

Compliments, Complaints and MP Enquiries Quarter 2 Report

Governing Body meeting

Item 14f

8 January 2015

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| 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 | |
| <u>CCG Objectives</u> | |
| <i>Which of the CCG's objectives does this paper support?</i> | |
| Assurance Framework Number: AF reference 2.1 | |
| The report provides assurance that complaints that the CCG receives relating to providers are handled appropriately. | |
| <u>Equality impact assessment</u> | |
| <i>Have you carried out an Equality Impact Assessment and is it attached?</i> No | |
| <i>If not, why not?</i> Not relevant as this is not a new policy, process or strategy. | |
| <u>PPE Activity</u> | |
| <i>How does your paper support involving patients, carers and the public?</i> | |
| Provides assurance that feedback through complaints is acted upon. | |
| Recommendations | |
| The Governing Body is asked to note the Compliments, Complaints and MP Enquiries Quarter 2 Report 2014/2015. | |

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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. Number of complaints and MP enquiries

Sixteen formal complaints were received during quarter 2 2014/15, a decrease of 36% on the number received during quarter 2 2013/14 (25).

One informal complaint was received during quarter 2.

Fifteen MP enquiries were received during 2014/15, an increase of 50% on the number received during quarter 2 2013/14 (10).

84% of formal complaints and MP enquiries were acknowledged within two working days.

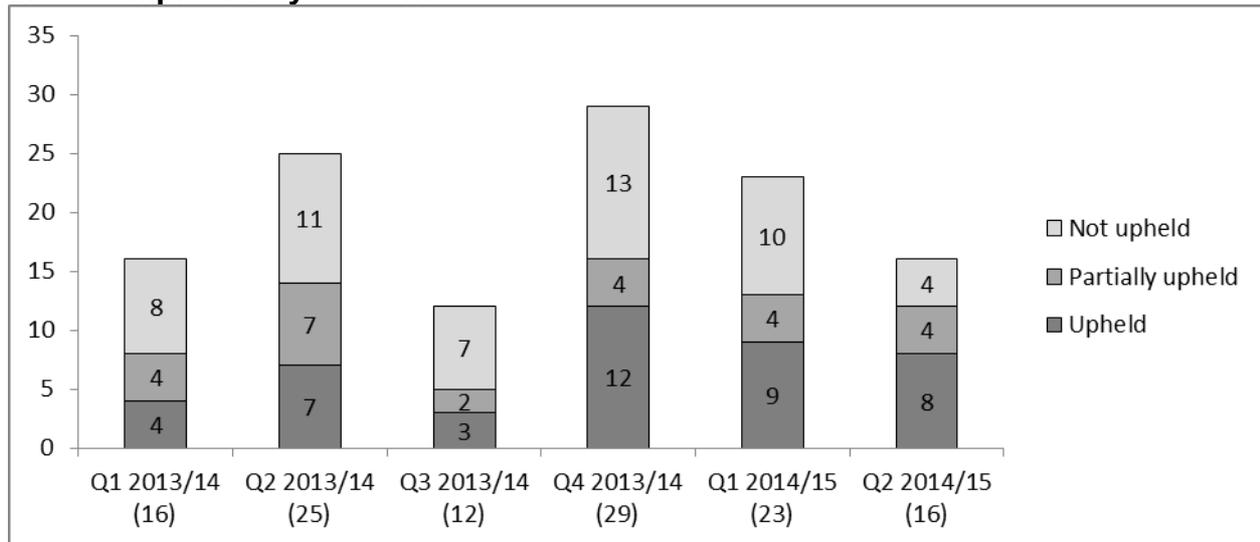
80% of MP enquiries were responded to within the 25 working day target.

75% of formal complaints were responded to within the 25 working day target.

Of the four complaints that exceeded the 25 working day response target, one case was a multi-agency complaint necessitating a complex joint investigation, in one case we were waiting for an assessment of the patient's eligibility for funding, and in two cases our internal investigation took longer than our standard timeframe due to factors such as key staff being on leave.

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

3. 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.

4. Ombudsman referrals / decisions 2014/15

| Complaint | Status |
|---|---|
| 3408/13 Continuing healthcare process and communication with family (<i>Complaint handled and referred to Ombudsman during 2013-14</i>). | The Ombudsman chose not to investigate because the appeals process was not exhausted. |
| 3449/13 Commissioning of hearing aids and criteria used to assess eligibility for bilateral hearing aids. (<i>Complaint handled during 2013-14 and referred to Ombudsman during 2014-15</i>). | Outcome pending. |
| 3565/14 Decision of IFR Panel not to fund breast augmentation and commissioning of specialist plastic surgery procedures. | Outcome pending. |
| 3548/14 Commissioning of IVF – policy to fund one cycle of IVF. | Outcome pending |
| 3595/14 Continuing healthcare retrospective review. Case closed because solicitor did not provide information requested. | The Ombudsman did not uphold the complaint. |
| 3591/14 Continuing healthcare retrospective review. Length of time taken to reach an outcome. | The CCG advised that the case is expected to be concluded within two months. The Ombudsman chose not to investigate the complaint at this time. |
| 3526/14 Continuing healthcare retrospective review. Decision to withdraw claim on grounds that solicitor has not provided authority to act. | The Ombudsman did not uphold the complaint. |

5. Complaints by service area

| | | 2013-2014 | | | | 2014-2015 | | | |
|---|---|-----------|----------|----------|----------|-----------|----------|----|----|
| | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Commissioning | Formal complaints | 0 | 3 | 4 | 4 | 10 | 3 | | |
| | Informal complaints | 1 | 0 | 0 | 0 | 1 | 0 | | |
| | Formal complaints, another organisation took the lead | 0 | 0 | 0 | 0 | 0 | 0 | | |
| | Total number of concerns raised | 1 | 3 | 4 | 4 | 11 | 3 | | |
| Issues raised in Q2 include commissioning of orthotics and pain management. | | | | | | | | | |

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

| | | | | | | | | | |
|---|---|-----------|-----------|----------|-----------|----------|----------|--|--|
| Continuing Healthcare and Funded Nursing Care | Formal complaints | 10 | 18 | 5 | 14 | 8 | 7 | | |
| | Informal complaints | 0 | 0 | 0 | 1 | 0 | 0 | | |
| | Formal complaints, another organisation took the lead | 4 | 0 | 0 | 2 | 0 | 0 | | |
| | Total number of concerns raised | 14 | 18 | 5 | 17 | 8 | 7 | | |

| | | | | | | | | | |
|--------------------------------------|---|----------|----------|----------|----------|----------|----------|--|--|
| Continuing Healthcare Retrospectives | Formal complaints | 4 | 0 | 1 | 6 | 5 | 5 | | |
| | Informal complaints | 0 | 0 | 0 | 0 | 0 | 0 | | |
| | Formal complaints, another organisation took the lead | 0 | 0 | 0 | 0 | 0 | 0 | | |
| | Total number of concerns raised | 4 | 0 | 1 | 6 | 5 | 5 | | |

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

5.1 Commissioning and IFR

We received three complaints. One was upheld and one was partially upheld.

The complaints received included the following issues:

- Commissioning of treatments for pain management and the process of obtaining funding for treatment.

“...over the years I have tried many different treatments to help manage my pain. This illness is extremely debilitating and difficult to live with. I have for the past two years had to go through an individual funding review yearly. I am discharged from pain management and have to be re-referred by my GP and then go for a new patient appointment to discuss the funding review. I then have to wait for the IFR outcome.... Meanwhile my treatment is interrupted and I am in constant pain.”

We responded explaining that we do believe that it is the right decision that funding for some pain management treatments should only be funded on an exceptional basis, after approval of an IFR. However, we will review our systems in light of this patient's feedback to identify whether there are any changes that we can make to reduce delays and disruption in treatment and to improve patients' experience.

- Waiting times for orthotics

The CCG has invested extra resources and is working with the provider to understand the cause of the long waiting times. To resolve the problem for this individual patient, we arranged for patient to exercise their right to choice and to receive treatment from a different provider with a shorter waiting time.

- Concern about the process of referral to the ME / CFS services

We provided information about the referral process and encouraged the patient to talk to their GP.

5.2 Continuing Healthcare and Funded Nursing Care (CHC and FNC)

We received seven complaints, of which five were upheld and two were partially upheld.

Issues complained about included:

- The appeals process (two complaints)
- Packages of care offered, including concerns about the capability of carers (four complaints)
- Inaccuracies in payments (one complaint)
- Delays in process
- Poor communication, including inaccurate letters with misleading and contradictory information.

We took the following action in response:

- We apologised for delays and poor communication and where possible took action to ensure that individual cases were processed in a timely manner.
- Action was taken with Sheffield City Council to resolve the problems with payments.
- Training has been given to all nurse assessors regarding escalating problems so that decisions can be made in a timely manner.
- Where complaints related to packages of care the CCG Resource Panel reviewed the offer of care and in some cases amended the offer.

5.3 Continuing healthcare retrospectives.

We received five complaints relating to CHC retrospective reviews. Two complaints were upheld and one was partially upheld.

The complaints included the following issues:

- Delays
- Administrative errors
- Poor communication including correspondence lacking clarity and letters not being responded to.
- Concerns that guidance was not being properly followed with respect to closing a review.

Our investigation found that the review that was closed had been done so in accordance with proper process, but that in other cases there was evidence of administrative errors and delays.

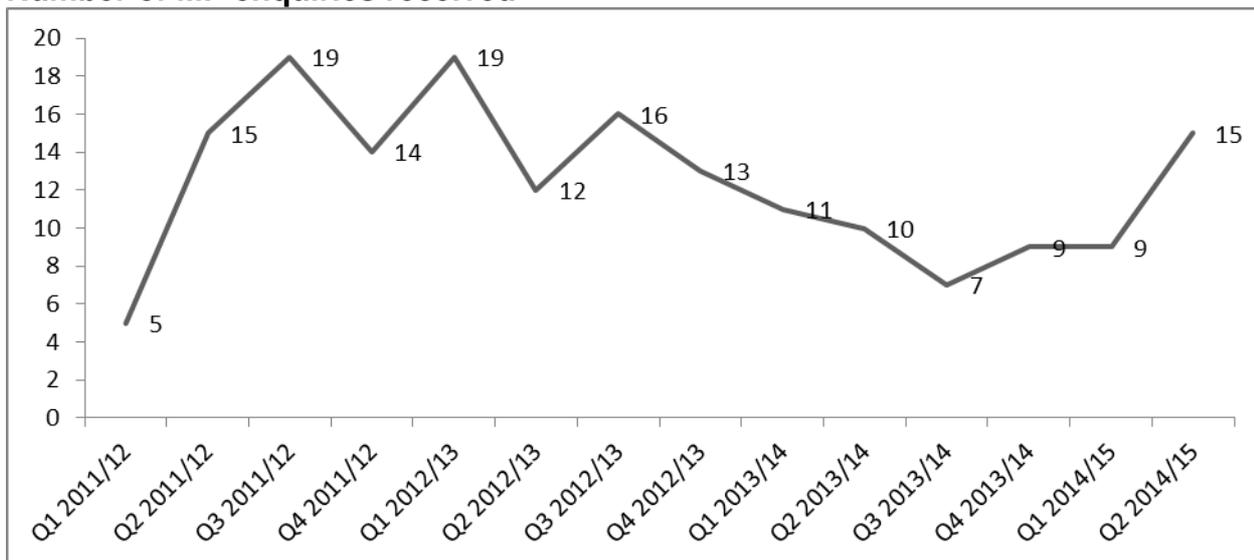
We took the following action in response:

- We apologised and where possible took action to ensure that individual cases were processed in a timely manner.
- The team made changes to systems to ensure that post is processed and scanned within 24 hours of receipt and prioritised appropriately.

6. MP enquiries

Fifteen MP enquiries were received. Five enquiries related to complaints that constituents had already raised directly with NHS Sheffield CCG.¹ The other enquiries related to the continuing healthcare criteria and appeals process, recruitment of specialist neuromuscular physiotherapy staff, funding of GP practices, bowel cancer screening, and funding for treatment for patients with tuberous sclerosis and speech and language therapy needs.

Number of MP enquiries received



7. Recommendations

The Governing Body is asked to note the Compliments, Complaints and MP Enquiries Quarter 2 Report 2014/2015.

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

On behalf of Kevin Clifford, Chief Nurse

24 December 2014

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