

## Aim and purpose

Promoting good practice is a statutory duty of the Immigration Services Commissioner. This note and others in the Office of the Immigration Services Commissioner's (OISC) series of Guidance and Practice Notes gives direction on various subjects. This particular note explains the OISC's Complaints Re-Direction Scheme.

### Contents

- Aims and Objectives of the OISC Complaints Re-direction scheme
- The Complaints Re-direction Process
- Benefits of the Complaints Re-direction scheme
- Flowchart

### **The Aims and Objectives of the OISC Complaints Re-direction Scheme**

1. Under the OISC Complaints Re-direction Scheme the OISC may decide to re-direct complaints it receives about a regulated OISC organisation that is the subject of the complaint thereby giving that organisation the opportunity to resolve the complaint without OISC intervention. It should be noted that the Scheme does not replace the OISC's complaints process.
2. The purpose of the Complaint Re-direction Scheme is to:
  - Increase the possibility of an early resolution of the complaint and, if appropriate, for some type of compensation or redress to be agreed;
  - Increase adviser responsibility (in line with the Code of Standards) in dealing with complaints; and
  - Reduce the OISC's direct involvement in these complaints.

### **The Complaints Re-direction Process (see the flow chart at the end of this note)**

3. All OISC opened complaints are assessed as to their suitability for re-direction. The complainant is contacted to discuss the Complaints Re-direction process.
4. If the complaint is suitable for re-direction, a copy of the complaint is sent to the organisation along with a Compliant Notification Letter (**CNL**) and the Complaint Investigation Record (**CIR**). The organisation has two weeks to investigate the complaint according to their OISC approved complaints procedure.
5. Once their investigation has been concluded, the organisation provides the OISC with a copy of their CIR together with any supporting documentation.
6. The CIR will contain the following information:
  - Member of staff who investigated the complaint
  - What steps the organisation took in investigating the complaint
  - What conclusion was reached in relation to the complaint
  - What the organisation learnt from their investigation

- What actions the organisation has taken or plans to take to resolve the complaint
  - What changes the organisation plans to make as a result of the complaint
7. The information provided by the organisation is assessed by the OISC and, if the Commissioner is satisfied with investigation and conclusions reached, she will consider the complaint closed.
  8. If the Commissioner remains dissatisfied with the way the complaint has been investigated by the organisation, she may choose formally to investigate the matter. If this happens, the organisation will be issued with a Statement of Complaint (SoC).

#### **Benefits of the Complaint Re-direction Scheme**

##### **a. Benefits to the organisation:**

- Empowers advisers and their organisations to deal with complaints.
- The adviser can deal with the complaint much quicker and therefore deliver a faster resolution for the client.
- The organisation's complaint investigation may identify changes in policies, processes and/or procedures that need to be introduced
- Gives the adviser and their organisation the ability to rectify any misunderstandings and may help the continuation of a good adviser/client relationship.
- Reduces the risk of the adviser having to make a claim on the organisation's PII.

##### **b) Benefits to the complainant**

- Quicker resolution of their complaint.
- May receive redress from the adviser as appropriate

- The client has the advantage of the adviser investigating the matter with the OISC only monitoring the organisation's investigation
- Maintains mutual trust between client and adviser



OISC

# Complaints re-direction flowchart

