



# Complaints Handling Policy and Procedures

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**Approved by:** Rayle Roberts on behalf of Chief Officer Tamara Ebanks  
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# 1. Policy statement

The Ministry of Investment, Innovation and Social Development (the “Ministry”) recognizes that there will be occasions when actions carried out by the Departments or Ministry staff will not meet the reasonable expectations of the public. The Complaints Handling Policy and Procedures (the “policy”) set out below are to be used to deal with general complaints about the service the Ministry or Departments provide. This procedure is designed to enable consideration to be given to each complaint in a fair and impartial manner. The complaints procedure will be reviewed annually in order to improve the service provided by the Ministry and Department staff.

## 2. Statement of purpose

The purpose of this policy is to provide an internal process to ensure that all complaints are handled fairly, consistently, in a timely manner and wherever possible resolved to the complainant’s satisfaction. The objectives of this policy are to:

- Provide a straightforward process for clients/customers or those acting on their behalf to make a complaint
- Establish a consistent procedure for investigating a complaint

## 3. Policy scope

The policy primarily addresses any concerns regarding the service that is provided by the Ministry and the Departments within its remit.

## 4. The Ministry and department’s responsibility

The Ministry and the departments are responsible for acknowledging, responding to and dealing reasonably and sensitively with relevant complaints, as well as taking relevant action where appropriate.

## 5. Definition of a complaint

- 5.1 A complaint is an expression of dissatisfaction that relates to the standard service, actions or inaction by the Ministry and its Departments or its staff. Complaints can be made by an individual client or group of clients either verbally or in writing. All complaints will be formally recorded on a complaint register and updated in the complaints log of the Ministry or relevant department.
- 5.2 The following are not considered under the complaints procedure:
  - Matters pertaining to restricted access of materials under FOI regulations
  - Staff issues which will be addressed by internal disciplinary procedures

- Complaints of a general nature that concern services or action of External Entities/Ministries
- Dissatisfaction with a decisions made within policy, such as an appeal which will be addressed through an appeals process, where relevant
- Complaints regarding incidents or interactions which occurred more than 12 months prior to the date of complaint

## **6. Who can complain?**

- 6.1 Complaints can be made by anyone who has a complaint or grievance that is relevant to the Ministry or Department's role or responsibilities. This will generally be clients who are seeking a service from the Ministry or Departments.
- 6.2 As a matter of policy, the Ministry will not accept complaints from third parties as issues of confidentiality may arise. An exception will be made for individuals who are unable to submit a complaint personally because they have a disability which prohibits them or otherwise; complaints will be accepted from individuals authorized to in writing on their behalf.

## **7. How must the complaint be made?**

- 7.1 Formal complaints can be made in the form of a letter addressed to the Ministry or relevant department or by completing the Ministry's Complaint Form.
- 7.2 Verbal complaints can be made in person or via the telephone. If a complaint is submitted verbally, an employee of the Ministry will provide the complainant(s) with a written statement in accordance with this policy.
- 7.3 Complaints must be written clearly, stating the nature of the issues including the individuals involved, dates, times, etc. Complaints must also include contact details.
- 7.4 If the Ministry is unclear about any part of the complaint at any point, the complainant will be contacted in order to provide further clarification before a full investigation can be conducted.

## **8. Who will receive the complaint?**

- 8.1 Front line staff will deal with initial expressions of dissatisfaction and attempt to resolve them.
- 8.2 Where the issues cannot be resolved or the client is still dissatisfied, the client will be allowed the opportunity to submit a formal complaint.
- 8.3 The formal complaint will be investigated by an employee who has not been previously involved in the matter.

- 8.4 The Chief Officer/Deputy Chief Officer should be notified of all complaints whether verbal or written and updated on the progress and outcome of any investigation.

## **9. How is the complaint considered?**

- 9.1 An acknowledgment of the complaint will be sent out within 5 working days of receiving a written complaint.
- 9.2 All complaints will be investigated and referred to the appropriate entity within 5 working day of receiving the complaint.
- 9.3 The client will be notified of the progress of the complaint within 10 working days and contact will be made every 10 working days after the initial 10 working days until the matter is concluded.
- 9.4 All parties involved will be given an opportunity to provide the Ministry or relevant department with the necessary information to resolve the issue. All information will be gathered as appropriate to the case.
- 9.5 All attempts will be made to handle complaints with confidentiality and sensitivity. In exceptional circumstances it may not be possible to maintain confidentiality in order to resolve the issue. Should this be the case, the client will be consulted to discuss available options.
- 9.6 Records of the complaint process will be subject to strict access controls to ensure privacy of all individuals involved.
- 9.7 Complaints that fall outside the Ministry's ambit of responsibility will be referred to the appropriate entity/person.

## **10. How is a complaint resolved?**

- 10.1 Submitting a complaint may not result in a previous decision being reversed. Investigations will consider all issues pertaining to the complaint. Clients should be informed that some complaints may take longer than others to investigate.
- 10.2 The Ministry or appropriate entity will send a response to clients in writing, to advise of the outcome of the complaint process. Correspondence will be clearly written providing details of the investigation and the decision made and signed by the Head of Department or Chief Officer.
- 10.3 Complaints may be resolved in various ways including:
- Issuing a formal apology
  - Provision of a particular service to client
  - Changing or implementing procedures to prevent similar issues arising in the future

# 11. Unsatisfied with Ministry's Resolution

- 11.1 **If you are unhappy with outcome of the complaint, you have the right to take your complaint to the Office of the Ombudsman via the contact details below:**

Office of the Ombudsman – Cayman Islands  
5th Floor, Anderson Square, 64 Shedden Road, George Town, Grand Cayman  
P.O. Box 2252, Grand Cayman KY1-1107, Cayman Islands  
<https://ombudsman.ky/make-a-complaint>  
[info@ombudsman.ky](mailto:info@ombudsman.ky)  
+1 345 946 6283