

Compliments, Complaints and MP Enquiries Annual Report 2013/2014

Governing Body meeting

Item 11g

5 June 2014

Author(s)	Sarah Neil, Complaints Manager and Patient Experience Lead
Sponsor	Kevin Clifford, Chief Nurse
Is your report for Approval / Consideration / Noting	
Noting	
Are there any Resource Implications (including Financial, Staffing etc)?	
No	
Audit Requirement	
<p><u>CCG Objectives</u></p> <p><i>Which of the CCG's objectives does this paper support?</i></p> <p>Principal Objective: To improve the quality and equality of healthcare in Sheffield</p> <p>Assurance Framework Number: AF reference 2.1 The report provides assurance that complaints that the CCG receives relating to providers are handled appropriately.</p>	
<u>Equality impact assessment</u>	
<p><i>Have you carried out an Equality Impact Assessment and is it attached?</i> No</p> <p><i>If not, why not?</i> Not relevant as this is not a new policy, process or strategy.</p>	
<u>PPE Activity</u>	
<p><i>How does your paper support involving patients, carers and the public?</i></p> <p>Provides assurance that feedback through complaints is acted upon.</p>	
Recommendations	
The Governing Body is asked to note the Compliments, Complaints and MP Enquiries Annual Report 2013/2014.	

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1. Introduction

NHS Sheffield Clinical Commissioning Group (CCG) receives compliments, complaints and MP enquiries about the services that it commissions and about services provided by the West and South Yorkshire and Bassetlaw Commissioning Support Unit on behalf of the CCG. Complaints relating to Sheffield Teaching Hospitals NHS Foundation Trust, Sheffield Children's NHS Foundation Trust and Sheffield Health and Social Care NHS Foundation Trust are redirected to the Trusts to handle. The remainder are handled by NHS Sheffield CCG. Since 1 April 2013, complaints about GPs, dentists, opticians and pharmacies are handled by NHS England.

2. Compliments

No compliments were received during Quarter 4.

3. Number of complaints and MP enquiries

29 formal complaints were received, an increase on the number received during Quarter 1 (16), Quarter 2 (25), and Quarter 3 (12). The total number of formal complaints received during 2013/14 was 82.

Four informal complaints were received during Quarter 4, bring the total for the year to nine.

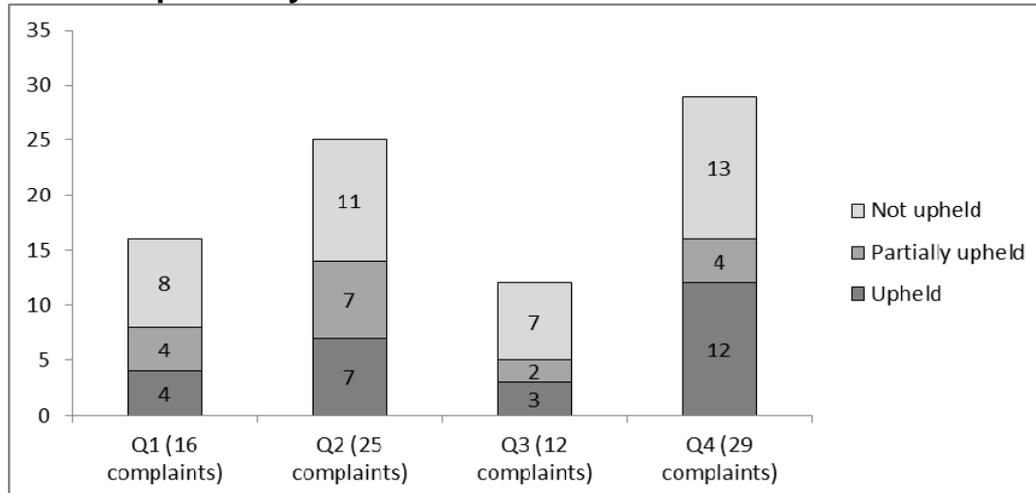
Nine MP enquiries were received, bringing the total for the year to 37.

95% of formal complaints and MP enquiries were acknowledged within two working days.
89% of MP enquiries were responded to within 25 working days.

76% of formal complaints were responded to within 25 working days. Five of the complaints which exceeded the target were multiagency complaints necessitating joint investigations with other NHS bodies or independent providers. The other two missed the target by two and eight working days (complainant was kept informed of the extended timeframe).

In addition, we contributed to three multiagency complaints for which another organisation was taking the lead.

4. Complaints by outcome



Upheld: The complainant's primary concerns were found to be correct.

Partially upheld: The complainant's primary concerns were not found to be correct, but our investigation identified some problems with the service provided.

Not upheld: The complainant's concerns were not found to be correct. Where a complaint is not upheld, we still seek to learn from the complaint, and consider what we could do differently to improve the complainant's experience.

Of the complaints received in 2013/14, 32% were upheld and 21% were partially upheld.

5. Complaints referred to the Ombudsman in 2013/14

Complaint	Status
2865.12 Treatment provided by dentist (complaint handled prior to 1/4/13).	Not upheld
2713.12 Continuing healthcare process	The Ombudsman chose not to investigate because the appeals process was not exhausted.
3183.13 Multiagency complaint including concerns about the continuing healthcare process.	The Ombudsman discontinued the investigation as the complainant had not suffered an injustice.
3045.13 and 3000.12 Appropriateness of decision to place patient on Violent Patient Scheme (VPS).	Partially upheld. The Ombudsman found that the decision (of Sheffield PCT) to place the patient on the VPS was reasonable, but a fuller response should have been provided when the patient queried why they had been put on the scheme. We liaised with NHS England to implement the Ombudsman's recommendation that an apology and further information be provided.
3345.13 Decision not to accept a continuing healthcare appeal submitted after the deadline.	Not upheld
3186.13 Continuing healthcare process	Not upheld
3125.13 Continuing healthcare process	Not upheld
3182.13 Continuing healthcare process	Ombudsman chose not to investigate as the appeals process was ongoing.
3048.13 Continuing healthcare process and communication with family.	Outcome pending

6. Complaints by service area

		Q1	Q2	Q3	Q4
Commissioning	Formal complaints	0	3	4	4
	Informal complaints	1	0	0	0
	Formal complaints, another organisation took the lead	0	0	0	0
	Total number of concerns raised	1	3	4	4
Issues raised in Q4 include commissioning of IVF, hearing aids, mental health, pain management, physiotherapy and IFR.					

Communications	Formal complaints	0	0	0	0
	Informal complaints	2	0	0	3
	Formal complaints, another organisation took the lead	0	0	0	1
	Total number of concerns raised	2	0	0	4

Continuing Healthcare and Funded Nursing Care	Formal complaints	10	18	5	14
	Informal complaints	0	0	0	1
	Formal complaints, another organisation took the lead	4	0	0	2
	Total number of concerns raised	14	18	5	17

Continuing Healthcare Retrospectives	Formal complaints	4	0	1	6
	Informal complaints	0	0	0	0
	Formal complaints, another organisation took the lead	0	0	0	0
	Total number of concerns raised	4	0	1	6

Facilities	Formal complaints	0	0	0	1
	Informal complaints	0	0	0	0
	Formal complaints, another organisation took the lead	0	0	0	0
	Total number of concerns raised	0	0	0	1

Independent providers	Formal complaints	2	4	2	4
	Informal complaints	2	1	0	0
	Formal complaints, another organisation took the lead	0	1	0	0
	Total number of concerns raised	4	6	2	4

Detailed information about complaints received in quarter 4 is below. Detailed information regarding complaints received in quarters 1-3 is available in our quarterly reports.

6.1 Commissioning (hearing aids)

One complaint was received, bringing the total received during 2013/14 to two, both relating to the provision of one hearing aid rather than two. We explained that bilateral hearing aids are not necessary for everyone with hearing loss, and that the criteria for the provision of two hearing aids are currently being reviewed.

6.2 Commissioning (mental health)

One complaint was received bringing the total received during 2013/14 to two. One concerned the provision and commissioning of services by multiple agencies and one related to CAMHS services.

6.3 Commissioning (physiotherapy)

A patient complained about the length of time taken to receive surgery. We explained that typically a number of interventions are tried before major surgery is considered and that this approach is based on evidence that it is clinically effective.

6.4 Communications

Two people contacted us to let us know about information on our website that was out of date. In each case we fixed the problem quickly. One person contacted us about incorrect information about NHS services that had been circulated. We explained that the information had been sent by another organisation and that we had contacted local media to publicise the correct information. A patient complained that their email had not been responded to. We explained that emails belonging to Sheffield PCT were no longer operational, and outlined the steps that had been taken to publicise our new email address.

6.5 Facilities

A local resident complained about the impact that parking by staff and visitors to our offices has on people who live nearby. Shortly after the complaint was received we secured additional parking spaces, which we hope will address the problem.

6.6 Independent providers

Four formal complaints were received relating to independent providers, bringing the total received in 2013/14 to 12. For each complaint we liaised with the provider to ensure that the complaint was responded to and that action is taken to put things right or to reduce the possibility of a similar occurrence in future. Three complaints related to concerns about staff attitude and failure to follow the correct processes. In each case the provider explained that the correct process had been followed and that there was no evidence that staff had behaved inappropriately. The investigation into one complaint found that a mistake had been made and a member of staff had misinterpreted a hospital letter. The provider has reviewed this incident to consider what steps should be taken to reduce the risk of a similar human error occurring in future.

6.7 Individual Funding Requests (IFR)

One formal complaint was received, bringing the total received in 2013/14 to two. The complaint received in Quarter 4 related both to the IFR Panel's decision to decline funding for a particular treatment, as the patient believed that they met the criteria. Our investigation found that the IFR Panel had applied our policies correctly when making the decision, but as part of our investigation we sought further information from the patient's clinician and when this new information was presented to the Panel funding for the treatment was approved.

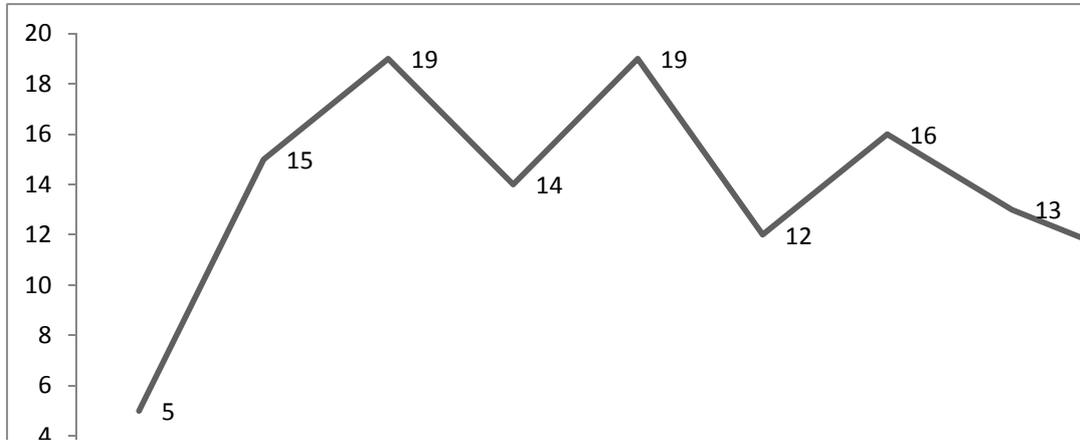
7. MP enquiries

Nine MP enquiries were received, bringing the total received in 2013/14 to 37 (11 in Q1, 10 in Q2, seven in Q3). Three enquiries related to complaints that constituents had already raised directly with NHS Sheffield CCG.¹ The other enquiries included requests for

¹ When an MP raises concerns on behalf of a constituent who has complained to their MP but has not already lodged a complaint with NHS Sheffield CCG, the case is categorised as a complaint rather than an

information about continuing healthcare, commissioning of eye services, commissioning of autism services, information about the future use of a former NHS property, a suggestion from a member of the public about improvements that could be made to GP websites, and a request for assurance that public funds were not used to fund a staff Christmas meal (assurance was provided).

Number of MP enquiries received



8. Recommendations

The Governing Body is asked to note the Compliments, Complaints and MP Enquiries Annual Report 2013/2014.

Paper prepared by Sarah Neil, Complaints Manager and Patient Experience Lead

On behalf of Kevin Clifford, Chief Nurse

24 June 2014

MP enquiry. Five of the formal complaints described above under section 6 were raised by MPs on behalf of their constituents.