

Compliments, Complaints and MP Enquiries Annual Report 2012/2013

Governing Body meeting



6 June 2013

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| Author(s)/Presenter and title | Sarah Neil, Compliments and Complaints Caseworker |
| Sponsor | Kevin Clifford, Chief Nurse |
| Key messages | |
| <ul style="list-style-type: none"> The total number of complaints (formal and informal) for which Sheffield CCG was the lead organisation increased by 29% from 173 in 2011/12 to 223 in 2012/13. The number of MP enquiries received increased by 11% from 54 in 2011/12 to 60 in 2012/13. During 2012/13, the 25 day response target was met for 45% of formal complaints and 62% of MP enquiries. We are working to improve our response times to formal complaints, focussing in particular on continuing healthcare complaints and multiagency complaints. 75% of continuing healthcare complaints and 82% of multiagency complaints missed the target. These complaints make up 73% of all complaints that missed the target. | |
| Assurance Framework (AF) | |
| <p>Risk Reference (RR) No: RR ref 906 (2012/13)</p> <p>2012/13 AF reference 2.1.8 - The report provides assurance to the Quality Assurance Committee that there is an effective system in place for the management of complaints and to capture and respond to public concerns.</p> <p>2012/13 AF reference 2.3.1A</p> | |
| Equality/Diversity Impact | |
| <p>Has an equality impact assessment been undertaken? NO</p> <p>Which of the 9 Protected Characteristics does it have an impact on? Complaints could potentially impact on all characteristics.</p> | |
| Public and Patient Engagement | |
| N/A | |
| Recommendations | |
| The Governing Body is asked to receive and approve the Compliments, Complaints and MP Enquiries Report Annual Report 2012/13 | |

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1. Introduction/Background

This report provides an overview of the number of compliments, complaints and MP enquiries received about Sheffield CCG's commissioning activity and about independent providers and primary care providers. Detailed information is provided about MP enquiries and formal complaints relating to Sheffield CCG's commissioning activity.

2. Compliments

In 2012/13 three compliments were received about Sheffield CCG's commissioning activity compared to nine in 2011/12.

In 2012/13 Sheffield CCG received a further 7 compliments about independent providers and primary care providers, compared to 13 in 2010/11.

3. Lessons learned as a result of complaints

The following are examples of some of the action that has been taken as a result of complaints received during 2012/13.

New equipment and staff training

After a complaint about failure to diagnose high blood pressure, staff at a GP practice underwent customer care training and the practice decided to purchase new equipment.

Prescription Prepayment Certificate

A patient was unaware of the Prescription Prepayment Certificate. We made the patient's pharmacy and GP practice aware and they have agreed to advertise the Certificate.

Orthodontic waiting times

A patient was unaware that orthodontic practices have differing waiting times. We wrote to all dental practices in Sheffield and asked them to ensure that patients and parents are told about the different waiting times so that this can be taken into account when deciding which practice to refer to.

Urgent dental care

After a patient experienced difficulty accessing urgent dental care on a domiciliary basis we wrote to all care homes in Sheffield explaining how to access urgent dental care.

As a result of a complaint about a patient not being given an emergency dental appointment, the nurse who had assessed the patient over the phone was given extra training in relation to the criteria for emergency dental treatment.

Dental charges

A dental practice changed the way in which they administer charges after receiving a complaint from a patient who had been asked to pay part of the charge in advance of an appointment.

Appointment system

A GP practice has changed their appointment system to ensure that when a GP is off work due to illness other staff cover the appointments.

Review of prescribing

After a patient reported concerns that he had been experiencing unwanted side effects from a drug that he had been taking for a long time, we asked the GP to review prescribing of that drug to ensure that patients don't experience unnecessary side effects.

Referrals

Approval of funding for a tonsillectomy was delayed because the GP practice that submitted the request for funding had not included all the required information. The practice is now aware of the correct process and will submit all the necessary information with future funding requests.

A GP forgot to draft a referral letter for a patient which led to a delay. As a result of the complaint the GP reviewed the way in which tasks are recorded, to ensure that jobs are not accidentally missed in the future.

A referral for intermediate care was delayed after a GP completed the wrong form. The GP now knows the correct process to follow.

Removing patients from GP lists

We sent information to GP practices to ensure that they are aware of the correct processes for removing patients from their list (for example if the patient has moved away), and emphasised the importance of following correct processes to ensure patients are not removed incorrectly.

4. Overview of all complaints received

During 2012/13 Sheffield CCG received 279 informal and formal complaints about commissioning activity, independent providers and primary care providers, compared to 272 in 2011/12.

Sheffield CCG handled some of these complaints directly, and others we redirected to the provider to respond to. The total number of complaints (formal and informal) for which Sheffield CCG was the lead organisation increased by 29% from 173 in 2011/12 to 223 in 2012/13. Formal complaints for which Sheffield CCG was the lead organisation increased by 25% from 106 to 132.

4.1 Primary care providers and independent providers

Of the 279 complaints received, 197 related to independent providers and primary care providers, which is consistent with the number received in 2011/12 (192).

In line with complaints regulations, for each complaint we consider whether Sheffield CCG is the appropriate body to handle the complaint or whether it would be more appropriate to redirect the complaint to the provider to handle (if the complainant agrees).

In 2012/13 141 (72%) complaints were handled by Sheffield CCG rather than being redirected to the provider. This is a significantly greater proportion than in the previous year, when 48% of complaints were handled by NHS Sheffield. This was because a greater proportion of complaints were about clinical issues.

Of the 141 complaints handled by Sheffield CCG, 70 were classified as formal complaints, and 71 dealt with informally. The proportion of formal and informal complaints was consistent with the previous year, when the ratio of formal to informal complaints was 45:48. In both years approximately half of the informal complaints were closed because the complainant or the patient did not consent to the complaint being shared with the provider.

4.2 Multiagency complaints

When a complaint involves more than one NHS or Local Authority body, the organisations work together to provide a joint response, with one organisation taking the lead on coordinating the investigation.

Of the 279 complaints received by Sheffield CCG, 11 were multiagency complaints for which the CCG was the lead organisation.

In addition Sheffield CCG contributed to joint investigations into 24 multiagency complaints for which another organisation was taking the lead.

In the previous year NHS Sheffield was the lead organisation for 15 multiagency complaints and contributed to 27 additional complaints for which another organisation was the lead.

4.3 Redirected complaints

A further 127 complaints were forwarded to other NHS and Local Authority bodies because Sheffield CCG was not the appropriate body to handle the complaint.

5. MP Enquiries

The number of MP enquiries received increased by 11% from 54 in 2011/12 to 60 in 2012/13.

10 of the MP enquiries related to complaints that constituents had made directly to Sheffield CCG. The majority of the remaining enquiries related to commissioning decisions.

It should be noted that where an MP is acting as the representative of a constituent who wishes to make a complaint but has not already raised this directly with Sheffield CCG, this is categorised as a complaint rather than an MP enquiry. In addition to the 60 enquiries 17 formal complaints were received from MPs during 2012/13. Information about these complaints is included in the information on formal complaints in section 7 below.

6. Concerns resolved within one working day

As set out within complaints legislation, concerns that are raised verbally and are resolved within one working day are not recorded as complaints. 21 (15%) of the concerns that were raised verbally with the complaints team were resolved within one working day. This

is a decrease on the previous year, when 32 (20%) verbal concerns were resolved within one working day.

7. Complaints relating to Sheffield CCG (excluding independent and primary care provider complaints)

7.1.1 Number of formal complaints received

62 formal complaints were received during 2012/2013, consistent with the number received in 2011/12 (61).

7.1.2 Complaints that were upheld

16 (26%) formal complaints were upheld or partially upheld. Again this is consistent with the number upheld in 2011/12 (18).

7.1.3 Themes and trends in formal complaints

The subjects of complaints are recorded according to categories set out by the Department of Health. The majority of complaints received related to PCT Commissioning (55%) and a perceived or actual failure to follow an agreed procedure (32%).

Continuing healthcare (CHC)

24 (39%) complaints related to continuing healthcare and we also received 7 MP enquiries about continuing healthcare. The main issues complained about were delays in decision making and communication.

Commissioning of dental services

Eight (13%) complaints related to the commissioning of dental services, primarily urgent dental care and specialist endodontic treatment. For three of these complaints we also received a follow-up enquiry from the patient's MP.

The majority (7) of the complaints were received during quarters 1 and 2. Following rises in demand for the specialist endodontic service, we worked with the Charles Clifford Dental Hospital to review the referral criteria to enable those patients who are most in need of specialist treatment to access care in a timely fashion. New referral criteria for the service were put in place in August 2012.

IVF

Six (10%) complaints related to commissioning of IVF, and Sheffield CCG also received an MP enquiry on this issue.

7.2 Informal complaints

20 informal complaints were received during 2012/13, compared to 19 in 2010/11.

8. Two day acknowledgement target

The two day acknowledgement target was met in 93% of cases.

9. 25 day response target

We aim to respond to formal complaints and MP enquiries within 25 working days. This timescale may need to be extended for complex cases. The target was met for 45% of formal complaints and 62% of MP enquiries. Where we do not meet the deadline we aim to ensure complainants are informed of progress and revised timescales.

We are working to improve our response times to formal complaints, focussing in particular on continuing healthcare complaints and multiagency complaints.

75% of continuing healthcare complaints and 82% of multiagency complaints missed the target. These complaints make up 73% of all complaints that missed the target.

In the quarter 3 board report we set out the following targets for complaints about continuing healthcare that do not involve other organisations:

- By the end of quarter 4 the backlog of outstanding complaints will be reduced so that no complaint has been open for longer than 12 weeks.¹
- We will respond to 70% of complaints that we receive during March 2013 within 25 working days.

These targets have been met.

For quarter 1 of 2013/14 we have put in place the following targets:

- For continuing healthcare complaints that do not involve other organisations, we will respond to 75% of complaints within 25 working days and aim to respond to all complaints within 35 working days. Where we have not responded to a complaint within 35 working days the chief nurse, quality lead nurse and complaints manager will review why the target has not been met and put in place an action plan for responding to the complaint.
- Multiagency complaints have to be investigated jointly which can take time. We will aim to respond to 50% of these complaints within 12 weeks. Where we have not responded to a complaint within 12 weeks the chief nurse, quality lead nurse and complaints manager will review why the target has not been met and put in place an action plan for responding to the complaints.

10. Complaints referred to the Parliamentary and Health Service Ombudsman

During 2012/13, four complaints were referred to the Ombudsman, compared to nine in 2011/12. Two of the complaints related to commissioning activity and two related to care provided by primary care providers. In three cases the Ombudsman either rejected the complaint or declined to investigate it. The fourth complaint is still under review.

11. Arrangements for dealing with complaints about primary care and specialised commissioning

On 1 April 2013 responsibility for handling complaints about primary care and specialised commissioning transferred to NHS England. NHS England is handling complaints through a national call centre and we are in the process of ensuring that primary care colleagues have the relevant information to publicise to patients.

¹ A complaint is classified as 'open' when no response has been made. Sometimes a complaint is categorised as 'reopened' if the complainant is dissatisfied with the response and the CCG agrees to take further action to try to resolve the complaint.

12. Recommendation

The Governing Body is asked to receive and approve the Compliments, Complaints and MP Enquiries Annual Report 2012/13.

Paper prepared by Sarah Neil, Compliments and Complaints Manager

On behalf of Kevin Clifford, Chief Nurse

10 May 2013

Compliments - NHS Sheffield Clinical Commissioning Group

Table a shows compliments received, by service.

Table (a)

| Compliments | Q1 | Q2 | Q3 | Q4 |
|-----------------------------|----------|----------|----------|----------|
| Commissioning | 0 (0%) | 0 (0%) | 0 (0%) | 1 (100%) |
| Corporate Governance | 1 (50%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Individual Funding Requests | 1 (50%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Total | 2 | 0 | 0 | 1 |

Complaints - NHS Sheffield Clinical Commissioning Group

Table b shows formal complaints received and the timeframe of NHS Sheffield CCG's response.

Table (b)

| Timeframe of response to formal complaints | Q1 | Q2 | Q3 | Q4 |
|--|----------|---------|-----------|----------|
| Total number of formal complaints | 22 | 9 | 12 | 19 |
| Acknowledged within 2 days | 20 (91%) | 8 (89%) | 12 (100%) | 16 (84%) |
| Responded within 25 days | 11 (50%) | 4 (44%) | 3 (25%) | 10 (53%) |
| Still being pursued (within 25 days) | 0 (0%) | 0 (0%) | 0 (0%) | 0 (0%) |
| 25 day target exceeded | 11 (50%) | 5 (56%) | 9 (75%) | 9 (47%) |

Table c shows informal complaints received.

Table (c)

| Informal Complaints | Q1 | Q2 | Q3 | Q4 |
|-------------------------------------|----|----|----|----|
| Total number of informal complaints | 8 | 6 | 5 | 1 |

Table d shows the subjects of formal complaints received.

Table (d)

| Subject of formal complaints | Q1 | Q2 | Q3 | Q4 |
|--|-----------|----------|-----------|-----------|
| All aspects of clinical treatment | 1 (5%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Appointments, delay/cancellation (out-patient) | 1 (5%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Communication/information to patients (written and oral) | 1 (5%) | 0 (0%) | 0 (0%) | 1 (5%) |
| Failure to follow agreed procedure | 6 (27%) | 4 (44%) | 5 (42%) | 5 (26%) |
| Others | 1 (5%) | 0 (0%) | 0 (0%) | 0 (0%) |
| Patients' property and expenses | 2 (9%) | 0 (0%) | 0 (0%) | 0 (0%) |
| PCT commissioning (including waiting lists) | 10 (45%) | 5 (56%) | 7 (58%) | 12 (63%) |
| Personal records (including medical and/or complaints) | 0 (0%) | 0 (0%) | 0 (0%) | 1 (5%) |
| Total | 22 | 9 | 12 | 19 |

MP Enquiries

Table e shows the number of MP enquiries received and the timeframe of NHS Sheffield CCG's response.

Table (e)

| MP Enquiries | Q1 | Q2 | Q3 | Q4 |
|--------------------------------------|----------|-----------|-----------|-----------|
| Total number of MP enquiries | 19 | 12 | 16 | 13 |
| Acknowledged within 2 days | 17 (89%) | 12 (100%) | 16 (100%) | 13 (100%) |
| Responded within 25 days | 14 (74%) | 9 (75%) | 14 (88%) | 11 (85%) |
| Still being pursued (within 25 days) | 0 (0%) | 0 (0%) | 0(0%) | 0 (0%) |
| 25 day target exceeded | 5 (26%) | 3 (25%) | 2 (13%) | 2 (15%) |