

## Complaints, MP Enquiries and Patient Feedback Report Quarter 4 2020/2021

Item 17g

### Governing Body Meeting

1 July 2021

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<b>Purpose of Paper</b>	
To provide the Governing Body with an overview of complaints and MP enquiries comparative data, information about themes and trends and patient feedback for quarter 4 2020-2021.	
<b>Key Issues</b>	
<ul style="list-style-type: none"> <li>• The number of formal complaints increased. The CCG handled 12 formal complaints about CCG services and decisions during quarter four.</li> <li>• The CCG handled 14 MP enquiries during quarter three.</li> <li>• The Parliamentary and Health Service Ombudsman partially upheld one CCG complaint during quarter 4</li> </ul>	
<b>Is your report for Approval / Consideration / Noting</b>	
For <b>noting</b> only	
<b>Recommendations / Action Required by Governing Body</b>	
The Governing Body is asked to <b>note</b> the Complaints, MP Enquiries and Patient Feedback Report Quarter 4 2020/2021	
<b>What assurance does this report provide to the Governing Body in relation to Governing Body Assurance Framework (GBAF) objectives?</b>	
<p><b>Which of the CCG's Objectives does this paper support?</b> Principle Objective 2: Lead the improvement of quality of care and standards</p> <p><b>Description of Assurances for Governing Body:</b> Principle Risk 2.1: There is a risk that organisations fail to meet quality standards, resulting in reduced quality of services, increased patient safety risks and a lack of satisfaction in commissioned services.</p>	

The report provides assurance that there is a process in place to manage complaints.

**Are there any Resource Implications (including Financial, Staffing etc.)?**

No

**Have you carried out an Equality Impact Assessment and is it attached?**

Not necessary as this is not a new policy, process or strategy

**Have you involved patients, carers and the public in the preparation of the report?**

Not directly

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### 1. Introduction

A complaint is an oral or written expression of dissatisfaction that requires a response. The CCG handles complaints and MP enquiries about:

- the conduct of NHS Sheffield CCG staff; and
- services that the CCG provides, including commissioning decisions.

When the CCG receives a complaint relating to services commissioned by the CCG and provided by another organisation, the CCG decides whether it is appropriate for the provider to handle the complaint directly or whether the CCG should handle the complaint<sup>1</sup>. Where the CCG decides to handle the complaint the provider is asked to investigate and provide the CCG with the outcome of their investigation. The CCG then responds to the complainant.

National guidance indicates that these complaints should be included in provider rather than CCG complaints statistics. Therefore, detailed information about provider complaints is not included in this report.

### 2. Complaints

#### 2.1. Number of complaints received

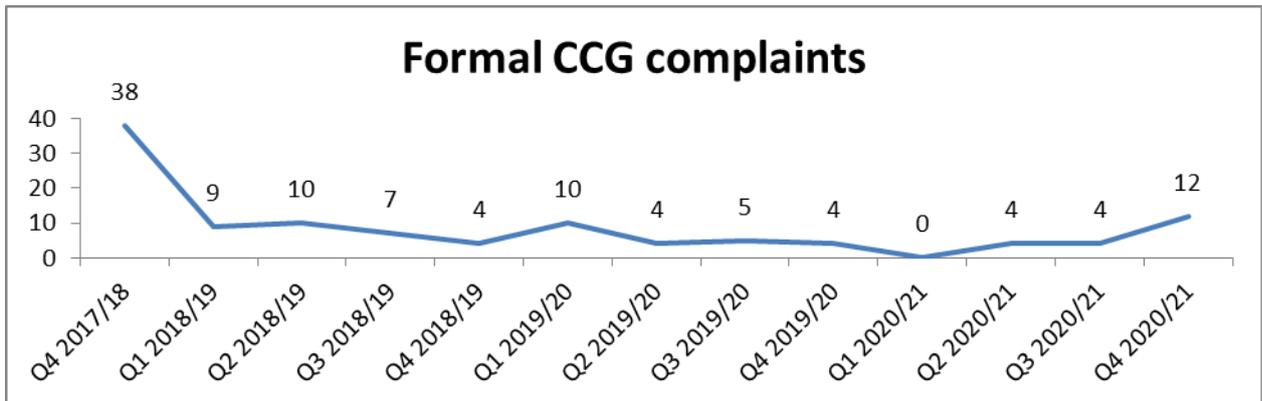
During Quarter 4 2020-21 the CCG:

- handled 12 complaints (including one multiagency complaint) about CCG services and decisions
- handled one complaint about an independent provider commissioned by the CCG
- contributed to one multiagency complaint led by another organisation
- re-directed 38 complaints

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<sup>1</sup> Factors that are taken into account include the subject and severity of the complaint, contractual breaches, pre-existing concerns relating to the provider, and the extent to which feedback from the complaint might inform commissioning decisions. The complainant must consent to their complaint being redirected to the provider to handle. The CCG considers it appropriate that, except in very exceptional circumstances, complaints relating to Sheffield Teaching Hospitals NHS Foundation Trust, Sheffield Health and Social Care NHS Foundation Trust and Sheffield Children's NHS Foundation Trust should be handled directly by the Trusts. The Trusts have a statutory responsibility to investigate complaints effectively, and the CCG has robust processes in place for monitoring the Trusts' compliance with complaints regulations.

- handled 25 concerns, seven of which were redirected
- The CCG also handled 14 enquiries



Graph 1: Number of complaints about CCG services and decisions

## 2.2. Timeliness of response

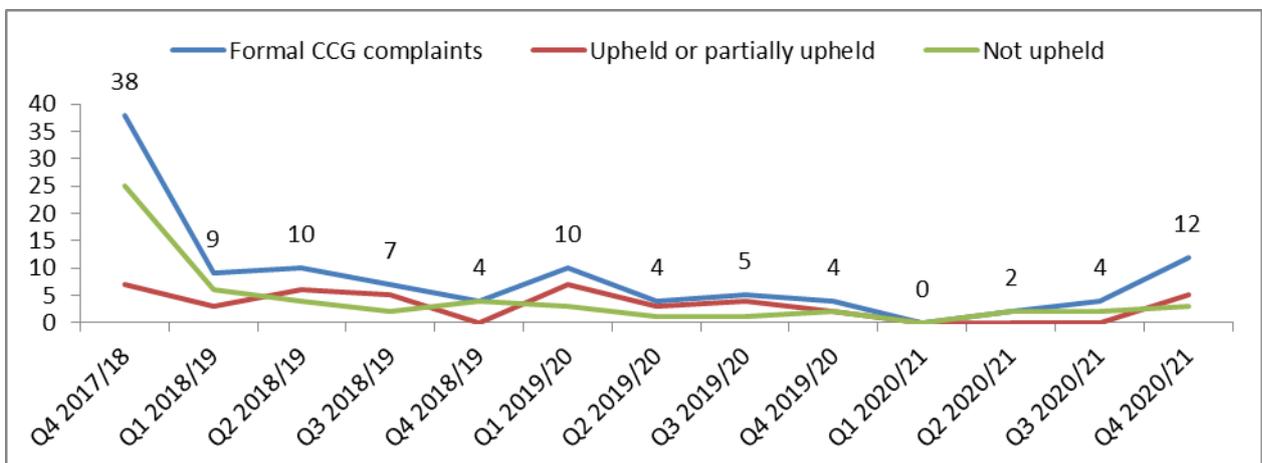
We aim to acknowledge complaints within two working days and respond within 25 working days. This timeframe can be negotiated and amended with the agreement of the complainant. Of the twelve complaints about CCG services and decisions:

- Eleven (92%) were acknowledged within two working days
- Six (50%) met the 25 day target response timeframe. Four cases are still open, two of which could still meet target.

## 2.3. Complaints by outcome

Of the eight complaints the CCG has responded to, the outcome has been as follows:

- Five complaints were upheld (42%)
- Three were not upheld (25%)
- None were partially upheld



Graph two: Number of formal complaints received, number not upheld and number either upheld or partially upheld (combined).

<b>Complaint outcomes</b>										
	2018-2019		2019-20				2020-21			
	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Upheld: <sup>2</sup>	1	0	2	1	3	1	0	0	0	5
Partially upheld: <sup>3</sup>	4	0	5	2	1	1	0	0	0	0
Not upheld: <sup>4</sup>	2	4	3	1	1	2	0	2	2	3
Unknown (complaint open or on hold).										4

Table 2: Complaint outcomes and open cases

## 2.4. Parliamentary and Health Service Ombudsman (PHSO)

The Parliamentary and Health Service Ombudsman partially upheld one CCG complaint during Quarter Four which related to Continuing Healthcare (CHC) and the provision of respite to take into account a safeguarding made by the Local Authority. The PHSO recommended that the CCG acknowledge the failings identified in the Ombudsman's investigation/report and apologise for the distress caused. We have followed the recommendations.

## 2.5. Subjects of complaints

The pandemic and the vaccination programme have led to an increase in enquiries, concerns and complaints. The subjects of the formal complaints were as follows:

- five complaints relate to the Covid-19 vaccination rollout
- two related to the Prescription Order Line availability
- one related to IVF eligibility for a patient with immigration status and Sheffield Teaching Hospital's (STH) interpretation of the policy
- one related to surgery being delayed as a result of Covid-19 Acute beds for out of area patients
- three are CHC complaints, two involving care management and one in regards to Decision Support Tool (DST) correspondence

<sup>2</sup> Primary concerns were found to be correct.

<sup>3</sup> Primary concerns were not found to be correct, but our investigation identified some problems with the service provided.

<sup>4</sup> 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.

**2.6. Vaccination Enquiries**

During Quarter 4, as the vaccination roll-out continued in Sheffield, Feedback and Complaints received 121 ‘vaccination enquiries’ in addition to the numbers above. The team worked with vaccination colleagues and the communications team to provide responses to these. These included but were not limited to:

- individuals wanting to know when they would receive their first vaccination
- housebound individuals checking they had not been forgotten
- individuals seeking clarity on whether they were in the Clinically Extremely Vulnerable (CEV) or Clinically Vulnerable (CV) group
- where a vaccination could be administered (Primary Care Network (PCN) or at the Arena
- whether there was choice as to which vaccination to receive

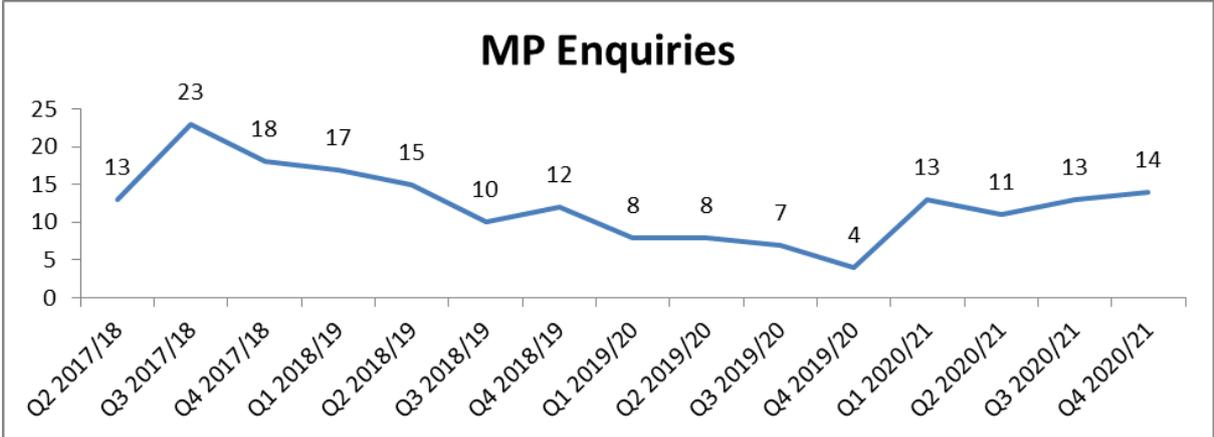
In addition, we received a number of enquiries relating to ‘workforce groups’ and the CCG set up a workforce inbox to manage these separately.

**3. MP enquiries**

When an MP raises a complaint on behalf of a constituent, this may be classified as a formal complaint. The CCG also responds to queries from MPs that do not meet the criteria of a formal complaint. These are classified as MP enquiries.

**3.1. Number of MP enquiries received**

During Quarter 4 the CCG handled 14 MP enquiries, and redirected an additional two to another organisation to respond to.



Graph 3: Number of MP enquiries about CCG services and decisions

**3.2. Timeliness of response**

We aim to acknowledge MP enquiries within two working days and respond within 25 working days.

Of the 14 MP enquiries handled during Quarter Four of 2020/21

- Twelve (86%) were acknowledged within two working days
- Eight (57%) were responded to within 25 working days

### 3.3. Subject of MP enquiries

The theme of Covid-19 vaccination was followed through from complaints into MP enquiries with MP enquires involving the following issues:

- Thirteen of the enquiries were in relation to Covid-19 vaccinations both in terms of seeking clarity as to when individuals would be vaccinated and when and how particular cohorts were being considered
- One enquiry related to a potential GP practice expansion

The two redirected enquiries were for Sheffield Teaching Hospitals in relation to the Covid-19 vaccination.

## 4. Patient Experience Surveys

### 4.1. Prescription Order Line (POL)

The Prescription Order Line has seen a significant increase in callers since the first Covid-19 national 'lockdown' (est. around 2500 per month). Despite having two complaints that related to availability of staff to answer the phone on snow days and through Covid-19 related absence, the POL continues to receive the a number of telephone compliments directly into Feedback and Complaints, where individuals have taken the time to phone us and express their gratitude. Some of the comments are below.

POL conduct a quarterly online survey, the results are shown:

	Q4 19/20	Q1 20/21	Q2 20/21	Q3 20/21	Q4 20/21
No. completing the survey	5	5	5	2	8
No. recommend:					
likely/ extremely likely	0	3	1	0	5
unlikely/ extremely unlikely	3	2	3	2	2
neither likely or unlikely/ don't know	2	0	1	0	1
No. received by Complaints Team:					
Compliments	1	3	2	5	8
Concerns/ Comments	1	0	2	1	0
Complaints	1	2	0	0	2
No. on the spot complaints received and dealt with at the time	-	-	-	-	-

Members of the Public's feedback for POL staff:

"They are always so polite and lovely and efficient" *"absolutely wonderful!"*

"They are so lovely, absolutely delightful they have that rare mix of kindness and professionalism" **"they are super"**

"...ARE ALWAYS SO CHEERFUL AND HELPFUL, I RATE THEM HIGHLY"

#### 4.1.1 Feedback for Q4

For those who were unlikely to recommend the service reasons included: not receiving their prescription and limited opening times making it difficult for those working long hours.

Three respondents left comments about their experience, including contact details. The comments left were positive praising 'excellent', 'friendly', 'polite and professional' staff. Of the two complaints received these have been responded to and no further action is required.

#### 4.2. Continuing Healthcare (CHC)

The CHC Team have confirmed that the feedback questionnaire is under review to determine whether it is the right mode or method to source to patient feedback.

The CHC Framework restarted on 1 September 2020. Between 1 January 2021 and 31 March 2021 a total of 111 referrals plus 56 COVID CHC assessments were undertaken. During the same period a total of 66 questionnaires have been received back. This is a return rate for the period of 39.5%. This led to the following outcomes:

Satisfaction Scores for the period	Theme Average Satisfaction Score (%)
Intro to CHC service / Assessment process	79%
Contact with CHC service during Assessment	74%
Experience of CHC assessment process	82%
How did we make you feel?	85%
Total Average Satisfaction Score	80%

The Feedback and Complaints Team received nine emails which were forwarded from the CHC team where individuals were expressing gratitude for the work undertaken by CHC staff members including:

*From family members of those in receipt of CHC Funding:*

"[CHC staff member]...immediately put us at ease and made it less daunting, explained the process in words we could understand..."

"...progress made so quickly to resolve issues, contacted quickly in response to issues reported, listened and were compassionate, calm and professional, carrying out urgent research and doing virtual tours for new placements...thank you..."

"C was my first point of contact on quite a difficult and challenging day and really made this process a little easier to understand and she did so with compassion, understanding and care whilst maintaining the right amount of professionalism...the world needs more people like C..."

*From colleagues at another Local Authority:*

“...a pleasure working with you, such a positive experience...”

## **5. Personnel/Changes within Feedback and Complaints/Improvements**

The Feedback and Complaints Department has seen a change in staff in this last two quarters, with the new Complaints Manager appointed at the end of Q3 and a new Complaints, Freedom of Information (FOI) and Patient Experience Officer taking up post at the beginning of February 2021.

In relation to improving timeframes for responses and meeting deadlines, training will be being provided to Investigating Officers within the CCG to look at how Feedback and Complaints can work collaboratively and supportively to bring about earlier responses together.

## **6. Recommendation**

The Governing Body is asked to note the Complaints, MP Enquiries and Patient Feedback Report for Quarter 4 2020/21.

Paper prepared by Sonya Friend, Feedback and Complaints Manager

On behalf of Brian Hughes, Deputy Accountable Officer.

12 April 2021