COMPLAINT POLICY AND PROCEDURES

The Texas State Affordable Housing Corporation (“Corporation”) is committed to providing high quality services to the people of the State of Texas and to ensuring that all of its customers are treated fairly, courteously and with respect. As such, the Corporation has adopted a policy and procedure to ensure that complaints from customers are addressed and responded to in a prompt, efficient and fair manner.

Nature of Complaints

Customers of the Corporation have the right to lodge complaints regarding various matters. Examples include the following:

- Complaints in reference to a particular action or behavior of an employee.
- Complaints in reference to a particular action or behavior of a Board member.
- Complaints in reference to the quality of programs and/or services supplied by the Corporation or its employees.
- Complaints or grievances in reference to decisions made by the various program divisions, committees, directors and/or employees of the Corporation.

If the complainant has instituted litigation against the Corporation, no action will be taken by the Corporation while the matter is under judicial consideration.

Complaints Procedures

The President, Executive Vice President and Corporate Secretary (“Executive Staff”) coordinate, monitor and, in certain circumstances, investigate customer complaints.

It is the Executive Staff’s responsibility to ensure that complaints are addressed and reviewed in a prompt, efficient and fair manner. When necessary, the Executive Staff will take the necessary steps to ensure that solutions are sought and remedies are implemented to rectify a situation and ensure non-recurrence.

Complaints are considered when made in writing and the complainant is clearly identified. If the complainant prefers, complaints can be given verbally. In such instances, the complainant will be asked to sign a statement that summarizes the complaint.

When the Corporation receives a complaint it should be stamped with the date of receipt and forwarded immediately to Executive Staff.
Filing a Complaint

A complaint may be submitted by mail or e-mail at:

Texas State Affordable Housing Corporation
2200 E. Martin Luther King Jr. Blvd.
Austin, Texas 78702
Attention: President
E-mail: complaints@tsahc.org

A complaint should include the following information:

- State the complaint in the clearest possible terms, and outline the desired remedy.
- Provide a clear description of the evidence upon which the complaint is based.
- If the complainant has made previous attempts to resolve the issue, the complainant should describe what has been done in this regard.
- Attest that the information contained in the complaint is true to the best of the complainant’s knowledge and is not under litigation.
- Acknowledge awareness that the President or delegate may send copies of the complaint to relevant parties through the course of an investigation.
- The complainant must be clearly identified, provide contact information, and sign the complaint (unless e-mailed).

Upon receipt of a complaint in accordance with the standards outlined above, Executive Staff will confirm receipt within five (5) business days and provide the complainant with a copy of the current complaint policy.

Executive Staff maintains responsibility to ensure that the complaint is addressed in accordance with the current policy.

All complaints will be reviewed in a confidential manner.

Upon the conclusion of an investigation, Executive Staff will disclose the results of the investigation to the complainant and to the party that is the subject of the complaint, with the exception of any information of which disclosure is prohibited by law.

Reviewing the Complaint

Depending on the nature of the complaint, Executive Staff may conduct the review and investigation directly or refer the complaint to the appropriate department head for review and investigation, in which case Executive Staff is responsible for monitoring the process. The person assigned to investigate will also provide notice of the complaint and a copy of the current policy to the person or department that is the subject of the complaint, unless such notice would jeopardize the investigation.
The Chairman of the Board of Directors will coordinate the review if the subject of the complaint includes the Executive Staff.

In some circumstances, the Corporation’s General Counsel will be notified of the complaint and kept abreast of the process. If necessary, the General Counsel may be asked to participate in the review.

The persons assigned to investigate will conduct the investigation within ten (10) business days from receipt of the complaint. The person who is the subject of the complaint will have an opportunity to respond to the allegations before the conclusion of the investigation. The person assigned to investigate will prepare a summary of findings, recommendations and a final course of action (hereinafter the “investigation package”), to be submitted to Executive Staff.

Within fifteen (15) business days of receipt of the investigation package, Executive Staff will respond to the complainant. Executive Staff will advise the complainant of the outcome of the investigation. The person who is the subject of the complaint will also be notified of the outcome and any remedies that may be applied. The person who is the subject of the complaint will be given an opportunity to respond in writing. A written response will be included in the complaint file. Any disciplinary action will conform to the Corporation’s Personnel Policies. A copy of the investigation package will be retained in permanent files in accordance with the records retention policy of the Corporation.

In the event the process outlined above cannot be completed within the 10-day timeframe, the complainant will be notified of such, with an explanation for the delay and a commitment to a new deadline of no longer than an additional ten (10) business days.

Should the complaint not be addressed by Executive Staff to the satisfaction of the complainant, the last course of action is to submit the complaint to the Board of the Corporation within ten (10) business days of receipt of the decision of Executive Staff. The Board will review the investigation and the Executive Staff’s decision and will notify the complainant of the Board’s decision within fifteen (15) business days. The Board may ratify or overturn the decision of the Executive Staff.

The decision of the Board shall be final and without appeal.

**Recordkeeping & Guidelines**

The Corporation shall maintain a record on each complaint filed. The record must include:

- the subject of the complaint,
- parties to the complaint,
- a summary of the results of the review/investigation, and
- the disposition of the complaint.
If the Corporation finds the complaint to be not within the scope of Corporation policies and jurisdiction, the complainant will be so notified. Individual complaints, whether acted upon or not by the Corporation, will be retained in Corporation files.

The Corporation will keep a record of complaints against employees. If a complaint is found to be valid, the investigation package will be kept in the personnel file of the person who was the subject of the complaint. At the time of an employee’s annual evaluation, a summary of all complaints lodged during that year will be provided to the employee’s supervisor for consideration.