

## AGIP COMPLAINTS PROCEDURE DOCUMENT AND RECORDS RETENTION POLICY

**Scope** - This Policy applies to the AGIP Complaints Procedure.

**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 Professional members of AGIP (known as ‘Member’);
- Individuals who are AGIP students, trainee or training members of AGIP (known as “Member”)
- Individuals who are Associate, Honorary or Retired members of AGIP (known as “Member”)
- Other individuals including, but not limited to, people who raise a concern, witnesses, employers, placement managers, supervisors, supervisees and patients

Where a case has been referred to the UKCP CPP by either party to the complaint those records will also be processed in a similar manner to below but where the final adjudication from the CPP determines which type of processing method is to be used for those records.

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 Ethics Committee Co-ordinator or other instructed person deletes all information stored electronically or physically
Formal complaints closed as not about a Member or out of the scope of our Complaints Procedure (no further action)	The formal complaint is: <ul style="list-style-type: none"> <li>• Not about an AGIP Member; or</li> <li>• It is about aa AGIP Member but does not raise concerns about suitability to be a Member</li> </ul>	1 year for formal complaints raised about non AGIP Members  7 years for everything else  Retain a summary record of all complaints	Destroy  Professional Ethics Committee Co-ordinator or other instructed person deletes all information stored electronically or physically
Formal complaints about an AGIP Member within scope of the Complaints Procedure	Where an AGIP Member’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 a Hearing Panel  Retain a summary record indefinitely	Destroy  Professional Ethics Committee Co-ordinator or other instructed person deletes all information stored electronically or physically

<b>TYPE</b>	<b>DESCRIPTION</b>	<b>RETENTION PERIOD</b>	<b>ACTION</b>
Cases referred to a Hearing Panel or Appeal Panel but no admission or facts proved, or misconduct found	The Hearing Panel or Appeal Panel concludes to dismiss the complaint	Permanent	Archive  Professional Ethics Committee Co-ordinator or other instructed person moves all electronically or physically stored information to Archive records or files
Case referred to a Hearing Panel or Appeal Panel resulted in misconduct being proved and/or sanctions imposed	The Hearing Panel or Appeal Panel concludes a hearing by finding misconduct and/or imposing sanctions,	Permanent	As above
Further proceedings following Hearing Panel or Appeal Panel decision including legal proceedings (Member)	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 Member	If a further formal complaint about a Member 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 Ethics Committee Co-ordinator or other instructed person deletes all information stored electronically or physically
Interim Suspension Orders	Where an Interim Suspension Order is applied for	If Interim Suspension Order is not granted retention period is 7 years  Retain summary record  Permanent if an Interim Suspension Order is granted	As above

The summary record will contain the following information: name of member; name of complainant or person who raised concerns; the allegations; the outcome of the complaint.

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