

**Report To:** Inverclyde Integration Joint Board    **Date:** 12 September 2017

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Partnership (HSCP)    **Report No:** IJB/48/2017/HW

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**Subject:** HSCP ANNUAL COMPLAINT REPORT 2016 – 2017

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## **1.0 PURPOSE**

1.1 The purpose of this report is to advise the Integration Joint Board members of the annual performance of health and statutory social work complaints within Inverclyde Health and Social Care Partnership. The current statutory procedures are determined by the Scottish Government Guidance and Directions (SWSG5/1996) and health service procedures are determined by the policies of Greater Glasgow and Clyde NHS Board.

## **2.0 SUMMARY**

2.1 The annual report provides the following information:

- i. Performance Information
- ii. Analysis of complaints activity
- iii. Update of learning from complaints.

## **3.0 RECOMMENDATIONS**

3.1 It is recommended that IJB members note the annual performance of the Inverclyde HSCP Integrated Complaints Procedure and comment as required.

3.2 It is recommended that IJB members note this report alongside the new IJB Complaint Handling Procedures Report

**Louise Long**  
Corporate Director, (Chief Officer)  
Inverclyde HSCP

## 4.0 BACKGROUND

- 4.1 The purpose of this report is to inform the Inverclyde Integration Joint Board (the IJB) of the annual performance of the NHS and Statutory Social Work complaints procedures. This procedure is operational until April 2017.
- 4.2 The Inverclyde Integrated Complaints Procedure supports the Scottish Government's Policy of Health and Social Care Integration and its Public Bodies (Joint Working) (Scotland) Regulations 2014 in respect of the integration of Health and Social Care complaint handling processes. This document aligns the requirements of the NHS Patients' Rights (Scotland) Act 2011 (Health Complaints); the NHS Greater Glasgow & Clyde Complaints Policy, and the Statutory Social Work (Representation and Procedures) (Scotland) Directions 1996 (SI 1990/2519) hereafter referred to as Social Work Complaints. It applies to all services managed by the HSCP.
- 4.3 The Quality & Development Service has the lead responsibility for managing, co-ordinating and recording complaints across the HSCP.
- 4.4 Independent Health and Social Care Services have their own complaint procedures but are required to report information to the HSCP.
- 4.5 The report contains:
- Annual Performance of Frontline Resolution & Investigated Complaints
  - Analysis of complaints
  - Learning from Complaints, Compliments, Comments and Thanks.

## 5.0 IMPLICATIONS

### FINANCE

#### 5.1 Financial Implications:

There are no financial implications within this report.

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (If Applicable)	Other Comments

### LEGAL

- 5.2 There are no legal issues within this report.

### HUMAN RESOURCES

5.3 There are no human resources issues within this report.

### **EQUALITIES**

5.4 There are no equality issues within this report.

Has an Equality Impact Assessment been carried out?

NO	This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.
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5.4.1 How does this report address our Equality Outcomes.

- a) People, including individuals from the above protected characteristic groups, can access HSCP services.

The Inverclyde HSCP joint complaint procedures are available on the Inverclyde HSCP website. This procedure will be made available in alternative formats on request and will be circulated and cascaded to service users and carer groups and localities via social media, advisory networks and partner organisations. Complaints do not have to be made in writing and complainants can be supported by the local Advocacy service to formulate their complaint.

- b) Discrimination faced by people covered by the protected characteristics across HSCP services is reduced if not eliminated.  
The complaints procedure is objective and consistently applied, therefore fair and equalities-promoting.
- c) People with protected characteristics feel safe within their communities.  
Not applicable to this report
- d) People with protected characteristics feel included in the planning and developing of services.  
Not applicable to this report
- e) HSCP staff understand the needs of people with different protected characteristic and promote diversity in the work that they do.  
Not applicable to this report
- f) Opportunities to support Learning Disability service users experiencing gender based violence are maximised.  
Not applicable to this report
- g) Positive attitudes towards the resettled refugee community in Inverclyde are promoted.  
Not applicable to this report

### **CLINICAL OR CARE GOVERNANCE IMPLICATIONS**

5.5 Complaints are regularly reviewed by the Clinical and Care Governance Executive Group to identify any systemic issues or learning from complaints.

### **5.6 NATIONAL WELLBEING OUTCOMES**

How does this report support delivery of the National Wellbeing Outcomes?

- a) People are able to look after and improve their own health and wellbeing and live in good health for longer.  
Not applicable to this report

- b) People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.

Not applicable to this report

- c) People who use health and social care services have positive experiences of those services, and have their dignity respected.

We use complaints as a valuable feedback tool to review and improve service standards

The implementation of the complaint procedure provides service users, carers and members of the public with a clear and robust mechanism to express their views and dissatisfaction if they are unhappy with the service they receive

- d) Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.

Not applicable to this report

- e) Health and social care services contribute to reducing health inequalities.

Not applicable to this report

- f) People who provide unpaid care are supported to look after their own health and wellbeing, including reducing any negative impact of their caring role on their own health and wellbeing.

Not applicable to this report

- g) People using health and social care services are safe from harm.

Not applicable to this report

- h) People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.

We use complaints as a valuable feedback tool to review and improve service standards

## **6.0 CONSULTATION**

- 6.1 This report has been prepared by the Chief Officer, Inverclyde Health and Social Care Partnership (HSCP) in conjunction with the Quality and Development Team.

**Inverclyde Health and Social Care Partnership  
Annual Complaints Report 2016 – 2017**

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# 1. Introduction

## 1.1 Background

Inverclyde Health and Social Care Partnership (IHSCP) is a fully integrated partnership incorporating functions and services from Inverclyde Council and NHS Greater Glasgow and Clyde Health Board, to meet the requirements of the Public Bodies (Joint Working) (Scotland) Act 2014. This brings together community and primary healthcare, social work and social care adult services. Inverclyde HSCP goes beyond the minimum requirements of the Act, in that it includes Children & Families and Criminal Justice Services.

Our vision - Improving Lives - is underpinned by the values that:

- We put people first;
- We work better together;
- We strive to do better;
- We are accountable.

Inverclyde Health and Social Care Partnership has approximately 2000 members of staff employed by both NHS Greater Glasgow and Clyde Health Board and Inverclyde Council, to serve a population of 79,160.

Within Inverclyde Health and Social Care Partnership our staff strive to work in partnership with individual service users, carers, patients and the local community to ensure that services are user led and co-produced. To support this there are a number of involvement opportunities at individual, strategic and service level across Inverclyde to bring about change and continuous improvement.

Complaints form a valuable part of this continuum of engagement with service users, carers and other members of the community affected by the HSCP. They provide a vital source of management information to analyse a situation or service provision to pinpoint any recurring, underlying or potential problems. They can support the organisation and services to identify areas for improvement.

## 1.2 Current Procedures

The Quality and Development Service manages, co-ordinates and records complaint activity across the HSCP, including contracted services. A key aspect is to focus on the learning from complaints and feedback and to support frontline services in achieving this.

Although there are slight differences between health and social work complaints, the HSCP Integrated Model Complaints Handling Procedure 2015 – 2016 was adopted to provide a quick, simple, streamlined process with a strong focus on local, early resolution. This enables issues or concerns dealt with close to the event which gave rise to making the complaint.

As far as possible the complainant should be actively and positively engaged with the process from the outset.

The procedure incorporates health and social work requirements for model complaint handling.

**Frontline Resolution:** Frontline resolution should be attempted where there are straightforward issues, potentially easily resolved with little or no investigation. This should be completed within 5 working days.

**Investigation Stage:** Where complaints cannot be resolved at the frontline stage, or those which are complex, serious or high risk, a thorough investigation will be undertaken. This typically requires more thorough examination in order to establish facts prior to reaching a conclusion. This should be completed within 20 working days.

**Independent Social Work Complaints Review Committee:** This is an additional statutory review process for social work complaints only. It comprises a formal review of social work practice by independent reviewers. This is overseen by Elected Members of the Health and Social Care Committee.

**Scottish Public Service Ombudsman:** NHS appeals of complaints outcomes are reviewed by the SPSO. Currently maladministration of Social Work complaints can be investigated by the SPSO.

This procedure is operational until 31 March 2017. New guidance issued by the SPSO requires updated complaints procedures to be operational for health complaints, social work complaints and for the Integration Joint Board function from 01 April 2017 onwards.

### **1.3 Governance Arrangements**

Governance arrangements are in place to report and analyse complaints within the HSCP as follows:

- Heads of Service Meetings;
- HSCP Management Team Meetings;
- Clinical and Care Governance;
- Quarterly Service Reviews.

There are also reporting systems within our partner organisations NHS Greater Glasgow and Clyde Health Board and Inverclyde Council which the Inverclyde HSCP contributes to.

Health and social work complaints are logged in two systems – datix for health complaints and lagan for social work complaints. This is supported by a central point of contact for recording, administering and reporting the process.



## 2. Summary of Performance

### 2.1 Number of Complaints

In the reporting period 01 April 2016 – 31 March 2017 Inverclyde HSCP received a total of **67** complaints between NHS and Social Work services. **60** relate to social services and **7** relate to NHS services. **4** were logged but later removed from the complaints procedure, **3** were addressed through other appropriate avenues and **1** was withdrawn as a third party complainant was unable to provide sufficient information to progress the complaint.

Therefore **63** complaints were investigated in line with the complaints procedure. This is a slight drop from 66 received in the previous year.

**31** complaints were resolved as Stage 1 - frontline resolutions and **32** required Stage 2 - full investigation.

The **7** NHS complaints received all required full investigation.

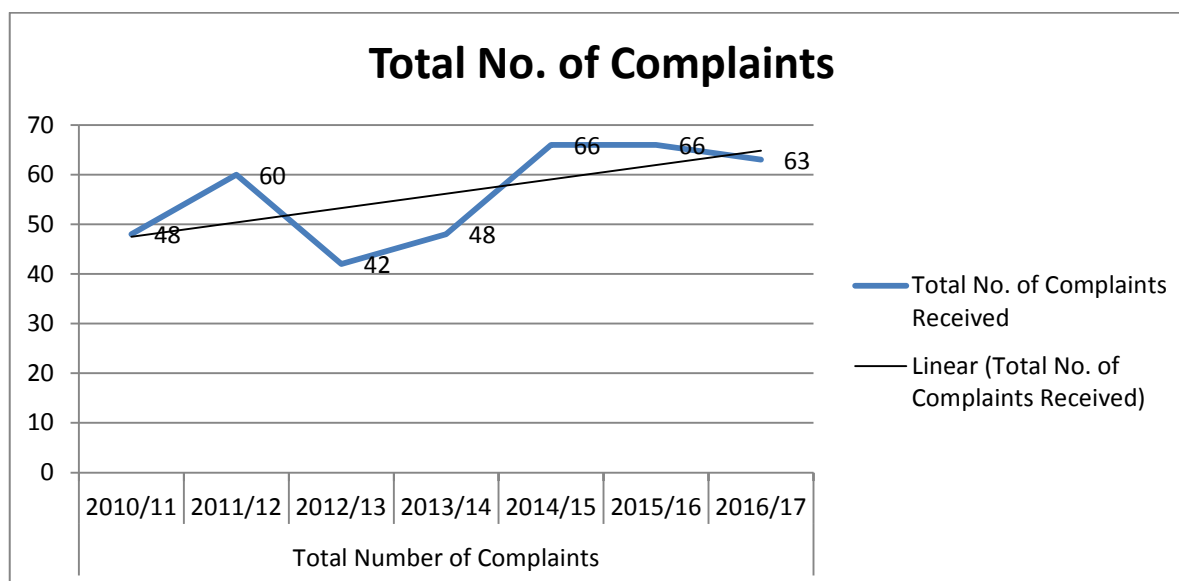
A total of **56** complaints were received in respect of social work services.

	Number of Frontline Resolution 2016/17	Number of Investigated Complaints 2016/17	Number of Frontline Resolution 2015/16	Number of Investigated Complaints 2015/16
<b>Social Work</b>	31	25	22	36
<b>NHS</b>	0	7	0	8
<b>Total</b>	<b>31</b>	<b>32</b>	<b>22</b>	<b>44</b>

For the first time, the number of SW complaints resolved as frontline resolution (**31**) exceeds the number of complaints requiring be investigated (**25**).

This reflects the lower level of seriousness of the majority of complaints and suggests that most customers were satisfied with the way their complaint was dealt with at first point of contact, which did not result in any further investigation or appeal.

## 2.2 Complaint Trends



## 2.3 Timescales

Whilst it is to be commended that services are proactive in receiving and dealing with complaints at source, this has on occasion resulted in missed timescales for acknowledging.

In addition, the challenge remains for Investigating Officers to undertake a full investigation, draft a response and send timeously for Head of Service overview and sign off prior to the 20 day deadline response.

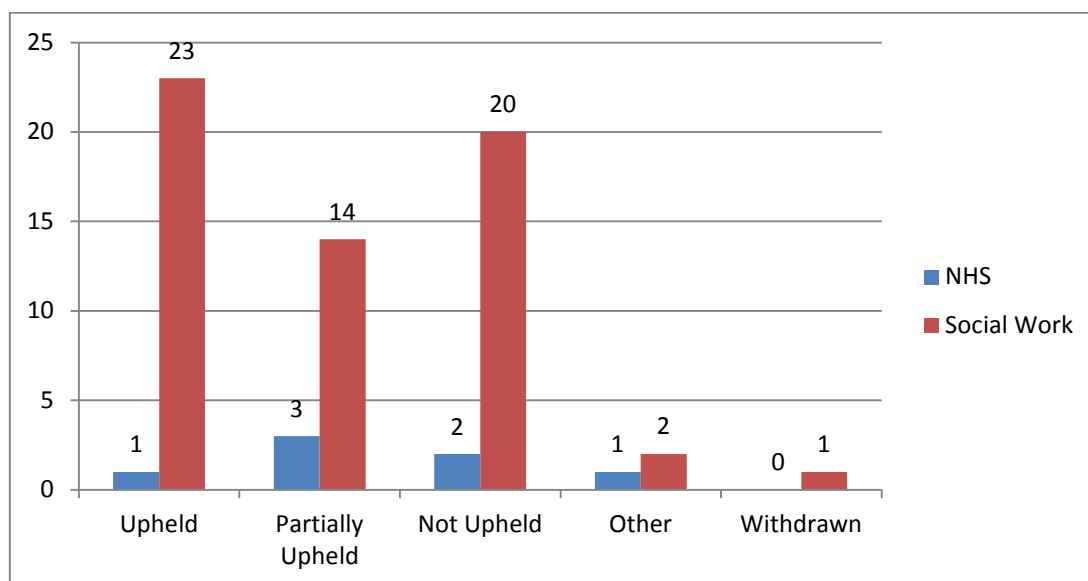
From the outset, when a complaint is logged centrally, Investigating Officers are advised of the required date for completion. Additional reminders are in place to support timeous completion prior to senior authorisation.

		2016/17		2015/16	
		Timescale Met	Timescale Not Met	Timescale Met	Timescale Not Met
Social Work	Stage 2 - Investigated Complaints Acknowledged within Timescale	23	1	36	0
	Stage 2 - Investigated Complaints Completed within Timescale	15	10	23	13

	Stage 1 - FLR Complaints Acknowledged within Timescale	31	0	18	4
	Stage 1 - FLR Complaints Completed within Timescale	30	1	16	6
NHS	Complaints Acknowledged within Timescale	6	1	8	0
	Complaints Completed within Timescale	7	0	7	1

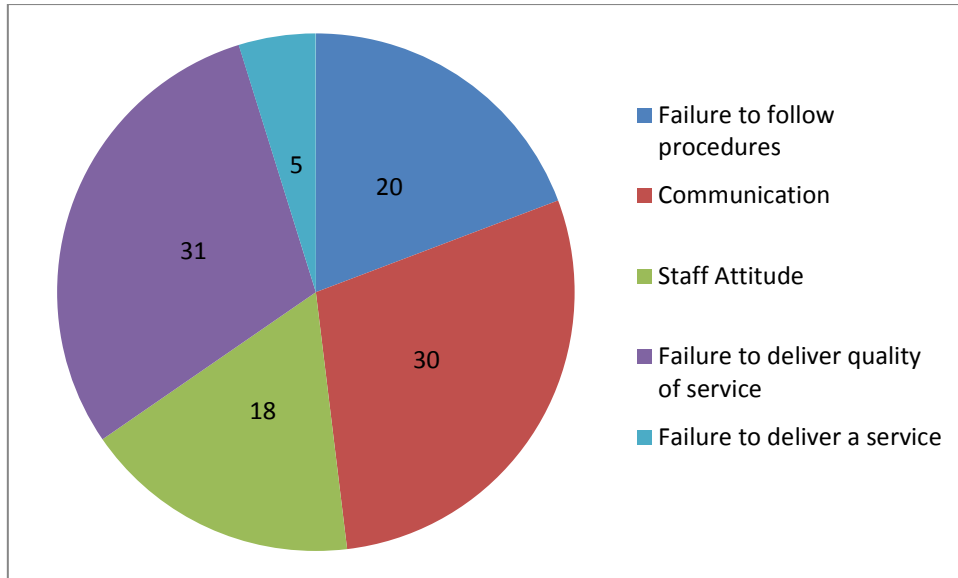
## 2.4 Complaint Outcomes

Of the **63** complaints investigated, **24** (38%) were fully upheld, **17** (27%) were partially upheld and **22** (35%) were not upheld.



## 2.5 Complaint Themes

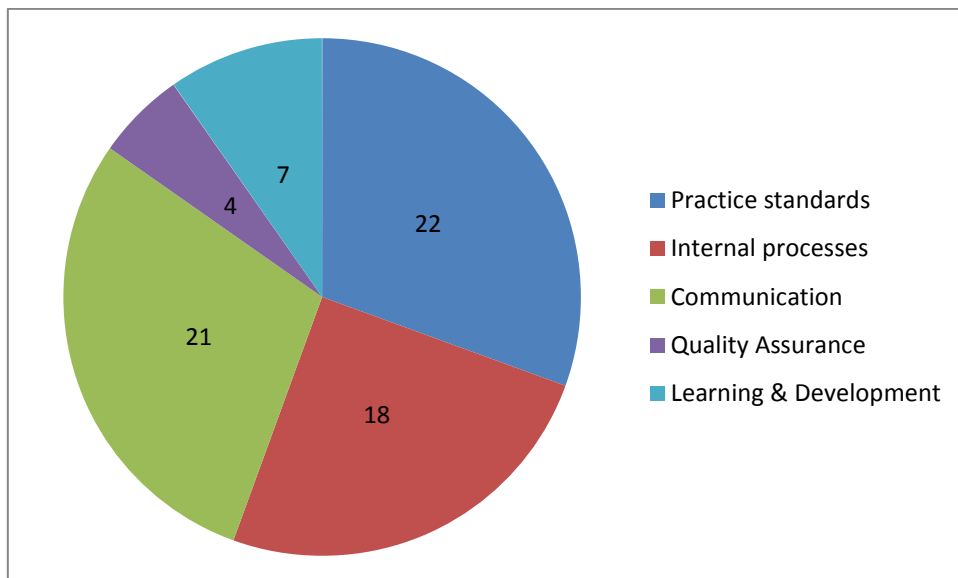
The **41** complaints which were upheld or partially upheld were examined for key themes. The complexity of some situations results in a number of complaints which are multifaceted in their presentation.



## 2.6 Learning from Complaints

Inverclyde HSCP is committed to reflecting on occasions when we may not get it right in order to highlight opportunities for improvement. As such where a complaint has been upheld or partially upheld, the service should determine what actions are required to support continuous improvement.

Of the **41** complaints which were upheld or partially upheld, **38** identified areas for improvement in the final outcome letter. Some recommendations were made immediately and it is reassuring that services have identified their own areas for improvement. There are multiple improvement themes identified across the complaint outcomes.



Responses to address issues include:

- update assessments and/or court reports to accurately reflect the complainants situation;

- provide additional briefings to support staff completing home leave reports;
- provide additional support to staff to consistently apply assessment and financial procedures;
- implementation of service audits;
- develop ongoing relationship with service user and/or carer to facilitate improved communication;
- improve practice and communication through staff supervision and team meetings.

## **2.7 Appeals**

Following a stage 2 investigation and written response, if a complainant remains dissatisfied with the outcome they have the right to appeal that decision.

For Social Work complaints, under the Statutory Complaint Procedure for Social Work Services the appeal process is firstly via the Independent Social Work Complaints Review Committee (CRC). Thereafter the Scottish Public Service Ombudsman (SPSO) can only review administration of the procedure for social work complaints.

For NHS complaints the appeal process for all aspects of the complaints, is directly to the SPSO.

### ***2.7.1 Social Work Complaint Review Committee***

Two complaints were submitted for review by the Complaints Review Committee. Complaint one relates to Mental Health Services. A number of complex issues were raised by the complainant. No elements of the complaint were upheld and the Complaint Review Committee agreed with this outcome.

Complaint two related to Health and Community Care Services. There were a number of complex elements were reviewed. Areas for improvement were already identified with the service and an action plan for improvement had been established. This was accepted by the Complaint Review Committee.

Both decisions have been ratified by the Health and Social Care Committee.

A third appeal completed by the CRC is carried forward to the next reporting period as it is yet to be concluded.

### ***2.7.2 SPSO Review***

The ombudsman reviewed two cases relating to Inverclyde HSCP. Both had been carried forward from the 2015/2016 reporting period.

The first complaint related to social work, previously reviewed and not upheld by the Independent Social Work Complaint Review Committee. The SPSO was unable to review professional social work practice.

The second complaint related to health service care. The SPSO did not uphold any elements relating to professional practice. Two recommendations were made by the

SPSO in their report about the administration of the complaint procedure, namely accepting a verbal complaint and ensuring timescales for completion are met.

New procedures, guidance and training had already taken place prior to the SPSO recommendations. Additional briefings were delivered to the service to support staff in implementing the procedure.

### **3. Future Developments**

#### **3.1 Social Work Complaints Procedure**

The Public Services Reform (Social Work Complaints Procedure) (Scotland) Order 2016 abolishes the existing social work complaints review committee. From 01 April 2017 it falls to the jurisdiction of the SPSO to undertake the review procedure for social work complaints, including the professional judgement of Social Work practice. This falls into line with other public bodies including health and local authority complaints. It also allows for the sharing of information between the SPSO, Care Inspectorate and the Scottish Social Services Council when appropriate.

To support additional learning from complaints, information is required to be publicised on a quarterly basis.

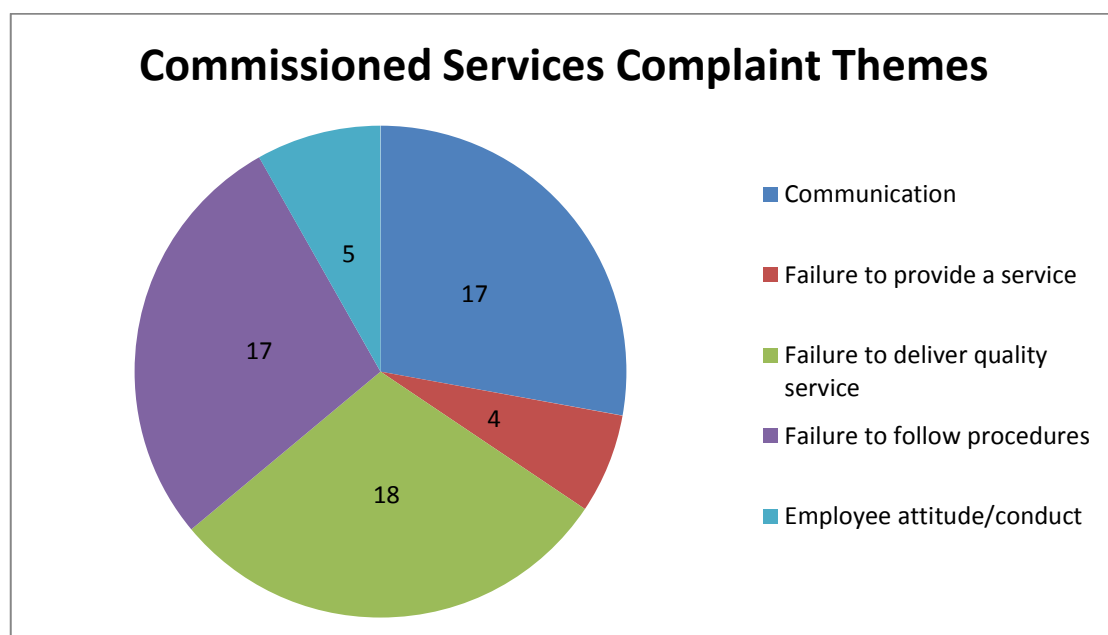
## 4. Contracted and Commissioned Services Complaints

### 4.1 Commissioned Services Complaints

The HSCP contracts with **130** external care providers who deliver services ranging from Care and Support at Home to Care Homes that meet a range of needs (including Older People; Learning Disability); Supported Accommodation (such as Sheltered Housing and group living accommodation), and some therapeutic services. **16** different services reported receiving complaints which were held or partially upheld in the reporting period.

Outcome	2016/17		2015/16	
	Number	%	Number	%
Upheld	32	55%	11	37%
Partially Upheld	6	10%	3	10%
Not Upheld	20	35%	14	47%
Withdrawn	0	0%	2	6%
Ongoing	0	0%	0	0%
Total	58	100%	30	100%

Of the **38** upheld and partially upheld complaints, a number identify multiple themes around a single complaint. This is especially focused around services fail to deliver a quality service or correctly follow their own procedures. There is often a lack of timeous communication, compounding the problem and acts as a catalyst which compounds the trigger the complaint.



## 4.2 NHS GG&C Contracted Health Services

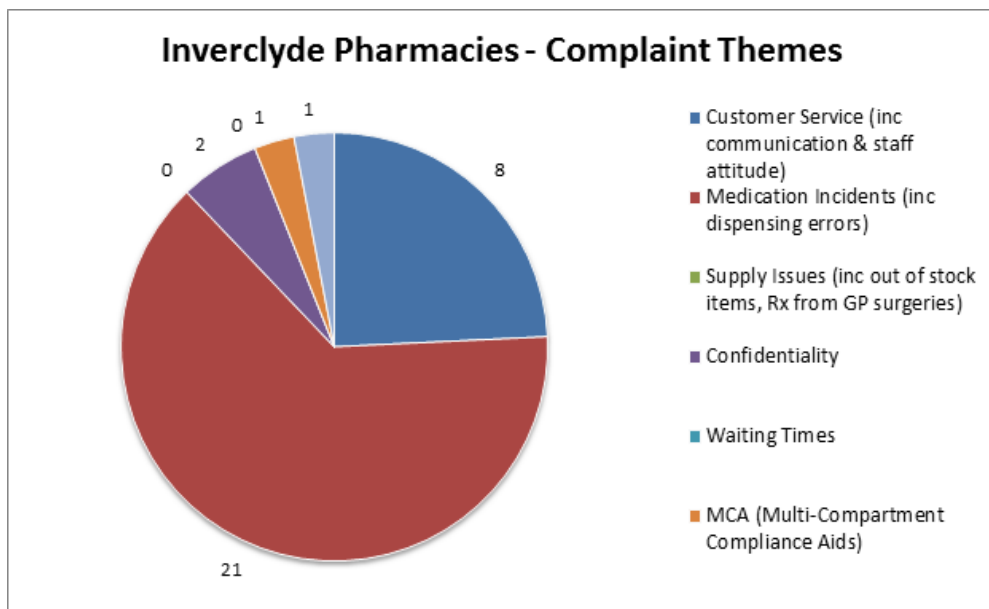
Independent providers such as Pharmacists, Optometrists and Dental Practitioners are contracted to deliver community health services on behalf of the NHS.

Independent Contractors have their own processes for responding to complaints and undertaking service improvements in response.

There were no complaints on record from Dental Practitioners.

1 complaint was made about Optometry which was not upheld.

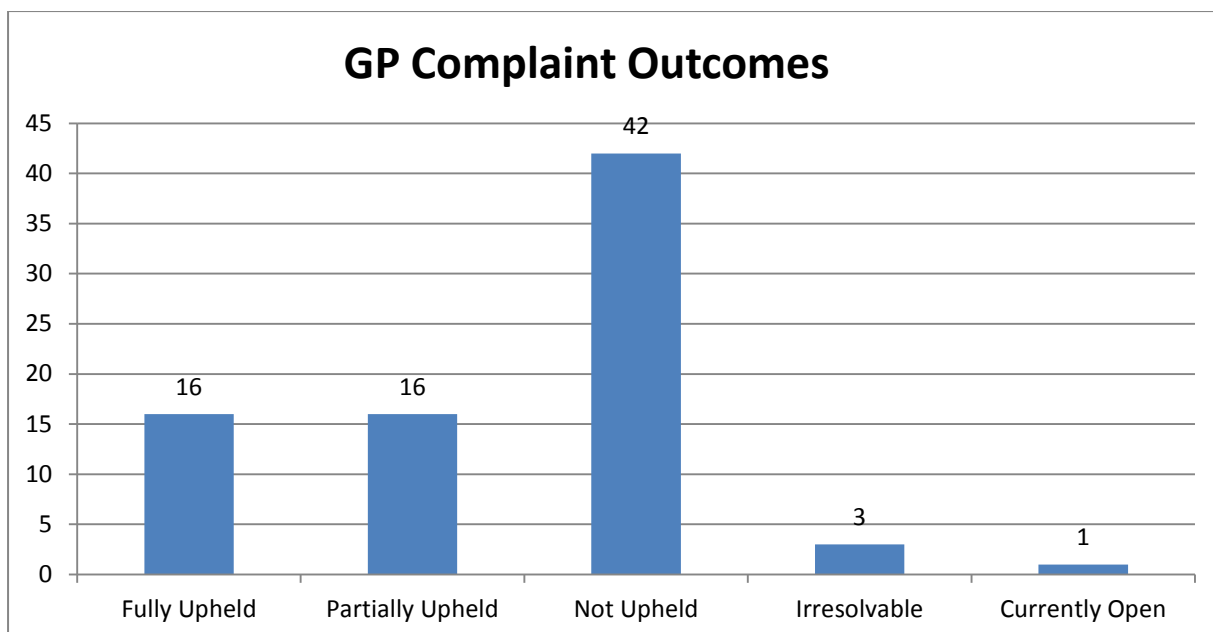
Community Pharmacy recorded 33 complaints in the reporting year. 32 were fully upheld and 1 was not upheld.



## 4.3 GP Practices

There were 78 complaints received by the 16 GP practices within Inverclyde during the reporting period 2016/17.





## 5. Positive Feedback

### Compliments

A significant number of services across Inverclyde HSCP receive positive feedback. There is no central logging point to record quantitative information across the HSCP. However there is a recognition that the quality of service provided across all areas of the HSCP is appreciated. Here is a small selection of the feedback.

*“Thank you for your help and understanding in filling in the forms for Personal Independent Payment. We attended for interview and have now received notification of the award. We are very happy to have received a letter confirming an enhanced rate of daily living and mobility component. The previous allowance was the middle rate for care and lower for mobility. Thanks again for your help in this matter”.*

*“Just a wee note to say I could not have done any of that without you. I am so grateful for all your help”.*

*“I would very much like to thank you for coming to our assistance. Your input was exactly what we required. I think we would be floundering without your guidance. Again many thanks for your help and patience which were very much appreciated”.*

*“To all the carers. Thank you all for your help and professional care”.*

*“Thank you all for the kindness and help. The office staff and carers have all been so helpful and kind and I never once missed a visit. It must take some organising. All the carers were great – supportive and understanding and giving tips on easier ways for me to do things”.*

*“Thank you for your care and compassion you all showed to me. I am doing great”.*

*“Just to say thank you to all who helped and supported our dad over recent months. At times, knowing you were there to care and speak to helped us along the way”.*

*“Just to show our appreciation for your input and all you have put in place. I know it’s your job but it’s such a relief to us to get the ball rolling”.*

*“Thanks for letting me know they’re away safely. I appreciate the effort you’ve made. I will let you know they arrive safely. I cannot thank you enough for the terrific effort you have put in to get us this far”.*

*“Just a wee card to say a big massive thank you for your help in getting the finances sorted. You are a fantastic listener and consistently resolved so many issues, all I can say is you are fantastic”.*

*“I would just like to thank you for the care and support you have given to my dad and to me. Everything has fallen into place and you knew exactly what was required to support my dad when he came home. Thank you so much”.*

*“Received my PIP. Thanks for all your help, I really appreciated it. Keep up the good work.*

## **6. Conclusion**

Inverclyde HSCP is committed to investigating, learning from, and taking action as a result of individual complaints where it is found that standards have fallen below the level we expect and where services could be improved. By listening to the views of service users and carers who make a complaint, we can improve our services.

It is reassuring that the complaint numbers are fairly stable, at the same time more services have identified areas for improvement as a result.

Going forward additional reporting requirements from the SPSO requires complaint information to be published on a quarterly basis which will support the focus on learning across the HSCP.

Equally, we can be confident that the increased number of complaints resolved by frontline services and the positive feedback received regarding the care and support is reassuring as we seek to deliver positive outcomes to the people of Inverclyde.