

Complaint Procedures and Process

The Texas State Affordable Housing 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 a staff member.
- Complaints in reference to a particular action or behavior of a Board member.
- Complaints with 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.

Complaint Procedures

The Executive Vice President (EVP) acts as the coordinator/monitor and, in certain circumstances, acts as the investigator over customer complaints.

It is the EVP's responsibility to ensure that complaints are addressed and reviewed in a prompt, efficient and fair manner. When necessary, the EVP 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 their complaint.

When the Corporation receives a complaint, it should be stamped with the date of receipt and forwarded immediately to the EVP.

Filing a Complaint

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

Texas State Affordable Housing Corporation
6701 Shirley Avenue
Austin, TX 78752
Attention: Executive Vice President

Fax (512) 477-3557
E-mail: complaints@tsahc.org

Alternatively, a complaint may be submitted in person to the Secretary to the Board, either in writing or verbally. If the complaint is given verbally, the complainant will be asked to sign a summary of the complaint.

A written complaint or a signed summary 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 EVP 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.) If the complaint is received by e-mail, the complainant will be requested to provide a signed copy.

Upon receipt of a complaint in accordance with the standards outlined above, the EVP will confirm receipt within three (3) business days and provide the complainant with a copy of the present policy.

The EVP maintains responsibility to ensure that the complaint is addressed in accordance with the present policy.

All complaints will be reviewed in a confidential manner.

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

The Chairman of the Board of Directors will coordinate the review, if the subject of the complaint includes the President of the Corporation.

The President of the Corporation will coordinate the review, if the subject of the complaint includes the EVP of the Corporation.

Reviewing the Complaint

Depending on the nature of the complaint, the EVP may retain the review directly or refer the complaint to the appropriate department head for review and investigation. The EVP is responsible to monitor the process. The person assigned to investigate will also provide notice of the complaint and a copy of the present policy to the person or department that is the subject of the complaint, unless such notice would jeopardize the investigation.

The Corporation's General Counsel will be notified of the complaint and kept abreast of the process. If necessary, the General Counsel may be requested to participate in the review.

The persons assigned to investigate will conduct the investigation within ten (10) working days of the complaint. 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 the EVP. The person subject of the complaint will have an opportunity to respond to the allegations before the conclusion of the investigation.

Within five (5) days of receipt of the investigation package, the EVP will respond to the complainant. The EVP will advise the complainant of the next possible course of action in the event the complainant is not satisfied with the outcome of the complaint. The person subject of the complaint will also be notified of the outcome and any remedies that may be applied. Any disciplinary action will conform to the Corporation's Personnel Policies. A copy of the investigation package will be kept in the personnel or department file of the person subject of the complaint.

In the event the process outlined above cannot be completed within the assigned timeline, the complainant will be notified of such, with an explanation for the delay and a commitment to a new deadline of no longer than five (5) business days after the expiration of the assigned timeline.

Should the complaint not be addressed by the EVP to the satisfaction of the complainant, the last course of action is to submit the complaint to the President of the Corporation within five (5) working days of receipt of the decision of the EVP. The President will review the investigation and the EVP's decision and will notify the complainant of his decision within five (5) working days. The President may overturn the decision of the EVP.

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

Operation change will be addressed in the case of recurrent complaints from unrelated sources.

Recordkeeping & Guidelines

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

- The name of the person who filed the complaint.
- The date the complaint was received by the Corporation.
- The subject matter of the complaint.
- The name of each person contacted in relation to the complaint.
- A summary of the results of the review or investigation of the complaint by the party who investigated it.

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.

Upon the conclusion of the investigation, the person subject of the complaint will be provided with an opportunity to respond. A written response will be included in the complaint file. The complainant and the person subject of the complaint involved will be notified of the decision. Disciplinary actions taken will conform to the Corporation's Personnel Policies.

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 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.

Once a complaint has been reviewed and a conclusion made, remedies to rectify the situation will be sought and implemented within the Corporation.