

## UKCP COMPLAINTS & CONDUCT TEAM DOCUMENT RETENTION POLICY

**Scope** - This Policy applies to the UKCP’s Complaints and Conduct Team.

**Background** – This policy is designed to ensure that documents relating to complaint work are being stored and kept only for as long as necessary.

This policy covers:

- Individuals who are registered with the UKCP as a Psychotherapist or Psychotherapeutic Counsellor (known as ‘Registrant’);
- Individuals who are not UKCP Registrants but are listed as a UKCP student or trainee or retired member (known as ‘Member’)
- Other individuals, including, but not limited to, people who raise a concern, witnesses, employers and clients.

TYPE	DESCRIPTION	RETENTION PERIOD	ACTION
Enquiries	Not a formal complaint. It includes enquires made via: <ul style="list-style-type: none"> <li>• Email;</li> <li>• Telephone;</li> <li>• Post</li> </ul>	7 years	Destroy  Professional Standards Manager or other instructed person deletes all information stored electronically or physically

TYPE	DESCRIPTION	RETENTION PERIOD	ACTION
Formal complaints closed as not about a Registrant or out of the scope of our complaints & conduct process (no further action)	The formal complaint is: <ul style="list-style-type: none"> <li>• Not about a UKCP Registrant; or</li> <li>• It is about a Member but who is not subject to the complaints and conduct process; or</li> <li>• It is about a UKCP Registrant but does not raise concerns about suitability to be on the register issues</li> </ul>	1 year for formal complaints raised about non UKCP Registrants or Members  7 years for everything else  Retain a summary record of all complaints	Destroy  Professional Standards Manager or other instructed person deletes all information stored electronically or physically
Formal complaints about a UKCP Registrant within scope of the complaints and conduct process	Where a UKCP Registrant's response to the complaint is sought, but the realistic prospect test is not met	7 years after conclusion of the decision not to refer to an Adjudication Panel  Retain a summary record indefinitely	Destroy  Professional Standards Manager or other instructed person deletes all information stored electronically or physically

TYPE	DESCRIPTION	RETENTION PERIOD	ACTION
Cases referred to an Adjudication Panel, but no admission or facts proved, or misconduct found	The Adjudication Panel concludes to dismiss the complaint	Permanent	Archive  Professional Standards Manager or other instructed person moves all electronically or physically stored information to Archive records or files
Case referred to an Adjudication Panel resulted in misconduct being proved and/or sanctions imposed	The Adjudication Panel concludes a hearing by finding misconduct and/or imposing sanctions	Permanent	As above
Further proceedings following Adjudication Panel decision including appeals and/or legal proceedings (Registrant)	Where an Adjudication Panel decision is appealed or where a decision to close a case at any point in our procedures is subject to a legal challenge such a judicial review	Permanent	As above
Further complaint about a Registrant	If a further formal complaint about a Registrant is received during the retention period, we will retain both the original and new complaint for a further retention period	Retention period is reset for 7 years from the date new complaint is closed  Retain a summary record	Destroy  Professional Standards Manager or other instructed person deletes all information stored electronically or physically

TYPE	DESCRIPTION	RETENTION PERIOD	ACTION
Interim Orders	Where an Interim Order is applied for	If Interim Order is not granted retention period is 7 years  Retain summary record  Permanent if an Interim Order is granted	As above

**NB:** the summary record will contain the following information:

- Name of therapist;
- Name of complainant/person who raised concerns;
- Allegations; and
- Outcome of complaint

Document details	
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