



- 1. TITLE: GP REGISTRAR CONCERNS AND COMPLAINTS PROCEDURE**
- 1.1 Policy reference: GP Registrar Concerns and Complaints Policy (CO-A-002-05)
- 1.2 Category: Academic – Education
- 1.3 Approval date: July 2020
- 1.4 Approved by: Chief executive
- 1.5 Effective date: September 2020
- 1.6 Review/revision date: July 2021
- 1.7 Unit responsible: Learning team

## 2. Purpose

This procedure provides College-employed, practice-employed and self-funded registrars enrolled in the General Practice Education Programme (GPEP or the programme) with The Royal New Zealand College of General Practitioners (the College) and registrars entering the programme via a prior specialist training pathway to Fellowship with a clear process for raising and resolving concerns and complaints with the College about other general practice registrars, GPEP staff and College staff.

This procedure identifies specified processes for concerns and complaints, roles and responsibilities and defines the various steps and timeframes.

## 3. Definitions

### Concerns

A concern is generally a situation in which a registrar considers appropriate academic or professional standards directly related to their training programme have not been met or wishes to raise a query with the College about an issue or concern. The impact on the registrar has not been significant and it is likely a resolution can be met by direct, informal discussion with the parties involved.

### Complaints

A complaint is generally a situation in which a registrar seeks some form of redress or a change to a current situation directly related to their training programme. The impact and effect on the registrar has been significant and requires a formal process of resolution.

All other definitions are available in the College's Academic Regulatory Framework for Quality Assurance (CO-A-001-00).

## 4. Procedure

### 4.1 Concerns procedure

Step	Action	Team/person responsible	Evidence	Timeframes
1.	The policy and procedures for concerns, complaints and appeals are available to all general practice registrars.	Registrar team Learning team	College website College intranet	Ongoing – most recent version of documents published.
2.	The registrar raises their concern/s directly with the person/s concerned.  If the registrar feels unable to raise and/or resolve the issue with the person concerned, the registrar can raise the matter directly with the College.	Registrar	Correspondence with parties involved (if applicable)	Within thirty (30) working days of the alleged incident or situation occurring.
3.	If the concern relates directly to a College staff member, the registrar raises their concern/s to relevant College senior management.	Registrar Registrar team Head of learning (or delegate) Human Resources	Email, discussion notes	Within thirty (30) working days of the alleged incident or situation occurring.
4.	The appropriate person at the College acknowledges the concern/s and discusses it with the registrar.	Relevant College staff	Email acknowledgment Discussion notes	Within two (2) working days of the concern/s being raised.
5.	The College acts to address the concern, in consultation with the registrar and other person/s concerned.	Registrar team Other relevant College staff (if applicable)  Head of learning (or delegate)	Correspondence notes	Within ten (10) working days of the concern/s being raised.

Step	Action	Team/person responsible	Evidence	Timeframes
6.	<p>Either:</p> <p>All involved parties are in agreement that the concern has been resolved and no further action is required.</p> <p>Or:</p> <p>The registrar is not satisfied with the proposed resolution.</p> <p>The registrar will need to make a written formal complaint to the College by submitting a GP Registrar Complaint form.</p> <p>The formal complaints procedure will then apply.</p>	<p>Registrar</p> <p>Other relevant College staff</p> <p>Registrar</p>	<p>Meeting/ discussion notes</p> <p>Email or letter</p> <p>Written complaint on the College's Complaint form</p>	<p>Within twenty (20) working days of the concern/s being raised.</p> <p>Within five (5) working days of the registrar receiving the proposed resolution.</p>
7.	<p>Where relevant and appropriate, actions are taken by the College to make improvements in relation to the nature of the concern or complaint (e.g. to the training programme, support, advice, guidance).</p>	<p>Registrar team</p> <p>Head of learning (or delegate)</p> <p>Other relevant College staff</p>	<p>Actions and/or improvements made (if applicable)</p>	<p>As appropriate.</p>

## 4.2 Formal complaints procedure

Step	Action	Team/person responsible	Evidence	Timeframes
1.	The policy and procedures for concerns, complaints and appeals are available to all general practice registrars.	Registrar team Learning team	College website College intranet	Ongoing – most recent version of documents published.
2.	The registrar raises a complaint with the College.	Registrar	Email or phone call	Within thirty (30) working days of the alleged incident or situation occurring.
3.	The relevant College staff member acknowledges the complaint and contacts the registrar to have an initial discussion to: <ul style="list-style-type: none"> <li>&gt; establish the nature of the complaint to determine if it is a concern or a complaint</li> <li>&gt; explain the process for making a formal complaint with the College</li> <li>&gt; confirm if the registrar wishes to proceed with making a formal complaint.</li> </ul>	Relevant College staff member	Discussion notes	Within two (2) working days of the complaint being raised.
4.	The registrar submits a formal complaint form to the College. Sufficient detail must be provided to enable the College to investigate.	Registrar	Written complaint on the College's GP Registrar Complaint form	Within thirty (30) working days of the alleged incident or situation occurring.
5.	Once the formal complaint has been received, the complaint is acknowledged and recorded on the College database.	Registrar team	Email acknowledgment Entry into registrar's file in iMIS/Objective	Within two (2) working days of the complaint being received by the College.
6.	The complaint is investigated by the College. Additional information may be sought by the College and, if appropriate, a face-to-face or Zoom/telephone meeting may be requested with the registrar.	Registrar team Head of learning (or delegate) Other relevant College staff	Notes and minutes of meeting as appropriate Report of investigation	Within ten (10) working days of the complaint being received by the College.

Step	Action	Team/person responsible	Evidence	Timeframes
7.	If the complaint concerns potential misconduct by a College staff member, the Staff Discipline Procedure will apply.	Registrar team Head of learning Human Resources	Correspondence notes	Within ten (10) working days of the complaint being received by the College.
8.	The head of learning (or delegate) makes a decision based on all the evidence provided at the time and communicates the decision and outcome in writing to the registrar. This includes information about the process for lodging an appeal.	Head of learning (or delegate)	Formal letter to registrar, with information on the Appeals process.	Within twenty (20) working days of the complaint being received by the College.
9.	The outcome is recorded in the College database.	Head of learning (or delegate) Registrar team	Entry into registrar's file in iMIS/Objective	Immediately following the correspondence sent to the registrar.
10.	The outcome is communicated to the chief executive.	Head of learning (or delegate)	Written memo/ report	Within five (5) working days of the decision and outcome being communicated to the registrar.
11.	If the registrar chooses to appeal the final decision, the Appeals process applies	Registrar	Appeals process	Within ten (10) working days upon receipt of the College investigation outcome.

NOTE: All correspondence relating to concerns and complaints must be saved by the College in the registrar's file in iMIS/Objective

## **5. Related policies, documents and legislation**

- › Academic Regulatory Framework for Quality Assurance (CO-A-001-00)
- › Appeals Policy (CO-A-002-06)
- › GP Registrar Concerns and Complaints Policy (CO-A-002-05)
- › GP Registrar Complaints Form
- › Supporting Registrars Policy (CO-A-002-04)
- › Privacy Act 1993

## **6. Administrative procedures**

### **6.1 Promulgation of published procedure**

This procedure will be available via the College intranet and website.