SAMPLE POLICY

Sample policy from the CareRulebook Tennessee manual. Fictional agency. Rule-verified on October 2, 2026.

This is Policy 2.5 of the 32 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.

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POLICY 2.5

Client rights and grievance procedure

Tenn. Comp. R. & Regs. 0940-05-38-.06(1)(e), (f)2 · Tenn. Comp. R. & Regs. 0940-05-38-.09(1)(e) · Tenn. Comp. R. & Regs. 0940-05-38-.10 · Tenn. Comp. R. & Regs. 0940-05-02-.20(2) · TDMHSAS Office of Licensure contact pages (complaint line) · TDMHSAS Incident Reporting Requirements · Tennessee Department of Human Services, Adult Protective Services · Tennessee Department of Children's Services, Report Child Abuse · TDMHSAS PSSA Provider Information slides (2025), slides 13-14

Purpose

To set out the rights of every client of Sample Home Care, LLC, how clients are told about them before services begin, and the grievance procedure followed when anyone reports a suspected violation of a client's rights or raises any other concern. This is the statement of rights and grievance procedure that Rule 0940-05-38-.06(1)(e) requires. TDMHSAS lists both this statement and the signed rights acknowledgement among the common PSSA deficiencies, so the policy says exactly what is given, signed and filed.

Scope

This policy applies to every client, to their legal representative and family, to every worker and staff member, to the person who receives and resolves grievances, Jordan Lee, Agency Director, to the individual responsible for the operation of the agency, Jordan Lee, Agency Director, and to the licensee, Sample Home Care, LLC, through its members Morgan Ellis and Riley Chen.

TDMHSAS licenses Sample Home Care, LLC as a Personal Support Services Agency under Tenn. Comp. R. & Regs. 0940-05-38. The rules call clients "service recipients". A "grievance" in this policy means any complaint or concern about Sample Home Care, LLC's services or staff, including any report that a client's rights may have been violated.

Policy

The rights of every client (0940-05-38-.10)

1. Sample Home Care, LLC affords every client these rights, and the client rights statement at the end of the Procedure sets them out in plain words:
    1. **To be fully informed before services begin** about their rights and responsibilities, and about any limits on those rights set by Sample Home Care, LLC's own rules (0940-05-38-.10(1)(a); items 5 to 8).
    2. **To voice grievances** to Sample Home Care, LLC and to outside representatives of their choice, free from restraint, interference, coercion, discrimination or reprisal (0940-05-38-.10(1)(b); items 9 to 17).
    3. **To be treated with consideration, respect and full recognition of their dignity and individuality** (0940-05-38-.10(1)(c); item 2).
    4. **To be protected by Sample Home Care, LLC** from neglect, from physical, verbal and emotional abuse (including corporal punishment), and from all forms of misappropriation and exploitation (0940-05-38-.10(1)(d); item 3).
    5. **To be helped by Sample Home Care, LLC in exercising their civil rights** (0940-05-38-.10(1)(e); item 4).
2. **Dignity and respect in practice.** Workers address clients by the name they prefer, knock and wait before entering a room, keep the client covered and the door closed during personal care, ask before touching the client or their belongings, respect the client's routines, culture, faith and choices within the service plan, and never shout at, mock, threaten or ignore a client. Workers treat the client's home and property with care.
3. **Protection in practice.** Sample Home Care, LLC protects clients by checking workers before they have any contact with clients (Policy 4.3), training workers in abuse, neglect and exploitation before they work (Policy 4.6), never allowing workers to borrow, receive or take clients' money or property (Policy 2.8), and acting at once on any concern under Policy 3.1 (Abuse, neglect and exploitation). Corporal punishment, or any physical or verbal punishment of a client, is never allowed.
4. **Help with civil rights in practice.** When a client asks for help to exercise a civil right, such as voting, practicing their faith, or contacting an advocate, a lawyer or a public official, the worker tells the office. The Agency Director arranges help within the client's services, or tells the client who can help, and records what was done in the client record. Workers never try to influence how a client votes or what they believe, and never stop a client from contacting anyone.

Telling clients about their rights before services begin (0940-05-38-.10(1)(a))

5. **What is given.** Before services begin, the intake staff member (Policy 2.2) gives the client the rights information both orally and in writing, using the client rights statement. It includes at least:
    1. a statement of the specific rights the client has under the rules and applicable state laws;
    2. a description of Sample Home Care, LLC's grievance procedure;
    3. a list of available advocacy services; and

4. a copy of all of Sample Home Care, LLC's rules that affect the client.

6. **In a way the client understands.** The intake staff member presents the information in a way that helps the client understand their rights (for example reading it aloud, using plain words, large print, or an interpreter), and gives the client a chance to ask questions.
7. **A client who cannot understand at first** (0940-05-38-.10(1)(a)4):
   - If the client cannot understand the information when services begin but later becomes able to, the Agency Director makes sure it is presented to the client at that time.
   - If the client is likely to remain unable to understand it, the Agency Director promptly tries to give it to a guardian or other appropriate person, or to an agency responsible for protecting the client's rights.
   - The staff member records which applies on the rights acknowledgement, and the worker tells the office if a client seems newly able to understand.
8. **Written acknowledgement.** The client, or their legal representative (conservator, parent, guardian or legal custodian), signs the rights acknowledgement to show they have been told of the client's rights and responsibilities and Sample Home Care, LLC's general rules that affect clients (0940-05-38-.09(1)(e)). No visit is scheduled until the signed acknowledgement is in the client record (Policy 2.2, intake checklist). When the information is later given to a client who becomes able to understand it, the client is asked to sign a new acknowledgement.

Grievances and suspected rights violations (0940-05-38-.06(1)(e))

9. **Anyone can raise a grievance, at any time, in any way.** A client, their representative or family, a worker, or anyone else may raise a grievance with any worker or staff member, or directly with Jordan Lee, Agency Director, by phone ((615) 555-0100), email (office@samplehomecare.com), letter (100 Main Street, Suite 200, Nashville, TN 37201) or in person. It does not need to be in writing.
10. **No reprisal.** No client is restrained, interfered with, pressured, discriminated against or treated worse in any way because they, or someone for them, raised a grievance or contacted an outside representative. Their services are not reduced, changed or ended because of it. A worker who discourages a grievance or retaliates against anyone for raising one faces disciplinary action. Workers who report a suspected rights violation are protected in the same way.
11. **Recorded the same day.** The worker or staff member who receives a grievance writes it on the grievance form the same day, and gives it to Jordan Lee, Agency Director the same day, or at the start of the next office day if the office is closed.
12. **Abuse, neglect, exploitation and misappropriation first.** If a grievance suggests abuse, neglect, exploitation or misappropriation of a client's money or property, the staff member follows Policy 3.1 at once, including the reports to TDMHSAS, Adult Protective Services and, for a child, the Department of Children's Services (Policies 3.1 and 3.2). The grievance procedure continues alongside, but never delays those reports. TDMHSAS

says that grievances about the quality of service are not reportable incidents and are best handled through the agency's grievance procedure.

L3. **Investigation.** Jordan Lee, Agency Director contacts the person who raised the grievance to understand it, talks with the client (if they did not raise it), the workers and anyone else involved, and reviews the relevant records. Where the client's rights or safety may be at risk while the grievance is looked into, Jordan Lee, Agency Director acts at once to protect them, for example by assigning a different worker.

L4. **Decision within 14 days.** Jordan Lee, Agency Director completes the investigation, decides what happened and what will be done, and gives the person who raised the grievance, and the client, a written response within 14 days of receiving the grievance. This timeframe is Sample Home Care, LLC's choice: the rules do not set one. The response explains what was found, what Sample Home Care, LLC will do, and how to take the matter further (items 15 and 16). If the grievance cannot be resolved in that time, Jordan Lee, Agency Director tells the person why and when they will have a response.

L5. **Review by the licensee.** If the person is not satisfied, they may ask the licensee, Sample Home Care, LLC, through its members Morgan Ellis and Riley Chen, to review the decision. If the grievance is about Jordan Lee, Agency Director, the licensee names someone else to investigate it.

L6. **Outside representatives.** A client may take any grievance to an outside representative of their choice at any time, before, during or after Sample Home Care, LLC's own procedure. The advocacy services list in the client rights statement gives TDMHSAS's complaint line and the other services clients may contact.

L7. **Learning from grievances.** Each grievance, and what was done, is recorded on the grievance log. Where a grievance shows a policy was not followed, the Agency Director corrects it (for example by retraining or disciplining a worker, or changing a procedure).

No required public statements of gratitude

L8. A client is never required to make a public statement thanking Sample Home Care, LLC or acknowledging its services, for example a testimonial, review or interview (0940-05-38-.06(1)(f)2). Policy 2.6 sets out how Sample Home Care, LLC meets this, and the client rights statement tells clients so.

The TDMHSAS complaint sign (0940-05-02-.20(2))

L9. **Posted at the licensed site.** Sample Home Care, LLC posts a sign at its licensed site, 100 Main Street, Suite 200, Nashville, TN 37201, next to the license, where clients, families and visitors can see it, telling clients, families and the public that they may file a complaint with TDMHSAS, with TDMHSAS's toll-free number. The sign is the complaint sign in Policy 1.4 (item 15 and the form at the end of its Procedure). TDMHSAS decides any exemptions from posting signs, and Sample Home Care, LLC has none unless TDMHSAS grants one in writing.

20. **Which number, and how home-based clients see it.** The rule refers to "the Department's regional toll-free telephone number". TDMHSAS publishes one toll-free number for complaints, 866-797-9470, and its regional offices list local numbers. By Sample Home Care, LLC's reading, the sign shows the toll-free complaint line and the regional office number. Because clients receive services at home and rarely visit the office, Sample Home Care, LLC also prints the same numbers in the client rights statement every client receives.

Procedure

At intake

1. The intake staff member goes through the client rights statement with the client and their legal representative, reads it aloud where that helps, answers questions, and leaves a copy with the client (Policy items 5 and 6).
2. The client or their legal representative signs the rights acknowledgement. The intake staff member records on it whether item 7 applies, and files it in the client record (Policy 5.1).
3. Where item 7 applies, the Agency Director gives the information to the guardian, other appropriate person or rights protection agency as promptly as possible, records who received it and when, and asks the worker to tell the office if the client becomes able to understand it.

Keeping the rights information current

4. Before the first client is served, and each year by November 1, 2027, the Agency Director checks every number in the advocacy services list, completes the local advocacy services in it, and checks that the complaint sign is posted and readable.
5. When the rights statement or the agency's rules that affect clients change, the Agency Director gives every current client the new statement and asks for a new acknowledgement.

Handling a grievance

6. The person who receives the grievance completes Part A of the grievance form the same day and passes it to Jordan Lee, Agency Director (Policy item 11).
7. If the grievance suggests abuse, neglect, exploitation or misappropriation, they follow Policy 3.1 at once (Policy item 12).
8. Jordan Lee, Agency Director records the grievance on the grievance log, investigates (Policy item 13), completes Part B, and sends the written response within 14 days (Policy item 14).
9. The completed form, the response and any notes go into the client record (Policy 5.1). The log stays at the office.

Sample Home Care, LLC: Client rights statement

Your rights

As a client of Sample Home Care, LLC, you have the right:

1. to be fully informed, before your services begin, about your rights and responsibilities, and about any limits on those rights set by Sample Home Care, LLC's own rules;
2. to voice grievances to Sample Home Care, LLC and to outside representatives of your choice, without restraint, interference, pressure, discrimination or reprisal;
3. to be treated with consideration, respect and full recognition of your dignity and individuality;
4. to be protected by Sample Home Care, LLC from neglect, from physical, verbal and emotional abuse (including corporal punishment), and from all forms of misappropriation and exploitation;
5. to be helped by Sample Home Care, LLC in exercising your civil rights;
6. to have your information kept confidential, never to be required to make a public statement thanking Sample Home Care, LLC, and not to have identifiable photographs of you used without the written, signed consent of you or your legal guardian or conservator;
7. to consent to your services before they begin, and to stop them at any time;
8. to receive, before your services begin, a written consumer notice and a signed fee agreement stating the fees you pay, the services they cover and any additional charges;
9. to have an alternate staffing plan, so a replacement worker is arranged if your worker is absent;
10. to evaluate the quality of your services at least every six months; and
11. to file a complaint with the Tennessee Department of Mental Health and Substance Abuse Services (TDMHSAS), which licenses Sample Home Care, LLC.

You may also have other rights under Tennessee and federal law. Nothing in this statement limits them.

Your responsibilities

Please give us accurate information about your needs and tell us about changes; help keep your home safe for workers; tell us if you will not be home for a visit; pay fees as your fee agreement says; and ask the office, not your worker, to change your services.

Our rules that affect you

- Workers do only the tasks in your service plan, and do not do the tasks listed in our description of services. Please ask the office about any other help you need.
- Workers may not borrow, receive or take money or property from you for themselves, including tips, gifts and loans. Please pay Sample Home Care, LLC directly, never a worker.

- To cancel or change a visit, call (615) 555-0100 during office hours (Monday to Friday, 8:00 a.m. to 5:00 p.m.) or (615) 555-0199 when the office is closed.
- We take or use identifiable photographs of you only with your written, signed consent, and you may withdraw it at any time.
- We may end services only for the reasons in our description of services, with 14 days' written notice except at your request or in an emergency.

How to raise a grievance with us

You, your representative, your family or anyone else may raise a grievance at any time, by phone, email, letter or in person, with any of our staff or directly with Jordan Lee, Agency Director:

- Phone: (615) 555-0100 (or (615) 555-0199 when the office is closed)
- Email: office@samplehomecare.com
- Letter: 100 Main Street, Suite 200, Nashville, TN 37201

We will record your grievance the same day, look into it, and give you a written response within 14 days. If you are not satisfied, you may ask Sample Home Care, LLC, through its members Morgan Ellis and Riley Chen to review it. You will never be treated worse for raising a grievance, and your services will not be reduced, changed or ended because of it. You may also contact any of the services below at any time.

Advocacy services you can contact

Service	What for	How to contact
TDMHSAS Office of Licensure	Complaints about Sample Home Care, LLC or any licensed agency	Toll-free 866-797-9470; email LicensureInv.Fax@tn.gov; fax 615-401-7644
TDMHSAS Middle Tennessee Regional Office	Questions about Sample Home Care, LLC's license	500 Deaderick Street, Andrew Jackson Building, 5th Floor, Nashville, TN 37243; (615) 532-6590
Adult Protective Services (Tennessee Department of Human Services)	Suspected abuse, neglect or financial exploitation of an adult	1-888-APS-TENN (1-888-277-8366), 24 hours a day, or online at the One DHS Customer Portal
Emergency services	Immediate danger	911
Local advocacy service: _____	_____	_____
Local advocacy service: _____	_____	_____

Sample Home Care, LLC: Rights acknowledgement

Client: _____

I have been told, orally and in writing, of the client's rights and responsibilities and of Sample Home Care, LLC's general rules that affect clients. I received the client rights statement, including the grievance procedure and the list of advocacy services, and I had the chance to ask questions.

Client signature (or mark): _____ Date: _____

Or legal representative (name and capacity: conservator, parent, guardian or legal custodian): _____

Signature: _____ Date: _____

For office use (check one):

☐ The client understood the information.

☐ The client could not understand the information at this time. It will be presented again if they become able to understand it.

☐ The client is likely to remain unable to understand it. Given to (guardian, other appropriate person or rights protection agency) _____ on _____.

Given by (name and signature): _____ Date: _____

Sample Home Care, LLC: Grievance form

Part A (completed by the person who receives the grievance, the same day)

Date and time received: _____ Received by: _____ How (phone, in person, email, letter): _____

Raised by (name, and relationship to the client): _____ Client: _____

What the grievance is about, in the person's words: _____

Does it suggest abuse, neglect, exploitation or misappropriation? Yes (Policy 3.1 followed at _____) / No

Passed to Jordan Lee, Agency Director on (date and time): _____

Part B (completed by Jordan Lee, Agency Director)

Contacted the person who raised it (date): _____

Immediate steps to protect the client, if any: _____

People spoken to and records reviewed: _____

Findings: _____

Action taken: _____

Written response sent (date, to whom): _____ Within 14 days? Yes / No (reason and date told): _____

Review by the licensee asked for? Yes / No Outcome: _____

Signature and date: _____

Sample Home Care, LLC: Grievance log

No.	Date received	Client	Raised by	Subject	Policy 3.1 followed?	Response sent (date)	Outcome	Closed (date)

Responsibilities

- **Licensee (Sample Home Care, LLC, through its members Morgan Ellis and Riley Chen):** reviews grievance decisions on request; names another investigator when a grievance is about Jordan Lee, Agency Director.
- **Agency Director (Jordan Lee):** makes sure every client receives the rights information and signs the acknowledgement before services begin; handles clients who cannot understand the information; keeps the rights statement, advocacy list and complaint sign current; corrects problems that grievances reveal.
- **Jordan Lee, Agency Director:** investigates and resolves grievances within 14 days; keeps the grievance log.
- **Intake staff member:** gives and explains the rights information; gets the acknowledgement signed.
- **All workers and staff:** treat clients with dignity and respect; record any grievance the same day and pass it on; follow Policy 3.1 at once for any concern about abuse, neglect or exploitation; never discourage a grievance or retaliate.

Records

- In each client record (Policy 5.1): the signed rights acknowledgement (and any later ones), grievance forms and responses, and notes of help given with civil rights.
- At the office: the grievance log; the current client rights statement and past versions with their dates; a note of each yearly check of the advocacy list and the complaint sign.

Records are kept as set out in Policy 5.2.

Recommended practice

These are Sample Home Care, LLC's own practices. The rules do not set them:

- Contact the person who raised a grievance within two business days to acknowledge it, even when the investigation will take longer.
- Review the grievance log each quarter for patterns, and share what was learned with workers without naming clients.

- Remind clients of the grievance procedure and the complaint line at each semi-annual evaluation (Policy 2.13).

Rule basis

> A statement of service recipient rights as listed in 0940-05-38-.10 and the grievance procedures to be followed when a suspected violation of rights has been reported;
> `Tenn. Comp. R. & Regs. 0940-05-38-.06(1)(e)`

> The service recipient shall not be required to make public statements which acknowledge gratitude to the licensee or for the licensee's services; and
> `Tenn. Comp. R. & Regs. 0940-05-38-.06(1)(f)2`

> Written acknowledgement that the service recipient or service recipient's legal representative (conservator, parent, guardian or legal custodian) has been informed of the service recipient's rights and responsibilities and the agency's general rules affecting the service recipients;
> `Tenn. Comp. R. & Regs. 0940-05-38-.09(1)(e)`

> The following rights shall be afforded to all individuals receiving personal support services from the licensee: (a) Service recipients have the right to be fully informed before the initiation of services about their rights and responsibilities and about any limitation on these rights imposed by the rules of the licensee. The licensee shall ensure that the service recipient is given oral and/or written rights information that includes at least the following:
>
> 1. A statement of the specific rights guaranteed the service recipient by these rules and applicable state laws;
> 2. A description of the licensee's grievance procedures;
> 3. A listing of available advocacy services; and
> 4. A copy of all agency rules and regulations pertinent to the service recipient. The information shall be presented in a manner that promoted understanding by the service recipient of his or her rights, and the individual shall be given an opportunity to ask questions about the information. If the service recipient is unable to understand the information at the time of admission to service but later becomes able to do so, the information shall be presented to the service recipient at that time. If the service recipient is likely to continue indefinitely to be unable to understand the information, the licensee shall promptly attempt to provide the required information to a guardian or other appropriate person or an agency responsible for protecting the service recipients' rights.
>
> `Tenn. Comp. R. & Regs. 0940-05-38-.10(1)(a)`

(b) Service recipients have the right to voice grievances to the licensee and to outside representatives of their choice with freedom from restraint, interference, coercion, discrimination, or reprisal; (c) Service recipients have the right to be treated with consideration, respect and full recognition of their dignity, and individuality; (d) Service recipients have the right to be protected by the licensee from neglect, physical, verbal, and emotional abuse (including corporal punishment), and from all forms of misappropriation and/or exploitation; and (e) Service recipients have the right to be assisted by the licensee in the exercise of their civil rights.

`Tenn. Comp. R. & Regs. 0940-05-38-.10(1)(b)-(e)`

The licensee shall post a sign in the facility or service displaying the Department's regional toll-free telephone number which informs service recipients, families, and the public that they may file a complaint with the Department. Any exemptions to posting signs will be determined by the Department.

`Tenn. Comp. R. & Regs. 0940-05-02-.20(2)`

If you have questions or wish to report suspected violations or submit a complaint, please call, email, or fax the information to the appropriate contact: Toll-Free Call: 866-797-9470

`TDMHSAS Office of Licensure, Licensing page`

TDMHSAS Office of Licensure Complaint Line: 866-797-9470

`TDMHSAS Licensed Provider FAQs, Contact Information`

Service recipient grievances regarding the quality of service at the facility. ... These are best addressed through an agency's grievance procedures.

`TDMHSAS Incident Reporting Requirements ("The following DO NOT need to be reported")`

The APS Hotline at 1-888-APS-TENN (+1-888-277-8366) is also available, 24/7 and Tennesseans should call 911 in cases of emergency.

`Tennessee Department of Human Services, Adult Protective Services page`

Report Child Abuse: 877-237-0004

`Tennessee Department of Children's Services, Report Child Abuse page`

38-.06(1)(e) A statement of service recipient rights as listed in 0940-05-38-.10 and the grievance procedures to be followed when a suspected violation of rights has been reported

`TDMHSAS PSSA Provider Information slides (2025), slide 13 (common PSSA rule deficiencies)`

> 38-.09(1)(e) Written acknowledgement that the service recipient or service recipient's legal representative (conservator, parent, guardian or legal custodian) has been informed of the service recipient's rights and responsibilities and the agency's general rules affecting the service recipients.
>
> `TDMHSAS PSSA Provider Information slides (2025), slide 14 (common PSSA rule deficiencies)`

Proposed changes

TDMHSAS has proposed rewriting Chapter 0940-05-02 (notice 09-31-26, filed September 24, 2026; public hearing November 18, 2026; written comments by December 4, 2026). The proposed 0940-05-02-.20(2) keeps the complaint sign but refers to "the Department's toll-free telephone number" instead of its "regional" toll-free number. That matches the reading in Policy item 20, so the sign would not need to change. If the rewrite is adopted, Sample Home Care, LLC will update the Rule basis and item 20 to the adopted text and its effective date.

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