



Homeless Services Provider Ombudsman: What to Expect During a Complaint Investigation

This document is provided as guidance and is not a legal document. It does not override or replace the need to be familiar with relevant Utah Code and associated Administrative Rules, including Utah Code Title 35A, Chapter 16, and Administrative Code Rule R982-601. Provider Code of Conduct and Rule R988-1000. Homeless Services Provider Ombudsman.

Expectations of Investigators

- Investigators may include the Ombudsman and Office of Homeless Services staff. Each investigator will conduct themselves with professionalism, while upholding the Department of Workforce Services values and code of conduct.
- Unannounced investigations are common.
- Each investigator will introduce themselves and present their Workforce Services ID badge.
- Investigators will work to ensure program disruptions are minimized while on-site.

Access to Your Facility

- Investigators may request you to conduct a walk-through of your facility. During this walk-through, investigators may take pictures to confirm compliance or to address concerns, always with caution to protect clients.
- Investigators may interview clients. Clients are permitted to decline the interview. This decision should be based on the client themselves. Staff members cannot influence a client's decision, nor shall they influence the information clients share with the Homeless Service Provider Ombudsman.
- Investigators may interview staff and administrators. The Office of Homeless Services expects providers to cooperate during an investigation, which includes interviews.
- The provider is responsible for ensuring that the Ombudsman's information gathering process is not compromised and may not suppress or alter information and records nor attempt to influence staff responses.
- If an administrator is not available to assist with the investigation, a staff member familiar with the clients and facility must be available to assist the investigator.

Request for Information

During the investigation's evidence gathering process, investigators may request to review provider records and information. These documents are requested to ascertain compliance with all applicable laws, rules and regulations. Examples of records that may be requested during an on-site visit and throughout the investigation include but are not limited to:

- Critical incident reports
- Provider policy and procedures
- Supporting evidence like video footage, pictures, text messages, notes, emails, etc.
- Staff list and schedules including contact information
- Witness statements
- Shift logs

All requested items are to be made available to investigators immediately upon request.

Complaint Investigations

Complaint investigations may contain sensitive and confidential information. Investigators may not initially give specific information and details pertaining to their investigation. At the conclusion, investigators may give more details regarding the complaint and discuss any concerns and/or compliance concerns they identified.

Conclusion of Investigation

Investigators will conduct an exit discussion with program administrators and discuss identified areas of concern, request additional information and inform the program of next steps. Investigators will continue working on the investigations by collaborating with applicable agencies, reviewing documentation, etc. If necessary, investigators may return to the facility to gather more information. Once the investigation is finalized, the investigator will inform the program by email if there were noncompliance findings and provide a final report.