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| Report To: | Health & Social Care Committee | Date: | 11 October 2018 |
| Report By: | Louise Long Corporate Director, (Chief Officer) Inverclyde HSCP | Report No: | SW/42/2018/HW |
| Contact Officer: | Helen Watson Head of Service Strategic and Support Services | Contact No: | 01475 715285 |
| Subject: | HSCP ANNUAL COMPLAINT REPORT 2017 – 2018 | | |

1.0 PURPOSE

- 1.1 The purpose of this report is to advise the Health & Social Care Committee of the annual performance of health and statutory social work complaints within Inverclyde Health and Social Care Partnership.

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 the Committee notes the annual performance of the Inverclyde HSCP Integrated Complaints Procedure and comments as required.

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

4.0 BACKGROUND

- 4.1 The purpose of this report is to inform the Health and Social Care Committee of the annual performance of the NHS and Statutory Social Work complaints procedures.
- 4.2 Independent Health and Social Care Services have their own complaint procedures but are required to report information to the HSCP.
- 4.3 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:

| Cost Centre | Budget Heading | Budget Years | Proposed Spend this Report £000 | Virement From | Other Comments |
|-------------|----------------|--------------|---------------------------------|---------------|----------------|
| N/A | | | | | |

Annually Recurring Costs/ (Savings)

| Cost Centre | Budget Heading | With Effect from | Annual Net Impact £000 | Virement From (if Applicable) | Other Comments |
|-------------|----------------|------------------|------------------------|-------------------------------|----------------|
| N/A | | | | | |

Legal

5.2 No implications

Human Resources

5.3 No implications

Equalities

5.4 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. |
|--|---|

Repopulation

5.5 No implications

6.0 CONSULTATIONS

6.1 None

7.0 LIST OF BACKGROUND PAPERS

7.1 HSCP Complaints Annual Report – Appendix 1



APPENDIX 1

Inverclyde Health and Social Care Partnership Annual Complaints Report 2017 – 2018

CONTENTS

| ITEM | HEADING | PAGE |
|----------|--|-----------|
| 1 | Introduction | 3 |
| 1.1 | Background | 3 |
| 1.2 | Current Procedures | 3 |
| 1.3 | Governance Arrangements | 4 |
| 2 | Summary of Performance | 5 |
| 2.1 | Number of Complaints | 5 |
| 2.2 | Complaint Trends | 6 |
| 2.3 | Timescales | 6 |
| 2.4 | Complaint Outcomes | 8 |
| 2.5 | Complaint Themes | 8 |
| 2.6 | Learning from Complaints | 8 |
| 2.7 | Appeals | 9 |
| 3 | Future Developments | 10 |
| 3.1 | Social Work Complaints Procedure | 10 |
| 4 | Contracted and Commissioned Services Complaints | 11 |
| 4.1 | NHS GG&C Contracted Health Services | 11 |
| 4.2 | GP Practices | 11 |
| 5 | Positive Feedback | 12 |
| 6 | Conclusion | 13 |

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 too.

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 2,000 members of staff employed by either NHS Greater Glasgow and Clyde Health Board or Inverclyde Council to serve a population of 79,160 people.

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 shaped in collaboration with the people who use them. 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 HSCP co-ordinates and records complaints, including any complaints about services that we contract from other providers.

Although there are slight differences between health and social work complaints, the HSCP Integrated Model Complaints Handling Procedure 2017 was updated 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.

Scottish Public Service Ombudsman: Appeals of complaints outcomes are reviewed by the SPSO.

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 2017 – 31 March 2018 Inverclyde HSCP received a total of **80** complaints about NHS and Social Work services. **59** related to social care services and **21** related to NHS services. **4** were logged but later removed from the complaints procedure, and **2** were addressed through other appropriate avenues.

Therefore **74** complaints were investigated in line with the complaints procedure. This is a slight increase from 63 investigated in the previous year.

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

| | Number of Frontline Resolution 2017/18 | Number of Investigated Complaints 2017/18 | Number of Frontline Resolution 2016/17 | Number of Investigated Complaints 2016/17 |
|--------------|--|---|--|---|
| Social Work | 33 | 26 | 31 | 25 |
| NHS | 15 | 6 | 0 | 7 |
| Total | 48 | 32 | 31 | 32 |

Figure 1: Total number of complaints for 2017/18, compared to 2016/17.

For the first time, the number of NHS complaints resolved as frontline resolution (**15**) exceeds the number of complaints requiring investigation (**6**).

This reflects a more responsive approach to customer service, with early resolution being the preferred position of most complainants. 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

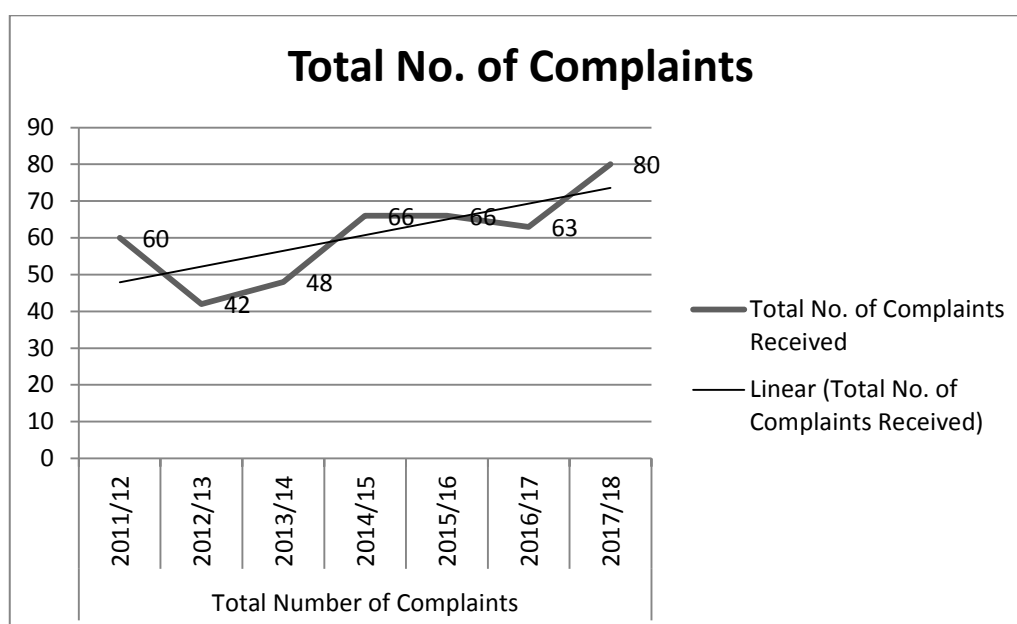


Figure 2: Total number of complaints for 2017/18, compared to 2016/17.

Figure 2 shows the number of complaints for each year, going back to 2011/12. Although the trend is upwards, we believe this is due to better recording practice and customers being actively encouraged to submit a complaint if they are not satisfied with the service they have received. We are also encouraged that the overall number of complaints is low, in the context of the hundreds of thousands transactions that take place between HSCP staff and the people that we serve.

2.3 Timescales

We aim to resolve complaints quickly and close to where we provided the service. Where appropriate, this could mean an on-the-spot apology and explanation if something has clearly gone wrong and immediate action to resolve the problem.

Sometimes we will have to make some enquiries before we can respond to complaints. If we cannot resolve the complaint at this stage, we will explain why and move to stage two.

Stage two deals with two types of complaint: those that have not been resolved at Stage one and those that are complex and require detailed investigation.

When using Stage two we will:

- acknowledge receipt of your complaint within three working days;
- where appropriate, discuss your complaint with you to understand why you remain dissatisfied and what outcome you are looking for; and

- give you a full response to the complaint as soon as possible and within 20 working days.

If our investigation is likely to take longer than 20 working days, we will agree revised time limits with you and keep you updated on progress.

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 acknowledgement (see figure 3 below).

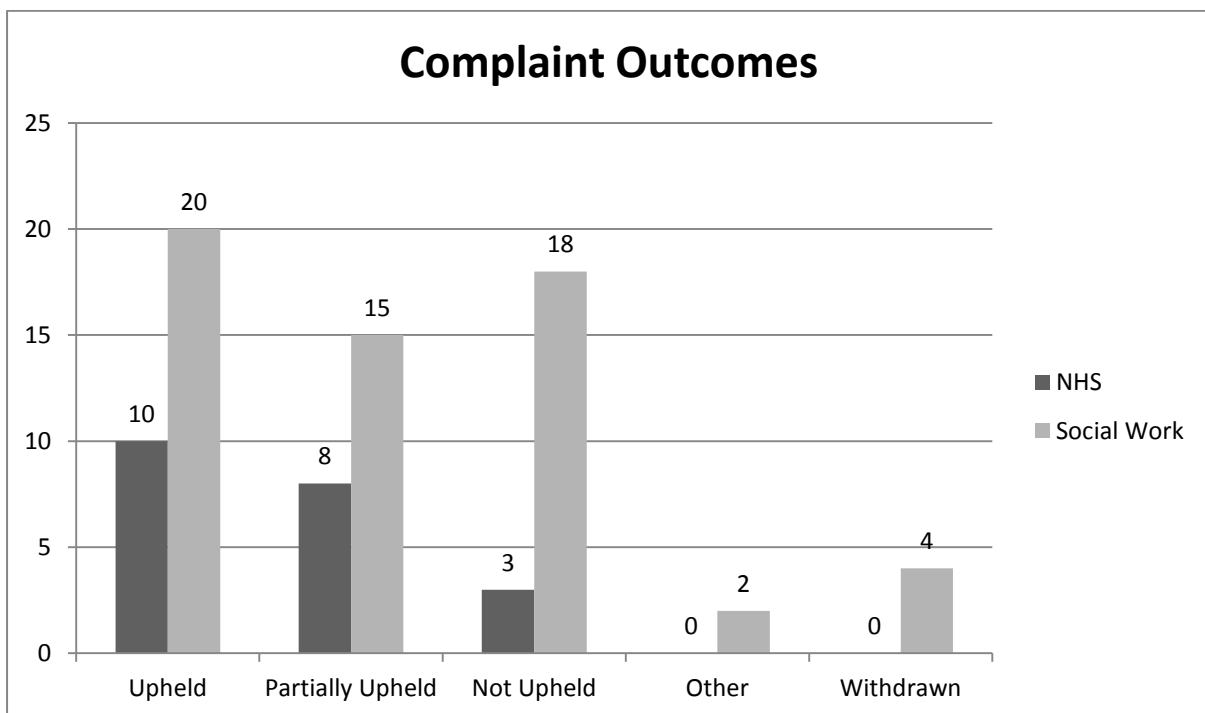
From the outset, when a complaint is logged centrally, Investigating Officers are advised of the required date for completion. Additional reminders are in place to support timely completion.

| | | 2017/18 | | 2016/17 | |
|-------------|---|---------------|-------------------|---------------|-------------------|
| | | Timescale Met | Timescale Not Met | Timescale Met | Timescale Not Met |
| Social Work | Stage 2 - Investigated Complaints Acknowledged within Timescale | 28 | 0 | 23 | 1 |
| | Stage 2 - Investigated Complaints Completed within Timescale | 23 | 5 | 15 | 10 |
| | Stage 1 - FLR Complaints Acknowledged within Timescale | 25 | 0 | 31 | 0 |
| | Stage 1 - FLR Complaints Completed within Timescale | 22 | 3 | 30 | 1 |
| NHS | Stage 2 - Investigated Complaints Acknowledged within Timescale | 6 | 0 | 6 | 1 |
| | Stage 2 - | 5 | 1 | 7 | 0 |

| | | | | | |
|--|--|----|---|---|---|
| | Investigated Complaints Completed within Timescale | | | | |
| | Stage 1 - FLR Complaints Acknowledged within Timescale | 15 | 0 | 0 | 0 |
| | Stage 1 - FLR Complaints Completed within Timescale | 15 | 0 | 0 | 0 |

2.4 Complaint Outcomes

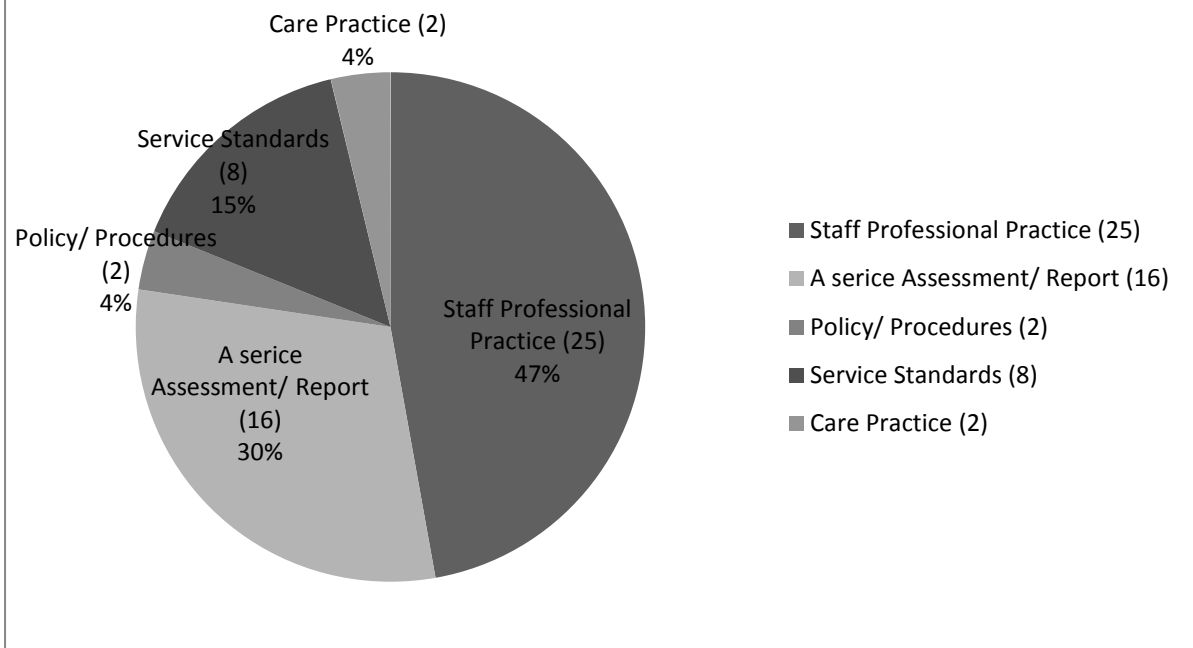
Of the **74** complaints, **30** (41%) were fully upheld, **23** (31%) were partially upheld and **21** (28%) were not upheld.



2.5 Complaint Themes

The **53** 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.

HSCP Complaint Themes - Upheld & Partially Upheld



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 determines what actions are required to support continuous improvement and prevent a repeat of the circumstances that led to the complaint.

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 with the Scottish Public Services Ombudsman (SPSO).

2.7.1 SPSO Review

The ombudsman reviewed one case relating to Inverclyde HSCP.

The complaint related to NHS services for the period 2015/16, and resulted in a Serious Clinical Incident review which in turn informed the complaint outcome in relation to the points raised. Following review, in February 2018 the SPSO upheld the complaint and highlighted 4 improvement recommendations for the HSCP.

Improvement recommendations where:

| Complaint number | What we found | What the organisation should do | Evidence SPSO needs to check that this has happened and the deadline |
|------------------|--|--|---|
| 2 | The complaint was not dealt with in accordance with IHSCP procedures. | <p>Apologise to you for failing to deal with your complaint in a timely manner in accordance with stated procedures.</p> <p>The apology should meet the standards set out in the SPSO guidelines on apology available at https://www.spsso.org.uk/leaflets-and-guidance</p> | <p>A copy or record of the apology made.</p> <p>By: 14 March 2018</p> |
| 1 | There was no evidence that a comprehensive history or a comprehensive mental state assessment had been done. | The quality of medical note-taking should be improved. | <p>Evidence that Medical staff involved in this case have been reminded of their obligation to complete notes in accordance with General Medical Council</p> <p>By: 14 March 2018</p> |
| 1 | There was no evidence of planned, structured nursing engagement with the patient. | Nursing staff must ensure that there is a daily, structured engagement with patients, and that there is a record made of this engagement. | <p>Evidence that nursing staff are reminded of their obligation to engage daily with patients in a structured way and that they record such engagement.</p> <p>By: 14 March 2018</p> |

| | | | |
|---|---|---|--|
| 2 | The complaint was not dealt with in accordance with IHSCP procedures. | Complaints are responded to in accordance with IHSCP stated procedures. | Evidence that this case has been used as a learning tool for relevant staff to ensure that the stated complaints procedure is adhered to. By: 14 May 2018 |
|---|---|---|--|

Evidence was then submitted to SPSO in relation to addressing these.

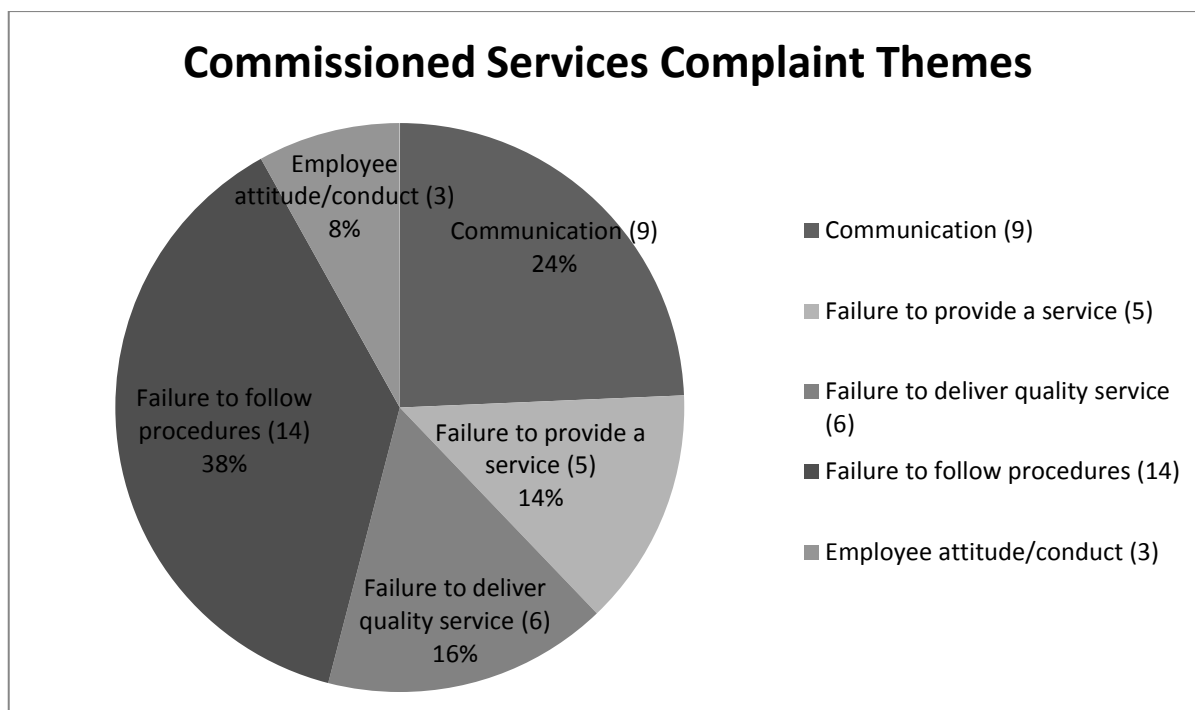
3 Contracted and Commissioned Services Complaints

3.1 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. **20** different services reported receiving complaints which were upheld or partially upheld in the reporting period.

| Outcome | 2017/18 | | 2016/17 | |
|------------------|---------|------|---------|------|
| | Number | % | Number | % |
| Upheld | 18 | 49% | 32 | 55% |
| Partially Upheld | 9 | 24% | 6 | 10% |
| Not Upheld | 10 | 27% | 20 | 35% |
| Withdrawn | 0 | 0% | 0 | 0% |
| Ongoing | 0 | 0% | 0 | 0% |
| Total | 37 | 100% | 58 | 100% |

Of the **37** complaints, a number identify multiple themes around services failure to correctly follow their own procedures and lack of communication involving staff.



4. Contracted and Commissioned Services Complaints

4.1 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.

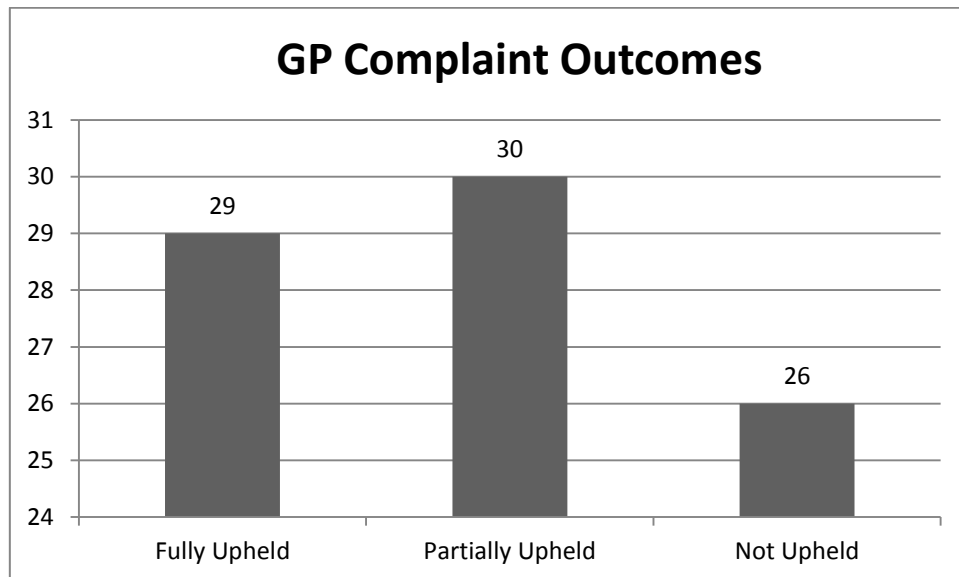
Independent Contractors have their own processes for responding to complaints and undertaking service improvements in response.

There were no complaints on record from Dental Practitioners.

One complaint was made about Optometry which was partially upheld.

4.2 GP Practices

There were 85 complaints received by the 16 GP practices within Inverclyde during the reporting period April 2018 to December 2018.



5. Positive Feedback

Compliments

I had a lovely telephone conversation with a Ms A who rang the dept to give me feedback on our nursing service on behalf of herself and her son

MS A is recently bereaved of her husband Mr A.

MS A was cared for at home predominantly by staff & Gourock DN team but also had input from OOH colleagues and weekend DN Team.

She has asked me to pass on, by virtue of an e mail, her heartfelt gratitude to the visiting District Nurses.

The lady feels she can't praise staff enough for the care and compassion shown not only to her late husband but to both herself and her son.

She believes the care and commitment of staff was way beyond the call of duty and can't commend you all highly enough.

She particularly asked for warm thanks and appreciation to go to staff who visited Mr A frequently.

MS A said they both deserve a platinum (not a gold) star and they should be proud of themselves and stand 10 feet tall !!

It was full some praise indeed and she chatted with me for 15 minutes or more by phone

She was very keen that her feedback should be included in any HSCP management reports.

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.

Going forward, additional reporting requirements from the SPSO will require 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 levels of frontline resolution and the positive feedback received regarding the care and support is reassuring as we seek to deliver positive outcomes to the people of Inverclyde.