

Annual Complaints Report

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Paper Title: Complaints, Compliments and PALS Annual Report 2013-14

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A requirement of the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 is that each Trust publishes an annual report providing the following information:

1. The number of complaints received;
2. The number of complaints with which the Trust decided were well founded
3. The number of complaints referred to the Ombudsman of which the Trust is aware of; and
4. A summary of the subject matter of the complaints, any matters of general importance arising from the complaints and any actions taken to improve services as a consequence of complaints.

On a small number of occasions, the level of service provided might be below an expected standard. We are never happy when this happens and will make every effort to handle complaints directly and quickly, with fairness and with confidentiality. As part of our drive to receive real feedback on our services we welcome comments from the people who use our services and their families. There are always lessons that can be learnt, either locally or more widely across the Trust. Services can always improve as a result of listening to individual experiences.

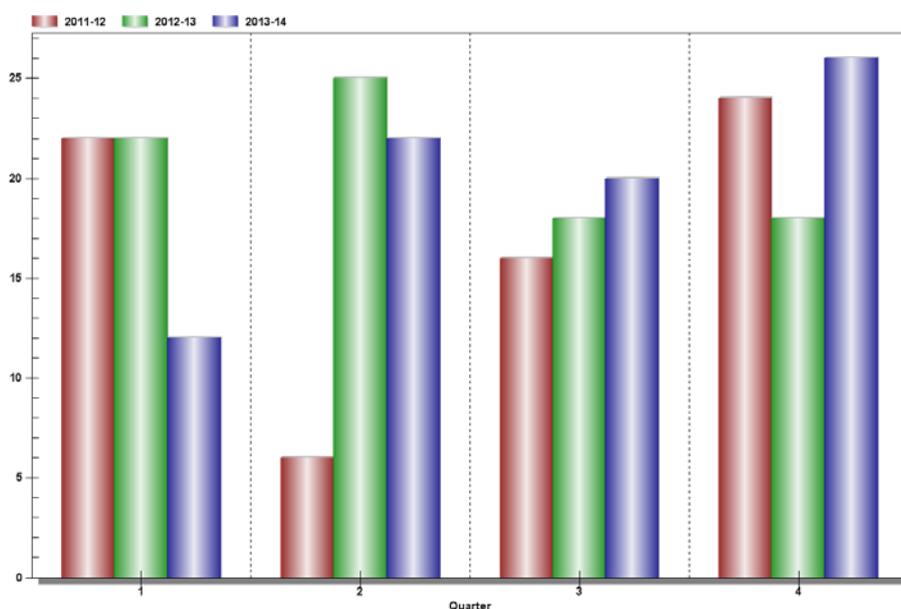
Complaints, Compliments and PALS Annual Report, 2013-14

Background/Introduction

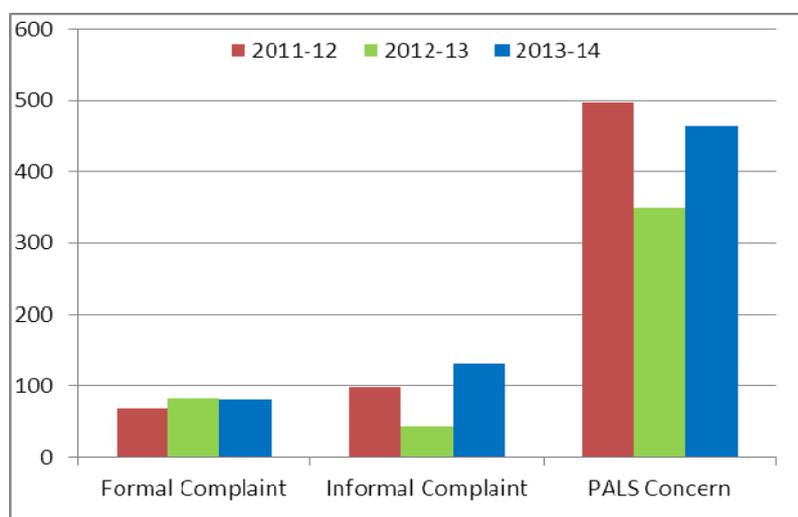
This report is in line with the Trust's aim to learn from concerns/complaints raised, improve service delivery and ensure Trust Board oversight of the compliance against our registration with the CQC. The report also identifies any high level themes and trends arising from complaints.

1. Complaints and PALS – Statistics

The following table shows the complaints received during the period ending 31 March 2014, in comparison with previous years.



The table below shows PALS concerns, formal complaints and informal complaints in comparison to previous years. The Trust receive 80 Formal Complaints during the 2013-14 period; this is a decrease of 4 on the previous year. Notably there has been a significant increase in informal complaints to the previous year. The increase was due to the large number of complaints about the continence products. This issue has now been addressed by the Trust.



1.1 Number of formal complaints and % against performance targets 2013/14

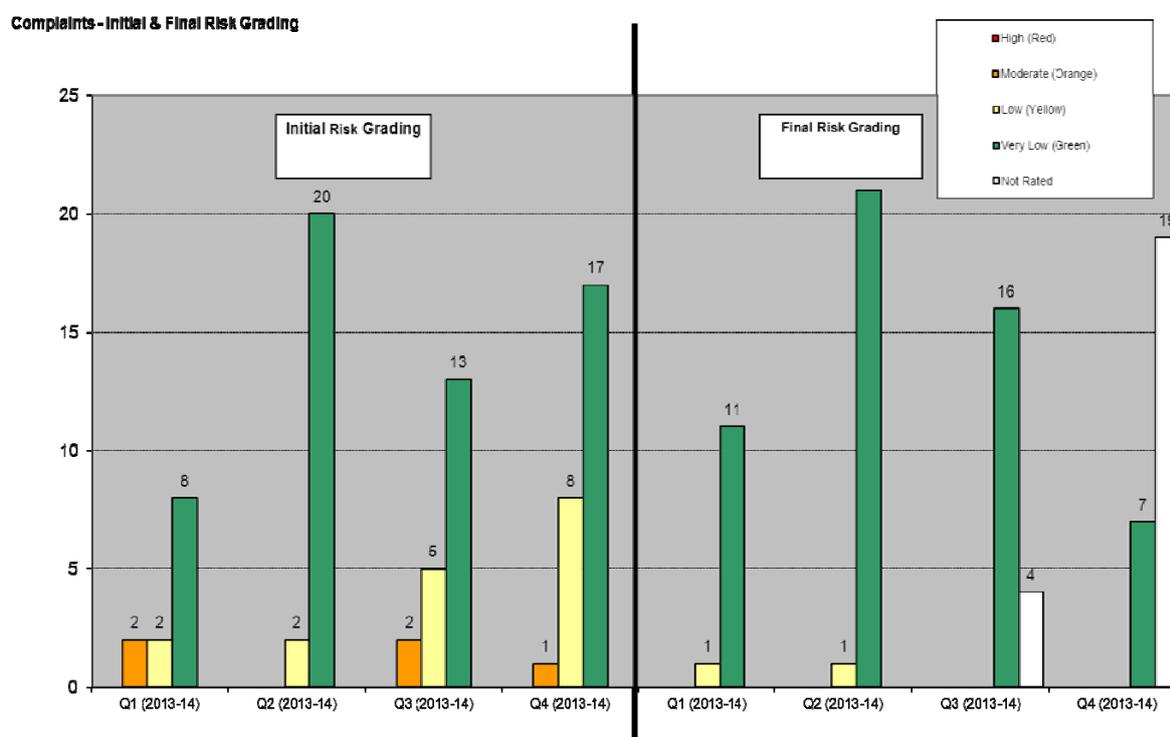
	Total No. complaints received in Quarter	Number acknowledged with 3 working days	Number resolved within original timescale agreed with complainant	Number resolved with agreed extension to original timescale	Number resolved in excess of agreed timescale	Number still under investigation and within agreed timescale
1	12	12 (100%)	7 (58%)	5 (42%)	0	0
2	22	22 (100%)	13 (59%)	8 (36%)	1 (5%)	0
3	20	20 (100%)	13 (75%)	4 (20%)	1 (5%)	0
4	26	26 (100%)	20 (23%)	5 ()	1 (4%)	0

The Trust is required to acknowledge all formal complaints within 3 working days; we are 100% compliant with this target. The complaints where the Trust has exceeded the agreed timescale were reviewed. The reasons for this varied:

- waiting for documentation from other organisations;
- waiting for further information from services to provide a full response;
- a key member of staff required interviewing and the response could not be sent until this time.

1.2 Risk Ratings of formal complaints

The graph below indicates the initial risk ratings of complaints and demonstrates the final risk rating on closure of the complaint.



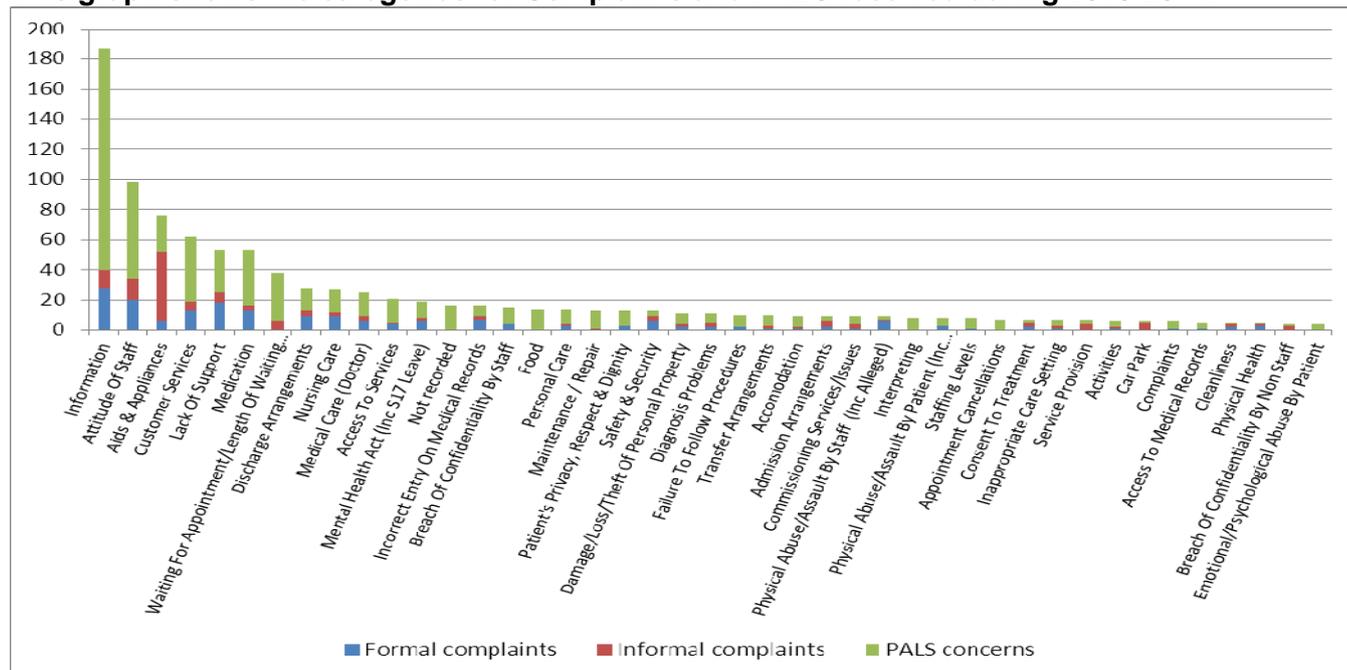
*The Final Risk Grading not rated refers to complaints not yet completed at the time of this report.

A secure system for sharing written information is available for school nursing staff to use providing detailed information other than basic information. Written information will be provided to Social care where detailed health information is required for the purposes of completing a core assessment.

Prescribing Medication Audit – an audit will be undertaken against an agreed criteria of standards regarding the process of prescribing medication and the communication to GP's.

3. Categories of Complaints and PALS concerns

This graph shows the categories for Complaints and PALS received during 2013-2014.



*where a combined total of Complaints and PALS is below 4 they have been excluded from the graph.

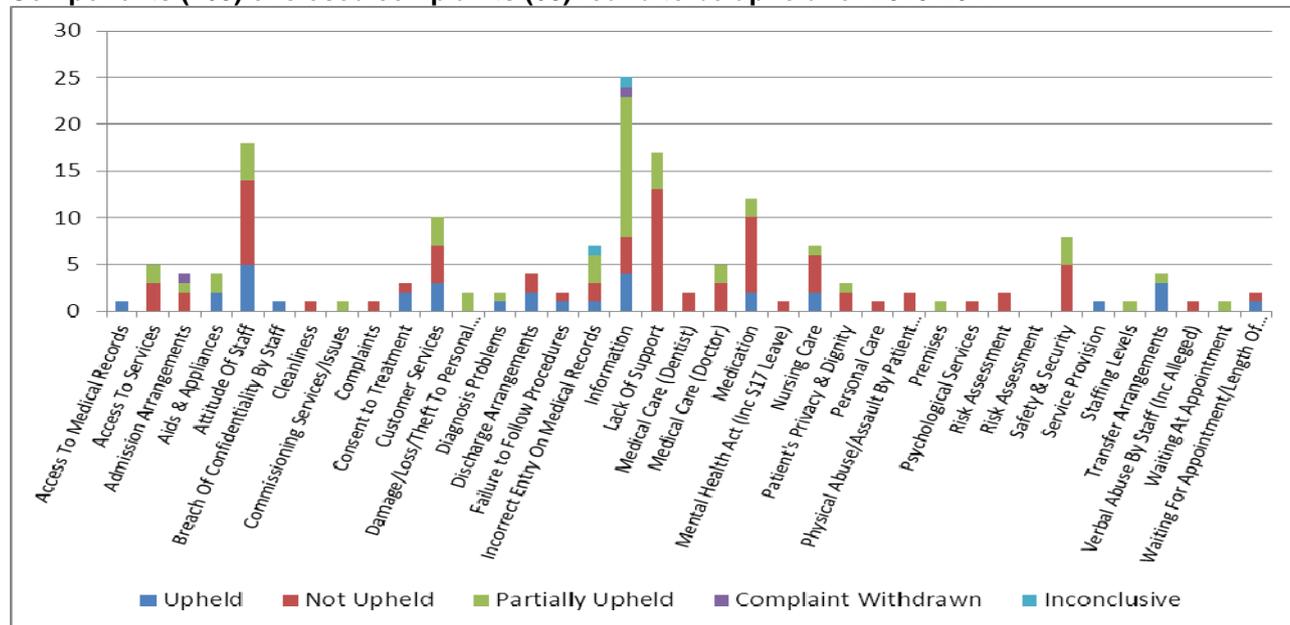
Information: The quarter 3 report showed a high number of PALS concerns were recorded in the information category. This is also consistent throughout the year. The Complaints Manager has reviewed these and found that these are not all being recorded correctly. A number of these were *enquiries*, where a person may contact PALS for signposting, rather than concerns about the Trust. Furthermore, some of the issues have been incorrectly categorised as information rather than another category. This has been addressed with the PALS team and future reports will accurately record concerns about information. Furthermore, as both PALS and Complaints are using the same module to record information on, the data recorded will be reviewed on a weekly basis by the Complaints Manager for the near future for assurance that information is correctly recorded.

Attitude of staff: Attitude of staff features consistently though complaints and concerns. The Trust has developed an action plan around Compassion in Practice in line with the nursing strategy. The aim is to embed initiatives such as the Care Maker role and Barbara's Story which focus on the Values and Behaviours of all staff when delivering exemplary care. There are plans that this will be rolled out to teams within the Trust and the Complaints Department will be providing data on areas in which staff attitude is a feature of complaints.

4. Summary of formal complaints upheld

The graph below indicates the outcome of formal complaints closed during 2013-14. The graph represents each component of the complaint. Some complaints are more complex than others and have issues recorded in more than one category.

Components (163) of closed complaints (68) found to be upheld for 2013-2014



The Complaints figures for the Trust are reported to the Department of Health (DoH) annually via the KO41 for national reporting purposes. If any component of the complaint is upheld or partially upheld, this is recorded by the DoH as upheld and is reflected in their figures which are published annually.

5. Feedback from Complainants

In total 5 questionnaire responses have been received over the year. This is a poor response rate. Historically the letters have been posted 1 month following the complaint. The Complaints Department will now send them 2 weeks following the final response being sent. Respondents were generally satisfied with the complaints process and all respondents indicated they would advise friends/family to make complaints. On a less positive note, not all the respondents felt that every aspect of their concerns were investigated during the process and they were not satisfied with the findings.

6. Parliamentary & Health Service Ombudsman (PHSO) Activity – 2013-2014

The Trust encourages complainants who remain dissatisfied following receipt of the final response, to come back with any outstanding issues to allow the Trust further opportunity for local resolution before approaching the Ombudsman.

No. of new files requested by the PHSO	1
No. cases PHSO concluded they will not investigate	0
No. awaiting decision	1
No. of cases under investigation by PHSO	1
Full review/investigation that have been closed	0

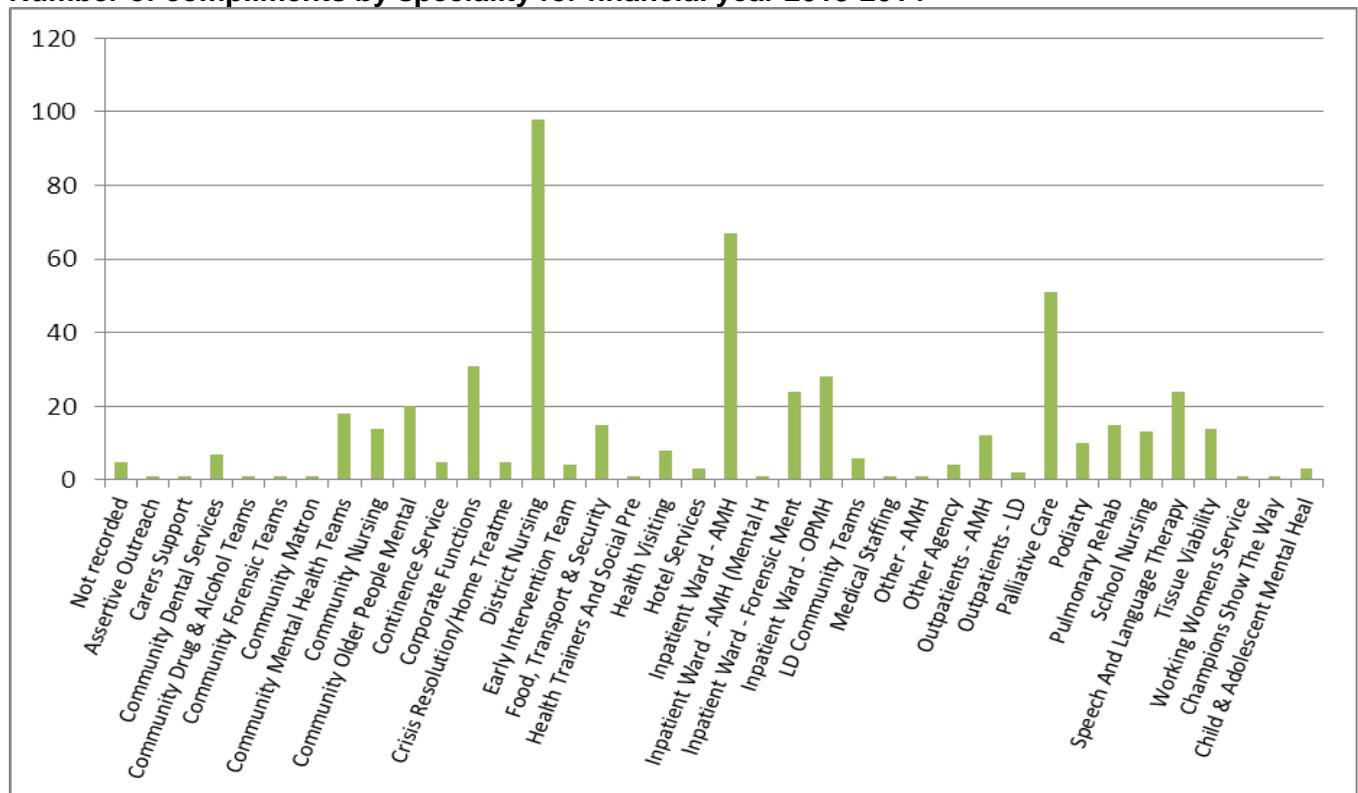
The Trust is aware of one complaint that has been referred to the PHSO (in Quarter 3). The complaint is from a patient who was dissatisfied with the level of support he received from the Intensive Home Treatment Team. The Trust did not uphold the complaint and feel there is nothing further that can be done to resolve the complaint locally. The case file has been shared with the Ombudsman for review and we are awaiting a decision to see if they will undertake further investigation.

As previously reported in the last report the PHSO has indicated that they are investigating one complaint and the Trust has reviewed the draft report and fed back comments. The PHSO have not yet finalised their report.

7. Compliments (PALS & Complaints)

The Trust also records compliments about the service we deliver as it also important to recognise good practice.

Number of compliments by speciality for financial year 2013-2014



During the financial year 2013-2014 there were 517 compliments. Some examples are:

- *I attended today my first seated exercise session at the Coronation Hospital Ilkley together with my husband. We both enjoyed the hour tremendously and I feel sure it will benefit me in time.*
- *The service from all members of your staff have been nothing but first class - this from secretarial, reception and treatment personnel.*
- *Through your support, guidance and understanding, I have realised that I can get my life back on track and make positive steps to become the person I know I can be.*
- *To say I am a nervous patient is a bit of an understatement, but both the dentist and the nurse / dental hygienist were fabulous and very supportive.*

- *I am writing to you to let you know about the outstanding care we received from one of your health visitors, She instantly put us at ease & calmed us all down,...we left feeling much more reassured and confident that we were doing well.*
- *'thank you to your personal kindness to my dad, which has gone above and beyond the call of duty!'*
- *I'm pleased to say I'm making good progress and I sincerely hope I will not need to trouble you again... but if that should happen I know I will be in the best of hands.*

9. Improvements & Developments to Complaints process.

- The Trust has appointed a dedicated investigator, fixed term, to undertake complaint investigations. Interviews for the Complaints Investigators take place in April and are expected to be in post by June.
- The Prime Minister and Health Secretary commissioned Ann Clwyd MP and Professor Tricia Hart, Chief Executive of South Tees Hospitals FT to look at how complaints about care in NHS hospitals made by patients, their carers and representatives are listened to and acted upon. The Complaints Department is working with the University of Central Lancashire over the coming months in introducing an Appreciative Inquiry (AI) approach to complaints. The outcome of the workshop is to develop an approach to help improve the complaints and PALS processes. This will be completed by the end of the year and it is expected that this approach will be rolled out through the complaints process.
- Following the first workshop with PALS and Complaints it was agreed both departments would use one module on the Safeguard recording system. Historically two modules have been used and the system could not be used to easily provide joined up reports. The recording of information on one module will streamline reporting. Categories for reporting concerns will be Formal Complaints,

Work continues in view of rolling out localised reporting. As PALS and complaints are now recording on the same module, regular reports are provided to areas and can be provided ad-hoc for specific areas when requested. Governance structures are in place and regular reports are provided to services to enable them to review themes and trends. The Complaints Department are also seeking assurance through the Serious Incident, Complaints and Claims forum that issues are being addressed.