's name	Date of filing of the grievance	Nature of the grievance	Received by	Also reported under Policy 3.1? (yes or no)	Investigated by	Written resolution given (date; within seven calendar days: yes or no)

Sample Home Care, LLC: Grievance investigation record

Item	Details
Client's name	
Filed by (client or legal representative)	
Date the grievance was received, and by whom	
Date seven calendar days later (resolution due)	
The grievance, in the client's words where possible	
Also reported under Policy 3.1? (yes or no; date)	
Investigated by (name and job title; not involved in the matter)	
People spoken to (names or roles, dates)	
Records reviewed	
What was found	

Item	Details
Resolution (what Sample Home Care, LLC has done or will do, and by when)	
Date the written resolution was given, and how	
Follow-up of any later action (date and outcome)	

Completed by: _____ Signature _____ Date _____

Sample Home Care, LLC: Grievance resolution letter

To (client): _____ Copy to (legal representative, if any): _____

Date of this letter: _____

Thank you for telling us about your concern, which we received on _____ (date).

What you told us: _____

What we found: _____

What we have done, or will do, and when: _____

If you are not satisfied, please contact the administrator at (207) 555-0100. You can also file a complaint with the Maine Department of Health and Human Services, Division of Licensing and Certification (DLC), at any time, instead of or as well as raising a concern with us:

- online, using the form on DLC's File a Complaint page (www.maine.gov/dhhs/dlc/safety-reporting/file-a-complaint);
- by phone: 207-287-9308 or 1-800-383-2441;
- by email: DLRS.Complaint@Maine.gov;
- by fax: 207-287-9307; or
- by mail: Division of Licensing and Certification, Attn: Complaint Intake, 11 State House Station, 41 Anthony Avenue, Augusta, Maine 04333.

The Maine Long-Term Care Ombudsman Program can also help you, free and in confidence: 1-800-499-0229 (toll free) or 207-621-1079.

We will not treat you any differently because you raised a concern or made a complaint.

Administrator, Sample Home Care, LLC: Signature _____

Responsibilities

- **Administrator:** runs the grievance process; logs each grievance the day it is received; investigates or names an investigator; writes resolution letters within seven calendar days; keeps the log; makes sure no one retaliates.
- **Acting administrator:** logs each grievance the day it is received when the administrator is away.

- **Every employee:** writes down and reports any client grievance the same day, and never discourages or punishes a client for complaining.

Records

- The grievance log (§ 7(B)(2)).
- Grievance investigation records and copies of resolution letters, in the client's record (§ 7(B)(4)-(5)).
- Client concerns and complaints, in the client record (§ 9(B)(1)(j)).

All are kept as Policy 3.6 sets out.

Recommended practice

These are Sample Home Care, LLC's own practices. The rules do not require them. Once adopted, DLC can expect Sample Home Care, LLC to follow them.

- Phone the client the day a grievance is received, to say it has been logged and when they will hear back.
- Review the grievance log each quarter for patterns, as part of the Quality Improvement Plan (Policy 1.7).
- Call the client a few weeks after the resolution to ask whether things have improved.

Rule basis

> Grievance means a complaint by a client about either an action or inaction by an agency or an employee.
> `10-144 C.M.R. Ch. 129 § 1, "Grievance"`

> Grievance procedures;
> `10-144 C.M.R. Ch. 129 § 5(A)(1)(d)(xii)`

> The agency must have a process for clients to raise issues or concerns about the manner and quality of services or other grievances with the agency. The agency must retain a record of all grievances filed by any client or a client's legal representative. This record must contain the following: Client's name; Date of filing of the grievance; and The nature of the grievance. The agency must investigate all grievances. The agency must document the investigation and the resolution of all grievances in the client's record. The agency must provide a written resolution to the client within seven calendar days and a copy must be kept in the client's record.
> `10-144 C.M.R. Ch. 129 § 7(B)(1)-(5)`

> Inform clients, verbally and in writing, of how to file a grievance with the agency, provided in language understood by the client; ... Inform clients, verbally and in writing, and in a language understood by the client, of how to file a complaint with the Department and that this complaint may be filed instead of or in addition to a grievance;
> `10-144 C.M.R. Ch. 129 § 7(A)(1)(i)-(j)`

> If the client expresses any grievances regarding his/her services, the employee must document these concerns in the client's record and report the concerns in accordance with the agency policy.
> `10-144 C.M.R. Ch. 129 § 8(B)(3)`

> The provider may not retaliate against any client or his/her representative for filing a complaint.
> `10-144 C.M.R. Ch. 129 § 10(C)(1)`

> Any concern or complaints the client expressed about his/her care;
> `10-144 C.M.R. Ch. 129 § 9(B)(1)(j)`

> Option 1: Email DLRS.Complaint@Maine.gov Option 2: Fax 207-287-9307 Option 3: Mail Division of Licensing and Certification Attn: Complaint Intake 11 State House Station 41 Anthony Avenue Augusta, Maine 04333 Option 4: Telephone All Telephone: 207-287-9308; 1-800-383-2441
> `Maine DHHS Division of Licensing and Certification, File a Complaint page`

> Our services are free and confidential. For more information or assistance contact us at (800) 499-0229 or (207) 621-1079.
> `Maine Long-Term Care Ombudsman Program, home page (9 October 2026)`

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