

Complaints and MP Enquiries Annual Report 2014/2015

Item 13g

Governing Body meeting

2 July 2015

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 Complaints and MP Enquiries Annual Report 2014/2015.	

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1. Introduction

NHS Sheffield Clinical Commissioning Group (CCG) receives complaints and MP enquiries about the services that it commissions and about services provided by the Yorkshire and Humber 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

Sixty eight formal complaints were received during 2014/15, a decrease of 17% on the number received in 2013/14 (82). 14 formal complaints were received during quarter 4, a decrease of 52% on the number received during quarter 4 2013/14 (29).

Six informal complaints were received during quarter 4, bringing the total for the year to 12.

Thirteen MP enquiries were received during quarter 4, bringing the total for the year to 43, an increase of 16% on the number received in 2013/14 (37).

In addition, during quarter 4 we contributed to two multiagency complaints for which another organisation took the lead, bringing the total for the year to five.

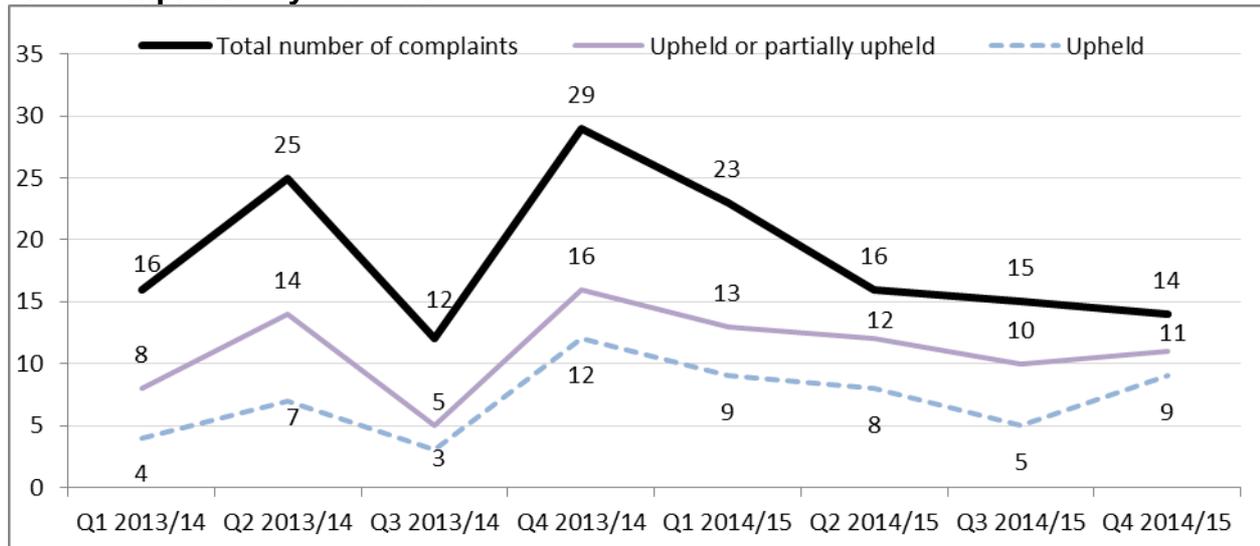
During 2014/15:

- 93% of formal complaints and MP enquiries were acknowledged within the target of two working days.
- 91% of MP enquiries were responded to within the target of 25 working days.
- 79% of formal complaints were responded to within the target of 25 working days.¹

Three complaints received during quarter 4 exceeded the 25 working day target. Two cases related to continuing healthcare cases in which the initial investigations highlighted issues which required further review and investigation at senior level. The remaining case missed the target by one day. Information on complaints that exceeded the target in previous quarters is available in previous quarterly reports.

¹ In some cases we ask the MP or complainant to provide further information or consent and the investigation cannot proceed until this is received. The time taken to receive this information is not included within the 25 working days.

3. Complaints by outcome



The above chart shows the number of formal complaints received, the proportion of those complaints which were upheld or partially upheld, and the proportion which were upheld.

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. Parliamentary and Health Service Ombudsman (PHSO) cases 2014/15

Complaint	Status
3408.13 Continuing healthcare process and communication with family. <i>(Complaint handled and referred to Ombudsman during 2013-14).</i>	PHSO decision not to investigate as 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>	Not upheld
3565/14 Decision of IFR Panel not to fund breast augmentation and commissioning of specialist plastic surgery procedures.	Not upheld
3548/14 Commissioning of IVF – policy to fund one cycle of IVF.	Not upheld
3595/14 Continuing healthcare retrospective review. Case closed because solicitor did not provide information requested.	Not upheld
3591/14 Continuing healthcare retrospective review. Length of time taken to reach an outcome.	PHSO decision not to investigate as the CCG expected to conclude the case within two months.
3526/14 Continuing healthcare retrospective review. Decision to withdraw claim on grounds that solicitor has not provided authority to act.	Not upheld
3775/14 Offer of care made to a continuing healthcare patient does not meet his needs.	Outcome pending.

5. Complaints by service area

		2013-2014				2014-2015			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Commissioning and IFR	Formal complaints	0	3	4	5	10	3	3	1
	Informal complaints	1	0	0	0	1	0	0	2
	Formal complaints, another organisation took the lead	0	0	0	0	0	0	1	1
	Total number of concerns raised	1	3	4	5	11	3	4	4
The formal complaint in Q4 related to tonsillectomy. Other issues raised related to transport, lack of clarity about whether prescription should be issued by hospital or GP, supply of medication.									

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

Continuing Healthcare and Funded Nursing Care	Formal complaints	10	18	5	14	8	7	9	13
	Informal complaints	0	0	0	1	0	0	3	4
	Formal complaints, another organisation took the lead	4	0	0	2	0	0	0	1
	Total number of concerns raised	14	18	5	17	8	7	12	18

Continuing Healthcare Retrospectives	Formal complaints	4	0	1	6	5	5	2	0
	Informal complaints	0	0	0	0	0	0	0	0
	Formal complaints, another organisation took the lead	0	0	0	0	0	0	0	0
	Total number of concerns raised	4	0	1	6	5	5	2	0

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

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.

5.1 Commissioning and IFR – quarter 4

We received one complaint, concerning the length of time taken from referral to treatment for tonsillectomy. We worked with Sheffield Teaching Hospitals (STH) to investigate the complaint and STH took action to ensure that the patient was seen within an appropriate timeframe. As a result of this complaint we are reviewing the information available to GPs to ensure that the process for applying for funding for tonsillectomy is clear.

5.2 Continuing Healthcare and Funded Nursing Care (CHC and FNC) – quarter 4

We received 13 complaints, of which eight were upheld and two were partially upheld.

Issues complained about included:

- The suitability of packages of care offered (five complaints)
- The appeals process (five complaints)
- Delays in process
- Poor communication, including letters not being responded to
- Patient's representative not being invited to an assessment meeting

We took the following action in response:

- Where complaints related to packages of care the CCG Resource Panel reviewed the offer of care and in some cases amended the offer.
- We apologised for delays and poor communication and where possible took action to ensure that individual cases were processed in a timely manner.
- Complaints were discussed with individual staff members to enable staff to reflect upon and improve performance.
- Sometimes further information is needed before a decision about a patient's eligibility for funding can be decided. A system has been introduced to ensure that patients and their representatives are informed when this happens so that they understand the reason for the delay.

6. Themes and trends

The number of complaints received in 2014/15 was significantly less (17%) than in 2013/14. The reduction was in complaints relating to continuing healthcare and independent providers (see 6.1 and 6.2, below).

There was an increase in the number of complaints relating to commissioning (see 6.3, below).

The number of complaints relating to continuing healthcare retrospectives was consistent with the previous year (11 in 2013/14 and 12 in 2014/15). However, the majority of the complaints received in 2014/15 were received in the first two quarters, with a reduction in the second half of the year.

It is important to note that whilst the number of complaints received reduced, the number of complaints that were upheld or partially upheld was consistent with the previous year. In 2013/14 26 complaints were upheld and a further 17 were partially upheld. In 2014/15 31 complaints were upheld and a further 15 were partially upheld.

6.1 Continuing healthcare – annual trends

Complaints about continuing healthcare reduced by 21% from 47 in 2013/14 to 37 in 2014/15.

However, despite this overall reduction, the number of complaints relating to the CCG's offers of care to continuing healthcare patients increased from eight in 2013/14 to 15 in 2014/15. This increase may be due to an increasing awareness of the complaints process. The letter that sets out the CCG's offer of care has been amended to ensure that patients who are not satisfied with the proposed care package know how to raise their concerns. We will continue to monitor the number of complaints received.

The number of complaints about other aspects of continuing healthcare processes, such as delays and poor communication, reduced by 44% from 39 in 2013/14 to 22 in 2014/15. Efforts have been made to learn from complaints and make service improvements and this is reflected in the reduced numbers of complaints. However, there was an increase in the final quarter, when 13 complaints were received. We will continue to monitor the number of complaints received.

6.2 Independent providers – annual trends

The number of complaints about independent providers decreased significantly from 12 in 2013/14 to 2 in 2014/15. The decrease primarily related to complaints about the Walk-in Centre. During 2015/16 we will take steps to increase awareness that complaints relating

to independent providers commissioned by the CCG can be raised with the CCG as well as directly with the provider.

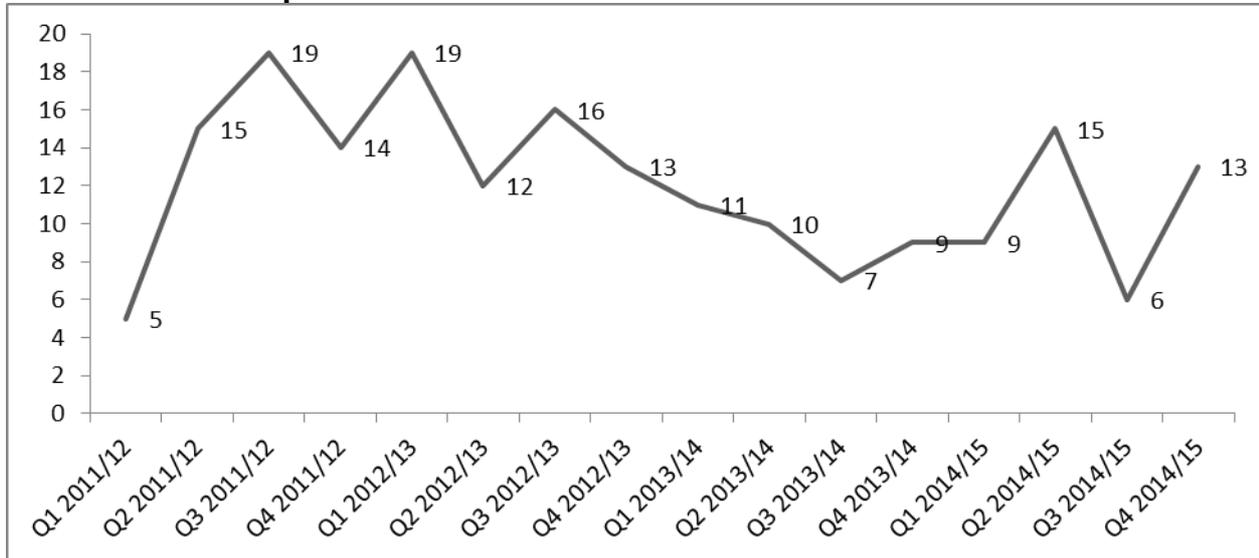
6.3 Commissioning and IFR – annual trends

The number of complaints received increased by 42% from 12 in 2013/14 to 17 in 2014/15. Five complaints concerned the Access to Infertility Commissioning Policy. Commissioning of fertility treatment also received six complaints in 2012/13 and three in 2013/14. The remaining complaints related to a range of commissioning policies (see quarterly reports for details).

7. MP enquiries

Thirteen MP enquiries were received. Five enquiries related to a complaint that a constituent had already raised directly with NHS Sheffield CCG.² Other issues raised included requests for information about continuing healthcare and continuing healthcare retrospectives, GP budgets, commissioning for IVF and for rheumatoid arthritis, and the impact of parking by visitors to the CCG on local residents.

Number of MP enquiries received



8. Recommendations

The Governing Body is asked to note the Complaints and MP Enquiries Annual Report 2014/2015.

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

On behalf of Kevin Clifford, Chief Nurse

15 June 2015

² 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. No formal complaints were lodged by MPs on behalf of their constituents during quarter 4, but there were five cases in which an MP made a follow up enquiry on behalf of a constituent who had themselves lodged a complaint.