

[LOGO]	Hong Kong Institute of Clinical Psychologists Limited 香港臨床心理學家公會有限公司	Document No.	HKICP-ECI-PD-004-R0
	Procedures for Handling of Complaints against Hong Kong Institute of Clinical Psychologists	Issue Date	nn/nn/2018
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# Procedures for Handling of Complaints against Hong Kong Institute of Clinical Psychologists

Version	Effective Date
1.0	

Document Number	HKICP-ECI-PD-004-R0
Author	<<Post and Name>>
Custodian	<<Post and Name>>
Approved / Endorsed By	<<Respective Committees>>
Approval Date	DD/MM/YYYY

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**(Distribution list: This Policy shall be read by all staff and members of HKICP, Professional Council and its committees, and the general public.)**

## 1. Objective

- 1.1 This document describes the procedures for handling complaints against the Hong Kong Institute of Clinical Psychologists (HKICP) with a view to ensure that the complaints are handled fairly, efficiently and effectively.
- 1.2 The complaint handling procedure is intended to:
  - 1.2.1 Enable HKICP to proceed to issues raised by people making complaints in a timely and cost-effective way,
  - 1.2.2 Boost public confidence in our administrative process, and
  - 1.2.3 Provide information that can be used by HKICP to deliver quality improvement in our administration, services, staff, and complaint handling.

## 2. Scope

This policy applies to all complaints from the Registrants of HKICP and the public made to or about HKICP, such as but not limited to:

- 2.1 Governance
- 2.2 Operational Effectiveness
- 2.3 Standards of Registrants
- 2.4 Continuing Professional Development
- 2.5 Registration Procedures
- 2.6 Complaint and Appeal Handling Procedures
- 2.7 Risk Management
- 2.8 Reputation of HKICP
- 2.9 Administration

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### 3. Terms and definitions

In this policy, unless the context other requires:

- 3.1 “Complaint” means an expression of dissatisfaction made to or about HKICP, our administration, services, staff, and complaint handling;
- 3.2 “Complainant” means any person who files a complaint to the secretariat of HKICP;
- 3.3 “Council” means the Professional Council of HKICP;
- 3.4 “Pool of adjudication members” means Pool of Adjudication Members set up in accordance with Section 12 of the Procedures for Handling of Complaints against Registrants of HKICP (HKICP-ECI-PD-006-R0);
- 3.5 “Preliminary investigation committee” or “PIC” means Preliminary Investigation Committee set up in accordance with Section 4 of the Procedures for Handling of Complaints against Registrants of HKICP (HKICP-ECI-PD-006-R0);
- 3.6 “Secretariat” means the secretariat of HKICP;
- 3.7 “Working day” means a weekday except public holiday.

### 4. Principles in handling complaints made to or about HKICP

HKICP upholds the following principles:

- 4.1 HKICP is committed to effective complaint handling and values feedback through complaints.
- 4.2 Information about how and where to complain is well publicized to the public, registrants, staff and other interested parties.
- 4.3 The process of making a complaint and investigation is transparent and easy-to-understand for the complainant.
- 4.4 Complaints are acknowledged in a timely manner, addressed promptly and according to order of urgency, and the complainant is kept informed throughout the process.
- 4.5 Complaints are dealt with in an equitable, objective and unbiased manner.
- 4.6 Personal information related to complaints is kept confidential.
- 4.7 If a complaint is upheld, a remedy or resolution shall be provided.

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- 4.8 There are opportunities for internal and external review and/or appeal about HKICP's response to the complaint, and the complainants are informed about these avenues.
- 4.9 Accountabilities for complaint handling are clearly established, and complaints and responses to them are monitored and reported to the Board of Directors, the Council, and other relevant stakeholders.
- 4.10 HKICP treats complaints as a source of information that can be used to deliver quality improvement in the administration, services, staff, and complaint handling.

## 5. Organizational commitment

### 5.1 The Council

The Council shall follow up and/or implement the recommendation(s) made by PIC regarding the complaints. A remedy or resolution, if appropriate, shall be made accordingly in a timely manner. Any remedy and resolution, where appropriate, shall be publicized via different channels such as HKICP website, newsletter and/or announcement etc.

### 5.2 Register of complaints

The secretariat shall maintain and update a register of complaints received by the secretariat under section 6 below. The register shall record any information of the complaints and in a form and format prescribed by the Council.

## 6. Making a complaint

- 6.1.1 A complaint about HKICP could be from, but not limited to, the following people:
- 6.1.1.1 A member of the public,
  - 6.1.1.2 A Registrant of HKICP, and
  - 6.1.1.3 A staff/employee of HKICP.
- 6.1.2 A complaint about HKICP shall be made by the complainant:
- 6.1.2.1 By filling in the Complaint Form of HKICP (Appendix) and post or fax the form to the secretariat of HKICP; or

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- 6.1.2.2 By completing and submitting the online complaint form on the website of HKICP with all supporting information; or
- 6.1.2.3 By calling the contact number of HKICP and HKICP shall arrange an interviewing officer to interview the complainant to fill out the Complaint Form.
- 6.1.3 No anonymous complaint will be dealt with. Complainant must provide their personal details as required.

## 7. Acknowledgement of complaint

The secretariat shall issue an acknowledgement of receipt of complaint to the complainant within 5 working days.

## 8. Consideration of complaint by Preliminary Investigation Committee

- 8.1 The secretariat shall forward the Complaint Form and the supporting document(s), if any, to all members of PIC within 5 working days after receiving the complaint.
- 8.2 After receipt of the Complaint Form and the supporting documents(s), if any, PIC Chairperson shall direct the secretariat to fix a date within 20 working days for a PIC meeting to consider the complaint.
- 8.3 In addition to section 8.1, PIC Chairperson may direct the secretariat to send a copy of document(s) such as, but not limited to, the internal policy, guideline, operation manual of HKICP, which are considered to be relevant to the complaint, to all members of PIC for reference before PIC meeting.
- 8.4 PIC Chairperson has the discretion to invite any personnel of HKICP, whom the complaint is concerned with and/or PIC Chairperson thinks relevant to the consideration of the complaint, to attend PIC meeting.
- 8.5 The secretariat shall, at the meeting at which the complaint is considered, put before PIC, the Complaint Form, the supporting document(s), any relevant internal documents of HKICP, and any other available document or material relevant to the complaint.
- 8.6 PIC shall determine, by a simple majority, one of the following outcomes:
- 8.6.1 That the complaint shall be dismissed,

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- 8.6.2 That the complaint is established, or
- 8.6.3 That further information and additional advice or assistance are required. In this case, PIC shall seek further information and additional advice or assistance within 10 working days after the meeting. The documents received therewith shall be circulated among PIC members, and after the receipt of those documents, PIC Chairman shall direct the secretariat to fix a date within 10 working days for another preliminary investigation meeting of the Committee.
- 8.7 If PIC determines that the complaint is established, PIC shall discuss and make decision on the remedy or resolution in relation to the complaint to the Council.
- 8.8 Possible remedies that may be offered to complainants are as follows:
- 8.8.1 A feedback,
- 8.8.2 An appreciation,
- 8.8.3 An apology,
- 8.8.4 Reconsideration of a decision,
- 8.8.5 Amending or retracting documentation (e.g. publications, media statements, web pages),
- 8.8.6 An offer of non-financial assistance, as appropriate (e.g. providing information or contact details),
- 8.8.7 Appropriate compensation for loss,
- 8.8.8 Changed policies or practices to prevent a reoccurrence, and
- 8.8.9 Action to modify the behaviour of the staff member who the complaint was about, if applicable.
- 8.9 PIC shall forward a report, signed by all members, to the Council for endorsement. The report shall state its findings of facts, the reasons for the conclusion with dissenting view, if any, and its recommendation on remedy or resolution in relation to the complaint, if any, within 10 working days after the meeting.
- 8.10 If the Council endorses the report submitted by PIC, the Council shall implement the recommendation on remedy or resolution in relation to the complaint, if any. The Council shall give the complainant a written reply on the outcome of investigation and recommendation. Recommendation may include remedy or resolution in relation to the complaint, and/or action



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proposed or taken to improve the administration of HKICP and/or action taken to address the conduct of any concerned personnel.

## 9. Complaint against Preliminary Investigation Committee

- 9.1 If the complaint is about PIC or the conduct of its member(s) when performing the duties of PIC, sections 8.1 - 8.10 above are not applicable.
- 9.2 The secretariat shall inform the Chairperson of the Council within 5 working days after receiving the complaint.
- 9.3 The Council Chairperson shall direct the secretariat to set up an ad hoc Investigation Panel within 20 working days after being informed about the complaint.
- 9.4 The Investigation Panel comprises 2 Registrants of HKICP drawn up from a pool of adjudication members and one lay member. All members of the Investigation Panel shall not be members of the Council or PIC.
- 9.5 The Chairperson of the Investigation Panel shall be elected by and from among its members and shall hold office until the Investigation Panel is dissolved.
- 9.6 The secretariat shall forward the Complaint Form and the supporting document(s), if any, to all members of the Investigation Panel within 10 working days after the Investigation Panel is set up.
- 9.7 After receipt of the Complaint Form and the supporting documents(s), if any, the Investigation Panel Chairperson shall direct the secretariat to fix a date within 20 working days for an Investigation Panel meeting to consider the complaint.
- 9.8 In addition to section 9.6, the Investigation Panel Chairperson may direct the secretariat to send a copy of document(s) such as, but not limited to, the internal policy, guideline, operation manual of HKICP, which are considered to be relevant to the complaint, to all members of the Investigation Panel for reference before the Investigation Panel meeting.
- 9.9 The Investigation Panel Chairperson has the discretion to invite any personnel of HKICP, whom the complaint is concerned with and/or the Investigation Panel Chairperson thinks relevant to the consideration of the complaint, to attend the Investigation Panel meeting.
- 9.10 The secretariat shall, at the meeting at which the complaint is considered, put before the Investigation Panel, the Complaint Form, the supporting

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document(s), any relevant internal documents of HKICP, and any other available document or material relevant to the complaint.

9.11 The Investigation Panel shall determine, by a simple majority, one of the following outcomes:

9.11.1 That the complaint shall be dismissed,

9.11.2 That the complaint is established, or

9.11.3 That further information and additional advice or assistance are required. In this case, the Investigation Panel shall seek further information and additional advice or assistance within 15 working days after the meeting. The documents received therewith shall be circulated among the Investigation Panel members, and after the receipt of those documents, the Investigation Panel Chairman shall direct the secretariat to fix a date within 20 working days for another Investigation Panel meeting.

9.12 If the Investigation Panel determines that the complaint is established, the Investigation Panel shall discuss and make decision on the remedy or resolution in relation to the complaint to the Council.

9.13 Possible remedies that may be offered to complainants:

9.13.1 A feedback,

9.13.2 An appreciation,

9.13.3 An apology,

9.13.4 Reconsideration of a decision,

9.13.5 Amending or retracting documentation (e.g. publications, media statements, web pages),

9.13.6 An offer of non-financial assistance, as appropriate (e.g. providing information or contact details),

9.13.7 Appropriate compensation for loss,

9.13.8 Changed policies or practices to prevent a reoccurrence, and

9.13.9 Action to modify the behaviour of the staff member who the complaint was about, if applicable.

9.14 The Investigation Panel shall forward a report, signed by all members, to the Council for endorsement. The report shall state its findings of facts, the reasons for the conclusion with dissenting view, if any, and its

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recommendation on remedy or resolution in relation to the complaint, if any, within 10 working days after the meeting.

- 9.15 If the Council endorses the report submitted by the Investigation Panel, the Council shall implement the recommendation on remedy or resolution in relation to the complaint, if any. The Council shall give the complainant a written reply on the outcome of investigation and recommendation. Recommendation may include remedy or resolution in relation to the complaint, and/or action proposed or taken to improve the administration of HKICP and/or action taken to address the conduct of any concerned personnel.
- 9.16 The Council shall dissolve the Investigation Panel after receiving the report from the Investigation Panel.

## 10. Appeal

If the complainant is aggrieved by the outcome of the investigation under this policy, the complainant may lodge a complaint to the Department of Health of the HKSAR government.

## 11. Conflict of interest

- 11.1 All members of PIC, the Investigation Panel, the secretariat, and the Council shall observe the relevant rules and procedure stipulated in the Policy on Declaration & Handling of Conflict of Interest of HKICP (HKICP-ECI-PO-003-R0). Any conflict of interest arisen during the handling procedures shall be reported immediately and documented.
- 11.2 All personal information of the complainant shall be handled with care throughout the complaint handling procedure.

## 12. Attachment

### Appendix:

Hong Kong Institute of Clinical Psychologists Complaint Form (about HKICP)

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## Appendix: Hong Kong Institute of Clinical Psychologists Complaint about HKICP Form

### 香港臨床心理學家公會 HONG KONG INSTITUTE OF CLINICAL PSYCHOLOGISTS

#### 投訴表格 (有關香港臨床心理學家公會) Complaint Form (About HKICP)

#### 注意事項 Notes

- (a) 此投訴表格乃根據香港臨床心理學家公會的《投訴香港臨床心理學家公會的處理程序》(文件編號: HKICP-ECI-PD-004-R0) 第6條規定的指明表格。所有投訴須以此指定表格提出。  
This specified Complaint Form is prescribed under section 6 of the Procedures for Handling of Complaints against Hong Kong Institute of Clinical Psychologists (document code: HKICP-ECI-PD-004-R0). All complaints must be lodged in this specified form.
- (b) 閣下須以正楷清晰地填妥投訴表格內各欄目，並提供正確無訛的資料。如此表格不敷應用，請將有關資料詳列於補充紙張，並隨投訴表格一併提交。  
You are required to fill in the various fields of the Complaint Form in a clear and legible manner and provide accurate and true information. Please use additional sheet(s) and attach it to this Form if the space is insufficient.
- (c) 請於投訴表格提供閣下的個人資料。凡匿名、或投訴人的身份不能識別、或投訴人的下落不能追查、或投訴表格尚未填妥的投訴，香港臨床心理學家公會概不受理。  
Please provide your personal particulars in the Complaint Form. Hong Kong Institute of Clinical Psychologists shall not deal with any complaint that is made anonymously, or when the complainant cannot be identified or traced, or if the form is not duly completed.
- (d) 閣下所提供的資料，將只用於處理投訴程序上。所有資料絕對保密。  
The information provided will only be used in the processing of the complaint. The information will be kept in strict confidence.
- (e) 根據《投訴香港臨床心理學家公會的處理程序》(文件編號: HKICP-ECI-PD-004-R0) 第8或9條的規定，閣下的投訴將呈交初級偵訊委員會或偵訊小組作初步考慮。  
In accordance with Section 8 or 9 of the Procedures for Handling of Complaints against Hong Kong Institute of Clinical Psychologists (document code: HKICP-ECI-PD-004-R0), your complaint will be submitted to Preliminary Investigation Committee or the Investigation Panel for initial consideration.
- (f) 如閣下對填寫此表格有任何問題或需要協助，請致電12345678 香港臨床心理學家公會辦事處。  
If you have any questions or need assistance in filling out this Form, please contact the office of Hong Kong Institute of Clinical Psychologists on 12345678.

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甲部: 投訴人資料

Part I: Particulars of Complainant

姓氏 (先生/小姐) \_\_\_\_\_ 名字 \_\_\_\_\_  
Surname (Mr./ Ms.) \_\_\_\_\_ Given Name \_\_\_\_\_

聯絡電話號碼 \_\_\_\_\_ 傳真號碼 (如有) \_\_\_\_\_  
Contact Phone No. \_\_\_\_\_ Fax. No. (if any) \_\_\_\_\_

電郵地址 (如有) \_\_\_\_\_  
Email Address (if any) \_\_\_\_\_

聯絡地址 Correspondence Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

乙部: 投訴內容

Part II: The Complaint

- 若閣下擬投訴香港臨床心理學家公會的職員或委員，請提供該職員或委員名字，以便跟進。  
If you complain about the conduct of a staff or a member of a committee/the Professional Council of HKICP, please provide the name of the staff or the member for our follow up.
- 閣下必須把投訴的內容分段填寫，並以數目字順序標示每一段落，每一段落應盡可能只包含一項投訴。若閣下 因將兩項或更多投訴事項放在同一段落之內，而引致香港臨床心理學家公會在處理該段投訴事項時有 任何遺漏，香港臨床心理學家公會概不負責。  
You must put down the content of the complaint in separate paragraphs and number the paragraphs consecutively. Each paragraph must so far as convenient contain one complaint only. Where there are two or more complaints incorporated in one single paragraph, Hong Kong Institute of Clinical Psychologists shall not be held responsible for any omission of dealing with more than one complaint in one paragraph.

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本人 現向香港臨床心理學家公會作出投訴，詳情如下：

I hereby lodge a complaint to Hong Kong Institute of Clinical Psychologists. Details of the complaint are as follows:

投訴事件發生的日期 (如適用) Date when the alleged incident being complained occurred, if applicable

投訴事件發生的地點(如適用) Place where the alleged incident being complained occurred, if applicable

主要投訴事項 Major issue(s) to complain

投訴事件的詳細始末 Details of the alleged incident being complained



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丙部：聲明及同意

Part III : Declaration and Consent

- 本人謹聲明上述資料正確無訛。  
I declare that the information provided by me in this form is true and correct to the best of my knowledge.
- 本人同意此投訴及所提供的資料，將交由香港臨床心理學家公會的初級偵訊委員會或偵訊小組審閱，並在適當的情況下，將用於所有相關之投訴處理及 / 或紀律處分程序上。  
I agree that this complaint and the supportive information provided would be examined by the Preliminary Investigation Committee or Investigation Panel of Hong Kong Institute of Clinical Psychologists and, where appropriate, would be used in all relevant complaint handling and/or disciplinary procedures.

\_\_\_\_\_  
投訴人姓名  
Name of Complainant

\_\_\_\_\_  
投訴人簽署  
Signature of Complainant

\_\_\_\_\_  
日期  
Date