

**COMPLAINTS, CONCILIATION AND DISCIPLINARY PROCEDURE OF THE  
NEURO LINGUISTIC PSYCHOTHERAPY & COUNSELLING ASSOCIATION**

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**Note**

You are advised to read this entire document. From time to time NLPtCA may provide summaries of this Procedure to assist people to understand its overall nature. Only the full Procedure will guide the actions and decisions of NLPtCA in handling any complaints and disciplinary matters.

Neuro Linguistic Psychotherapy and Counselling Association Limited is a not-for-profit company.

## **PART I – INTRODUCTION**

This document is the Complaints, Conciliation and Disciplinary Procedure of Neuro Linguistic Psychotherapy Counselling Association.

1. The Procedure in this document will be used in dealing with any complaint that is raised, where the member is not signed up to the UKCP Complaints and conduct process (CCP):
  - a. Complaint made against a Member of the NLPtCA by a member of the public;
  - b. Complaint made against a Member of the NLPtCA by a client of that member;
  - c. Complaint made against a Member of the NLPtCA by another member of the NLPtCA.
  - d. Complaint made against a Member from another professional.
2. A "Complaint" does not necessarily have to relate to the professional competence of a member, for example, the Procedures may also be used in the following circumstances:
  - a. Where it is claimed that a member has breached the NLPtCA Code of Ethics and Conduct.
  - b. Where it is claimed that a member's conduct or behaviour is such that the NLPtCA or the practice of Psychotherapy or Counselling may be brought into disrepute; for example if a member is or has been convicted of a criminal offence.
  - c. Where it is alleged that a member has made false or misleading claims or statements about experience, training, qualifications or status as a Psychotherapist or Counsellor.
3. A complaint may refer to more than one behaviour or matter provided that it is made clear that each behaviour or matter is part of the same complaint.
4. In order to encourage better communications and understanding in complaints issues, NLPtCA supports and encourages resolution through conciliation.

## PART II – DEFINITIONS

1. Expressions used in this procedure have the following meaning:

"All Parties"	Means the Complainant and the Member Concerned and any person appointed by NLPtCA to progress the Complaint
"Both Parties"	Means the Complainant and the Member Concerned
"Complainant "	Means the person making a Complaint
"Complaints Officer"	Means the person from time to time appointed by the NLPtCA Board to manage this Procedure or, if there is no such appointee, the NLPtCA Chair.
"Conciliator"	Means the NLPtCA Member designated by the Complaints Officer or NLPtCA Board as Conciliator for a specific Complaint
"Either Party"	Means the Complainant or the Member Concerned
"Hearing"	Means an investigation run by an NLPtCA Complaint Panel under this Procedure.
"Member"	Means a person who has joined NLPtCA
"Member Concerned"	Means a Member about whom a Complaint has been made.
"NLPtCA"	Means the Neuro Linguistic Psychotherapy Counselling Association
"NLPtCA Chair / Chair of NLPtCA "	Means the Chair of the Board of NLPtCA
"NLPtCA Board"	Means the Elected Board of NLPtCA
"Other Party"	Means the person other than the one who has taken a particular action

"Panel Chair"	Means a person appointed to chair a Complaint Panel by either the Complaints Officer or NLPtCA Board
"Procedure"	Means this Procedure
"Panel"	Means a Panel appointed by the Complaints Officer for the purposes of dealing with a Complaint
"UKCP"	Means the United Kingdom Council for Psychotherapy

### **PART III – COMPLAINT REQUIREMENTS**

1. A person wishing to complain about an NLPtCA member must do so in writing to the Complaints Officer. The Complaints Officer may accept as a Complaint a document forwarded by another person provided that other relevant requirements in Part III are met.
2. NLPtCA will only deal with Complaints about a person who is an NLPtCA member or who was a member at the time of the behaviour complained about.
3. A Complaint must be specific and detailed. For example, it must provide dates, times, names of any other people who observed the behaviour complained about, and any relevant information about circumstances leading up to the Complaint.
4. The Complaint must:
  - a. be explicit that there is a Complaint
  - b. be signed and dated by the Complainant
  - c. include a postal address where the Complainant can be readily contacted
  - d. name the Member complained about
5. Complaints about what happened during a consultation with a Member must be made and signed by a person who was present during the consultation except when:
  - a. The Complaint is made on behalf of a person under the age of eighteen by the parent or guardian of that person
  - b. The consultation was with a person, still living, who is unable to make a Complaint without assistance. In such a case, the Complaints Officer may require medical or legal evidence before proceeding with the Complaint.

## **PART IV – INITIAL RESPONSE TO A COMPLAINT**

1. In response to a query about a possible Complaint, the Complaints Officer will provide information to help the person making the enquiry to understand this Procedure.
2. When a complaint enquiry is submitted that does not meet the criteria required by the Procedure, the Complaints Officer will point out the criteria that have not been met.
3. The Complaints Officer will ensure enquirers are made aware of and Complainants receive:
  - a. The NLPtCA Code of Ethics & Conduct
  - b. A full copy of the Procedure or a summary of that Procedure with information about how to obtain a full copy
  - c. POPAN (Prevention of Professional Abuse Network) contact details.
4. If a complaint is made about a Member who is also a member of UKCP, the complaint will be forward to UKCP CCP.
5. If a complaint is made about a Member who is not a member of UKCP, for each written Complaint received, the Complaints Officer will choose one of four courses of action and will take the first step of that action within 14 days of receiving the Complaint:
  - a. To reject the Complaint because it does not meet the criteria required by the Procedure. The Complaints Officer will give the Complainant reasons for the rejection in writing. A rejected Complaint may be re-submitted with additional information or amendments.
  - b. To summarise a Complaint without identifying any of the parties concerned and ask three members of NLPtCA for their views on this summary in terms of the Procedure. A written summary of the views of the three members will be sent to the Complainant and the Complaints Officer will inform the Complainant whether the Complaint is rejected at this stage or not.
  - c. To accept the Complaint for consideration under the Procedure without seeking views on a summary.
  - d. To take immediate steps to progress the Complaint because of its serious nature or the potential risk to other people. If the Complaints Officer decides on urgent action conciliation will not be offered and a Panel will be formed as soon as possible.
6. When a Complaint is accepted for consideration under the Procedure the Complaints Officer will, within seven days of confirming to the Complainant:

- a. Inform the Member Concerned of the Complaint, providing a copy of the Complaint and a copy of the Procedure.
  - b. Assign a Conciliator or form a Panel for this Complaint and notify the Complainant and Member Concerned of progress.
7. The Conciliator will progress the Complaint, maintain the interim Complaint File and regularly report on progress to the Complaints Officer or directly to the NLPtCA Committee when requested.
8. In the absence of the Complaints Officer, The Chair of NLPtCA may appoint a Conciliation Officer.
9. When assigning Members to roles related to this Procedure, care will be taken to avoid appointing any person with a likely conflict of interest. However, this does not include making enquiries about potential conflict of interest when such enquiries may lead to the name of a particular Member being linked, correctly or incorrectly, to a Complaint.

## **PART V - CONCILIATION**

1. NLPtCA values conciliation because it can promote better communication, the appreciation of the views of others, healing, personal and professional learning.
2. Only the Complainant may request Conciliation. However, Conciliation will only proceed if the Member also agrees to it.
3. At any stage, the Conciliator may decide not to use or not to continue with conciliation and the reasons for the decision will be communicated in writing to Both Parties and to the Complaints Officer.
4. If the Member does not reply or decides not to take part in Conciliation, a Panel Hearing will be set up.
5. If a Complainant has agreed in writing to Conciliation but does not reply to any correspondence from the Conciliator within 28 days, the Complainant will be deemed to have withdrawn the Complaint.
6. If the Conciliation Procedure is to be used, the Conciliator will act in an impartial capacity between the Complainant and the Member concerned for the purpose of resolving the Complaint. In order to do this the Conciliator will:
  - a. Attempt to establish what an appropriate resolution would be; for example, a written apology from the Member or refund of fees.
  - b. Discuss with Both Parties whether any proposed resolution is acceptable.
7. The Conciliator may convene a voluntary meeting between the Complainant, the Member and Conciliator in order to resolve the Complaint.
8. During the Conciliation process the Conciliator will maintain confidentiality and establish what information volunteered may be shared with the other party.

However, the Conciliator will keep records and share with any subsequent Complaint Panel information that may be relevant to a fair decision.

9. When a Complaint is resolved the Complainant, the Member and Conciliator must sign a note of resolution. A copy of this note will be given to both the Complainant and the Member.
10. The Complainant or the Member may withdraw from Conciliation at any time. If Either Party wishes to withdraw from Conciliation they must give a written notice of withdrawal to the Conciliator. The Conciliator will then notify the Other Party.
11. The Conciliator may propose Arbitration and will support Arbitration if both parties to the Complaint agree in writing the terms of the Arbitration and accept the decision of the Arbitrator as binding and final. The Conciliator may be the Arbitrator or it may be another person approved by the Complaints Officer or Chair of NLPtCA.
12. If Conciliation is attempted and fails the Conciliator will not be appointed to The Panel. New officers will be appointed to assist a fresh and impartial review.
13. If the Complaint is not resolved at the conclusion of Conciliation or Arbitration, the Conciliator will write a report outlining the key events and including any information that a Complaint Panel may need to consider in order to reach a fair decision. Both parties will be sent copies of this report at least 14 days before any Initial Meeting of the Panel.
14. The Conciliator, and any other person acting on behalf of NLPtCA in a Complaint, is required to keep notes of any telephone conversations relating to the Complaint by Either Party or people linked to Either Party. As a minimum, notes should include date, time, what topics were discussed and any advice given or suggestions made. If the conversation is contentious or may be significant, the notes should:
  - a. Be written up as soon as practicable and signed and dated and timed.
  - b. Form the basis of a letter to the party concerned that summarises the conversation and asks the addressee to confirm the accuracy of the record.

#### **PART VI – COMPLAINT PANEL MEETINGS Initial Meetings**

1. When a Complaint has been accepted under the Procedure and is either not suitable for Conciliation or when Conciliation has failed, the Complaints Officer will appoint a Complaint Panel.
2. Both Parties and, if relevant, the Conciliator will be asked to submit in writing any information they believe is pertinent to an Initial Meeting.
3. An Initial Meeting of the Panel will be held in order to determine how NLPtCA will proceed with the Complaint. At this Initial Meeting the Panel will take

- account of all the information available to it including any explanation provided by the Member Concerned and, if relevant, a report from the Conciliator. Neither the Complainant nor the Member Concerned will be entitled to attend this Initial Meeting. If the Conciliator is asked to attend she or he will only attend that part of the meeting that considers the report of the Conciliator.
4. Any report from a Conciliator considered by a Complaint Panel will be put in writing and will be sent to Both Parties at least 14 days before the Initial Meeting.
  5. The Panel at the Initial Meeting or subsequently may determine:
    - a. To make further investigations and/or obtain legal or other expert advice or assistance
    - b. That there are not sufficient grounds to justify proceeding to a Hearing
    - c. That the Complaint will be considered at a Hearing to be held at a later date.
    - d. That there are not sufficient grounds for considering all of the matters raised in the complaint at a Hearing but that a Hearing will be held into certain matters.
  6. The Panel will notify, in writing, Both Parties and the Complaints Officer of the decision of the Panel. If a Conciliator has been involved, she or he will also be informed.
  7. If the Panel decides to proceed to a Hearing into a Complaint, the Panel Chair will send to Both Parties a Notice of Hearing. The Notice of Hearing will specify:
    - a. The matters to which the Hearing relates
    - b. The day, time and place of the Hearing.
  8. Unless the Member Concerned and the Complainant both agree to an earlier date the enquiry shall be held between 28 days and 60 days after the date of posting the Notice of Hearing.

## **Hearings**

9. The purpose of a Hearing is to allow as full an enquiry as is reasonable and practicable into all matters the Panel decides are relevant to a Complaint.
10. At least 14 days before the date set for the Hearing, both the Complainant and the Member Concerned must send to the Panel Chair and to each other the following:
  - a. Copies of any documents to be considered by the Hearing if these have not been submitted previously to NLPtCA.

- b. Written notification of any other people to be called to speak at the Hearing;
  - c. Details of any support (for example, a friend) who will attend the Hearing and the role of that person at the Hearing
11. Except in circumstance accepted by the Panel as special, where the 14 days notice has not been given the Panel will not allow any person to speak or documentary evidence to be produced at the Hearing by Either Party.
12. Where Either Party has requested that contact details are not shared with the Other Party, extra copies of documents should be sent to the Panel Chair for forwarding to the Other Party.
13. The Member Concerned will be invited to authorise her or his Supervisor to supply in writing one or more of the following:
- a. Details of the Supervisor's credentials as a therapist or counsellor and their supervision qualifications and experience
  - b. Details of how long the supervisory relationship has existed, the frequency and length of supervision sessions
  - c. The Supervisor's assessment of the character of the Member Concerned relevant to the Complaint
  - d. Whether the Complaint has been reviewed in supervision and if so, the supervisor's assessment of learning for the Member Concerned as a consequence of this review?
  - e. Any supervision before the Complaint was made that now seems pertinent to the Complaint and that may be shared without breaking client confidentiality.
14. The Panel will agree to a request from the Supervisor that the information or parts of the information is only for the Panel. However, such information will be part of the Complaint file and may therefore be considered by a subsequent Panel or an Appeal (see Part IX, Section 7).
15. Where a Supervisor does not supply information, the Member Concerned may be required by the Panel to provide in advance of the Hearing written details of supervision arrangements. The Member Concerned will not be required to disclose the detailed content of supervision to any Hearing but may be asked if the Complaint has been reviewed and describe any learning drawn from this.
16. The Panel may present its own evidence or witnesses at a Hearing provided that Both Parties are advised of the nature of the evidence and names of witnesses in writing at least 14 days before the Hearing.

## Hearing Procedure

17. The Complainant is expected to attend the Hearing. An exception will be made when there is a documented, medical reason for not attending. Where a Complainant is not able to attend, this shall be made clear at an early stage to allow the Panel to put questions and receive satisfactory answers in writing in advance of the hearing.
18. If a Complainant fails to attend a Hearing without good reason, or if exempted for medical reasons, fails to provide written answers, the Panel may deem the Complaint to have lapsed.
19. The Panel Chair will check in advance of the Hearing that the Member Concerned has received the notice and that the Member intends to be at the Hearing.
20. If the notice of Hearing does not appear to have been received by the Member Concerned the Panel may proceed with the Hearing if the Panel are satisfied that all reasonable efforts have been made to serve the notice of Hearing on the Member Concerned.
21. Where the Member Concerned appears at the Hearing the following will be the order of proceedings:
  - a. A summary of the Complaint will be read out
  - b. The Complainant's evidence will be produced and the Complainant's witness(es) will be heard
  - c. The evidence of the Member Concerned will be produced and the witness(es) of the Member Concerned will be heard
  - d. The Panel's own findings will be produced and any witnesses will be heard.
  - e. The Complainant or Complainant's supporter may make a final statement
  - f. The Member Concerned or his or her supporter may make a final statement.
22. During the proceedings Both Parties will have the right to question the other party and any witness through the Panel Chair after the witness's evidence has been given.
23. The Panel Chair will ensure that questioning is fair and reasonable and may disallow questions that she/he considers are not fair and reasonable. The Panel Chair may consult with other members of the Panel on issues related to fair and reasonable questions.
24. At the end of the proceedings the Panel shall withdraw to consider the Complaint. The Panel will decide whether or not a Complaint (or parts of it) is

upheld. The Panel may hold over its decision to a later date. If the Panel does not give its decision at the Hearing it will notify the Complainant and the Member Concerned of its decision and, if applicable, any requirements in writing at a later stage.

25. The Panel may adjourn the Hearing to a later date.
26. The Panel may decide that another Hearing under a new Complaint Panel is needed.

#### **PART VII – COMPLAINT PANELS**

1. A Complaint Panel will be appointed by the Complaints Officer and will consist of not less than three persons and not more than five. The Complaints Officer may be a member of a Panel but will not chair any Panel. Normally Members of the Panel will be members of NLPtCA.
2. The Complaints Officer will appoint the Panel Chair. The Chair will not have a casting vote.
3. Meetings of the Panel will be held in Greater London unless the Panel and Both Parties agree to another venue.
4. The Panel will keep minutes of all its proceedings and provide a copy to the Complaints Officer.
5. No business can be transacted at any meeting of the Panel unless a quorum is present when the meeting commences. A quorum will consist of not less than three Panel members present at any meeting. Except for Hearings, Panel meetings by telephone conference call or Skype are allowed provided that such meetings are for Panel members only and all members taking part have sight of relevant documentation.
6. Before any Initial Meeting or Hearing each member of the Panel must confirm that to the best of her/his knowledge and belief there is no conflict of interest. That is, she/he has no connection or relationship, direct or indirect with the Complainant or the Member Concerned that might unduly influence the proceedings.

#### **PART VIII - CONFLICT OF INTEREST**

1. Any NLPtCA member asked to review a Complaint summary must inform the Complaints Officer if she or he has reason to believe they know the identity of either the Member Concerned or the Complainant. The Complaints Officer when so informed may appoint another member to review the summary.
2. Any person asked by NLPtCA to serve as a Conciliator or a Panel Member must notify the Complaints Officer if she or he thinks any association with Either Party may be interpreted as a conflict of interest. A Conciliator or Panel Member will resign from the appointment if directed to do so by the Complaints Officer because of a potential conflict of interest.
3. If the Complaints Officer thinks she or he has an association with Either Party

that may be interpreted as a conflict of interest this must be discussed with the Chair of NLPtCA. The Complaints Officer will hand over her or his role in a Complaint to another person if directed to do so by the NLPtCA Chair because of a potential conflict of interest.

4. People appointed by NLPtCA to deal with Complaints must inform the Complaints Officer or the Chair of NLPtCA of any change in circumstances that may lead to a conflict of interest. This information must be shared before any Complaint related decision that might be influenced by a conflict of interest.
5. Merely knowing Either Party is not in itself a conflict of interest.
6. Factors that may indicate conflict of interest include family connections, previous intimate association, therapeutic or supervisory relationships, business partnerships, paid work, referral of clients or other significant benefits.
7. When Either Party to a Complaint is informed of the name of any person appointed by NLPtCA to handle that Complaint they may object provided reasons for the objections are given.
8. Objections should be made:
  - a. Concerning the Complaints Officer – to the Chair of NLPtCA
  - b. Concerning a Conciliator or a Panel Member – to the Complaints Officer
9. The Complaints Officer or Chair of NLPtCA may respond to objections in one or more of the following ways:
  - a. Seeking a replacement or appointing an acting Complaints Officer
  - b. Rejecting the objections and giving the reasons in writing
  - c. Asking the person objecting for further information
  - d. Asking the person objected to for further information

## **PART IX – SANCTIONS, FAILURE TO CO-OPERATE AND APPEALS**

1. If a Panel upholds a Complaint the Panel may impose requirements including and without limitations:
  - a. Requiring the Member to make a formal written apology to the Complainant. A Panel member will approve a draft of such an apology.
  - b. Requiring the Member to make a compensatory payment to the Complainant. However, if the Member fails to make the compensatory payment the NLPtCA will not itself be liable to make the payment.
  - c. The expulsion of the Member from NLPtCA.

- d. Suspending the Member's membership of NLPtCA for such period as the Panel may consider appropriate.
  - e. Requiring specified training to be satisfactorily completed and appointing a NLPtCA nominee to oversee this.
  - f. Requiring evidence of supervision under terms defined by the Panel with a supervisor approved by either the Panel or the Complaints Officer.
  - g. Publication of the details of the Complaint and the findings of the Hearing in any media agreed by Panel.
  - h. Notifying the UKCP, *and/or* other professional bodies *which the member belongs to*, of the outcome of the Complaint.
2. If the Member refuses or fails to comply with any requirement imposed by the Complaints Panel, the Panel or NLPtCA Committee may impose further penalties or requirements.
  3. The Complaints Officer, a Conciliator or any member of a Panel may make a Complaint against a NLPtCA member or former member concerning their response to the Procedure. Such a Complaint will be known as a Procedural Complaint.
  4. A new Panel will hold an Initial Meeting and may hold a Hearing for the Procedural Complaint. The new Panel shall have no members who are part of the original Panel. The new Panel will not include any people making the original Complaint or who may be called as witnesses to a Hearing about the original Complaint. The new Panel will have access to all files relating to the original Complaint.
  5. Requirements or additional requirements may be imposed when a Panel upholds a Procedural Complaint or when a Panel finds that the Member Concerned has failed to co-operate as required by the Procedure or has failed to respond appropriately to a person appointed by NLPtCA to handle the Complaint.
  6. Any concerns about the behaviour of individuals appointed by NLPtCA to support this Procedure should be made known at the earliest opportunity. Concerns should be raised with the Complaints Officer unless the concern is with the behaviour of the Complaints Officer. In such a case, the Chair of NLPtCA should be contacted.
  7. If the Member Concerned or the Complainant wishes to appeal against the decision of a Complaint Panel, the Member or the Complainant must give notice in writing within 14 days of being notified of the decision. Any appeal will be dealt with under the Constructivist & Existential College Appeals Procedure, which is contained in a separate document.

## PART X - RESPONSE TIMES

1. In the following schedule the response required should be in writing.
2. Unless stated otherwise in this Procedure response times will be as follows.

<b>Activity</b>	<b>Shall be sent</b>
Complaints Officer's response to an initial enquiry	No more than 28 days after the day the Complaints Officer receives the enquiry
Complaints Officer provides summary of the Complaint to three NLPtCA members	No more than 14 days from when the Complaints Officer receives an adequate Complaint on which to base the summary
NLPtCA Members provide Complaints Officer with their responses to a summary of a Complaint	No more than 14 days from receipt of the summary
Complaints Officer provides Complainant with a summary of the views of three NLPtCA members	No more than 14 days from the receipt of the last view
Reply to a request for information or further information made by the Complaints Officer, a Conciliator or a Panel Chair	No more than 14 days after the date on which the request is received.
Complainant must respond to correspondence from the Conciliator or Complaint is deemed to have been withdrawn	Within 28 days of posting of correspondence
Either Party object to members of the Panel	No more than 14 days after the date on which the names are received.

<p>When a Complainant or the Member Concerned requests a response from the Complaints Officer, a Conciliator or a Panel Chair to a written request or communication.</p>	<p>No more than 14 days after the date on which the request is received.</p>
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3. Either Party to a Complaint must give advance notice to the Complaints Officer of any absences that may result in delayed responses. People appointed by NLPtCA to support the Procedure must also give such notice to the Complaints Officer or NLPtCA Chair. If a response is delayed while information is being gathered or prepared, an acknowledgement must be sent that explains the cause of the delay and when a response can be expected.
4. Either Party should advise NLPtCA in writing of any personal circumstances that may delay responses.
5. NLPtCA reserves the right to terminate a Complaint when the Complainant does not respond within the time set out in this procedure.
6. NLPtCA reserves the right to make a Procedural Complaint against a Member Concerned who does not respond within a time set out in this Procedure.
7. Any correspondence from NLPtCA to a Complainant or Member Concerned requiring a response within a given time will be sent either:
  - a. by recorded delivery or by registered post
  - b. by e-mail if appropriate for the message and if the recipient has confirmed that she or he accepts the use of this medium for this purpose. If there is no reply or acknowledgement of the e-mail within seven days, recorded or registered post should be used.
8. The Member Concerned or the Complainant should advise the Chair of NLPtCA if there are any unexplained delays on the part of people appointed by NLPtCA to handle Complaints.

## **PART XI - SPECIAL CIRCUMSTANCES**

1. In the event of this Procedure not providing a way forward because of circumstances not covered by this Procedure, the Complaints Officer will seek guidance from the NLPtCA Chair.
2. In the event of any disagreement between NLPtCA Officers that may unduly delay the handling of a Complaint, the following action may be taken by any of the Officers concerned. For disagreement between:

- a. Complaints Officer and Conciliator or Panel Chair – refer to NLPtCA Chair for ruling
  - b. Complaints Officer and NLPtCA Chair – refer to NLPtCA Committee for ruling
  - c. Panel Members when the Complaints Officer is on the Panel – refer to NLPtCA Chair for ruling
  - d. Panel Members when Panel does not include Complaints Officer – refer to Complaints Officer for ruling
3. If any NLPtCA Officer appointed to handle a Complaint disagrees with a ruling made by the Chair of NLPtCA or the Complaints Officer the ruling may then be referred to the NLPtCA Board. The decision of the NLPtCA Board will be final.
  4. Individuals or the NLPtCA Board when ruling on a case must apply the existing Procedure as far as it is practicable and be guided by the spirit of the Procedure.
  5. NLPtCA Officers seeking a ruling from the NLPtCA Chair or NLPtCA Board must do so without identifying the Complainant or the Member Concerned. There should be no unnecessary references to location or other information that might link to a particular member.

## **PART XII – COMPLAINT FILES & REPORTS**

1. All Complaint files shall be kept in confidence and only made available to those people the Complaints Officer decides need to see them in relation to this Procedure.
2. All Complaint related correspondence received by NLPtCA will be annotated to show the date it was posted to NLPtCA, the date of receipt and any date on which it was forwarded.
3. Paper copies of any significant e-mail must be made for the Complaint file.
4. Significant faxes or other documents that are likely to fade should be copied while still easily legible.
5. Conciliation Officers and Chairs of Complaint Panels must return all files promptly to the Complaints Officer.
6. All files will be kept for a minimum of seven years from the completion of the Complaint process or seven years from the date that the Complaint was closed.
7. The Complaints Officer shall report at least once every six months to the NLPtCA Board on Complaints received and progress on Complaints.

- Complaints will be referred to by the month and year in which they are received (for example, Complaint May 1999/A) and no details that might identify Either Party will appear in the reports.
8. The Complaints Officer will submit reports as requested by the United Kingdom Council for Psychotherapy.
  9. The Complaints Officer may from time to time prepare summaries of Complaints, their progress and outcomes in order that others may better understand ethical issues or how NLPtCA handles Complaints provided that:
    - a. No details are included that might identify Either Party
    - b. Such summaries are for professional publications for psychotherapists and counsellors or appear in NLPtCA newsletters or other media.
  10. The Complaints Officer may approach a member of UKCP Complaints and Conduct Process Team or Ethics Committee if she/he feels the need for guidance on a Complaint. In such circumstances, the Complaints Officer may share the Complaint File with the person approached.
  11. Papers in a Complaint file may only be copied in support of this Procedure. An Officer issued with copies should destroy them or return them to the Complaints Officer after the papers have served their legitimate purpose.
  12. Either Party may request copies of documents in the Complaint file provided that:
    - a. It is a document originated by or contributed by the party requesting it or a document of public record or
    - b. The copies are of papers previously sent to that person
    - c. Copying and handling charges are paid in advance to NLPtCA. The charges will be set by the Complaints Officer who will inform the NLPtCA Committee of the rate, any increases to it and monies received.

## **PART XIII - DOCUMENT HISTORY**

### **Issue 1 published 28.11.00**

The NLPtCA Executive Committee approved this document in principle, subject to checking by a competent solicitor, at a meeting held on 22 May 2000. Legal confirmation was received on 1 November 2000.

### **Issue 2 published 10.10 2002**

This issue has no changes other than: a. The use of the new name and its abbreviation NLPtCA, b. the removal of references to previous names, c. the use of new registered office and contact details for the NLPtCA Administrator. Approved by the NLPtCA Board at a meeting held on 27 September 2002.

**Issue 3 published 06.01.04**

As only details of the NLPtCA Administrator and the registered office have changed, approval by NLPtCA Board has not been sought. The Board have been notified of the changes.

**Issue 4 published 08.09.17**

Updated in line with UKCP CCP. Board Approval given on 07.09.17

**Contact Details at the Time of This Issue****NLPtCA Complaints Officer**

[admin@nlptca.com](mailto:admin@nlptca.com)

NLPtCA Chair [chair@nlptca.com](mailto:chair@nlptca.com).

**NLPtCA Administrator**

[admin@nlptca.com](mailto:admin@nlptca.com)

current address as per website  
nlptca.com

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