



REPORT TO: PERFORMANCE AND AUDIT COMMITTEE – 27 SEPTEMBER 2023
REPORT ON: QUARTERLY COMPLAINTS PERFORMANCE – 1st QUARTER 2023/24
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC34-2023

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to summarise the complaints performance for the Health and Social Care Partnership (HSCP) in the first quarter of 2023/24. The complaints include complaints handled using the Dundee Health and Social Care Partnership Social Work Complaint Handling Procedure, the NHS Complaint Procedure and the Dundee City Integration Joint Board Complaint Handling Procedure.

2.0 RECOMMENDATIONS

It is recommended that the Performance and Audit Committee (PAC):

- 2.1 Notes the complaints handling performance for health and social work complaints set out within this report.
- 2.2 Notes the work which has been undertaken to address outstanding complaints within the HSCP and to improve complaints handling, monitoring and reporting.

3.0 FINANCIAL IMPLICATIONS

None

4.0 MAIN TEXT

- 4.1 Since the 1st April 2017 both NHS and social work complaints follow the Scottish Public Service Ombudsman (SPSO) Model Complaint Handling Procedure. Both NHS Tayside Complaint Procedure and the Dundee Health and Social Care Partnerships Social Work Complaint Handling Procedures have been assessed as complying with the model complaint handling procedure by the SPSO.
- 4.2 Complaints are categorised by 2 stages: Stage 1: Frontline Resolution and Stage 2: Investigation. If a complainant remains dissatisfied with the outcome of a Stage 1: Frontline Resolution complaint, it can be escalated to a Stage 2. Complex complaints are handled as a Stage 2: Investigation complaint. If a complainant remains dissatisfied with the outcome of Stage 2: Investigation complaint they can contact the Scottish Public Services Ombudsman who will investigate the complaint, including professional decisions made. Complaints about the delivery of services are regularly presented to the Clinical, Care and Professional Governance Group to inform service improvement.
- 4.3 The information regarding complaints to complete the complaints monitoring report is received by the IJB from Dundee City Council and NHS Tayside. However, for quarter 1, NHS Tayside did not provide the most up to date information for open complaints which has resulted in an incomplete report for health complaints. NHS Tayside has committed to provide access to this information for future reporting

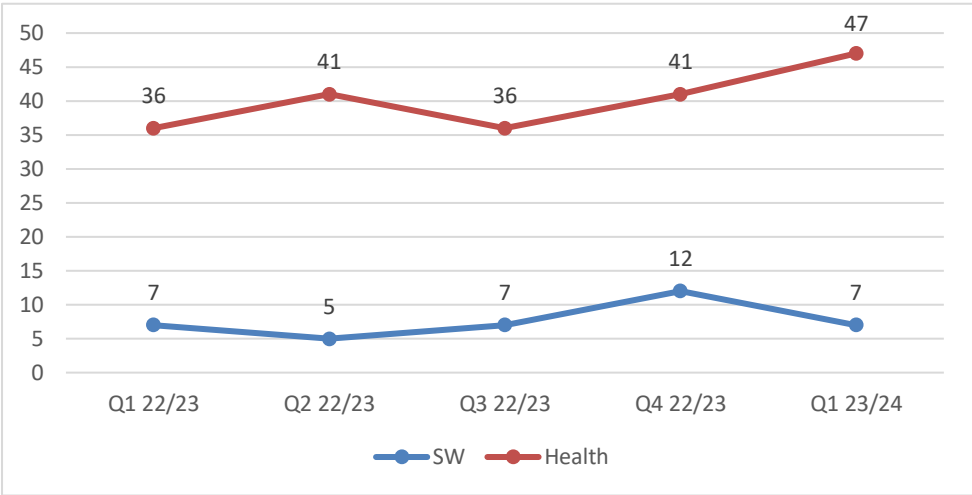
4.4 While the first graph advises the volume of complaints received during the period, this report is based upon complaints closed within the period. SPSO categories are included as appendix 1 at the end of the report. Please note that not all figures will add up to 100% due to missing data or different recordings.

5.0 Complaints Received

5.1 In the fourth quarter of 2022/23 a total of 7 complaints were received about social work or social care services.

5.2 Health received 47 complaints for Q1 within in the Dundee Health and Social Care Partnership.

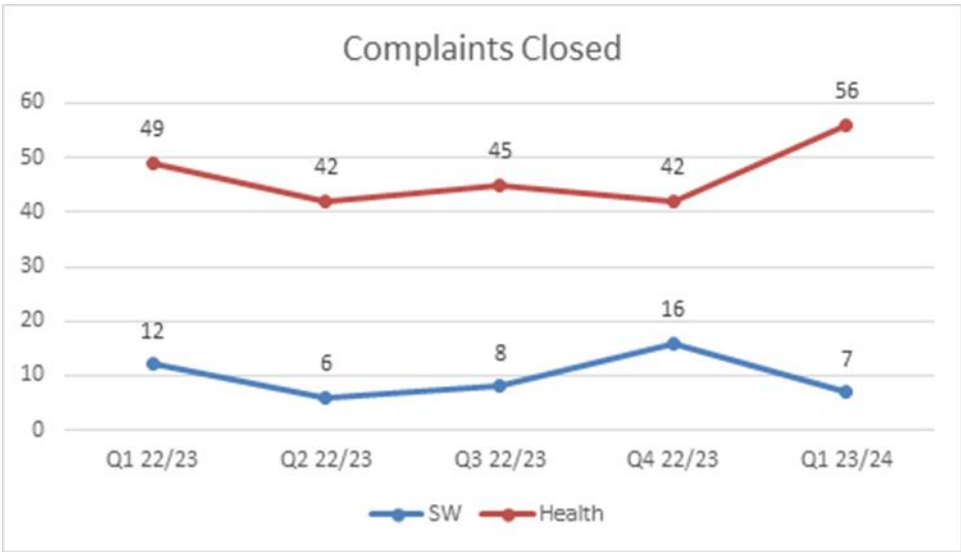
5.3 Number of complaints received quarterly



Graph 1 Numbers of Complaints received Quarterly

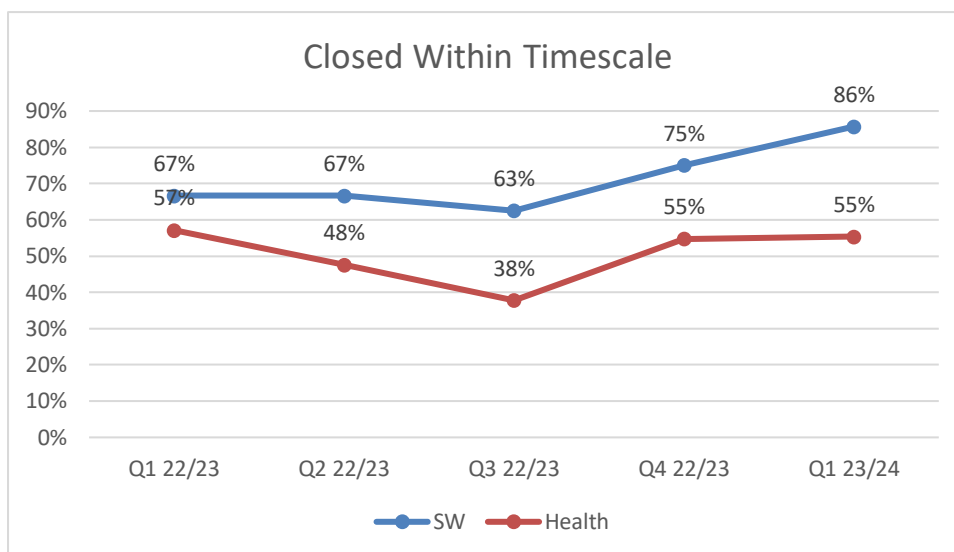
5.4 The graph shows that Social Work and Social Care Services have seen a slight decrease in complaints received where Health complaints have increased for the second quarter running.

6.0 Complaints Closed & Resolved Within Timescales



Graph 2 Numbers of Complaints Closed Quarterly

6.1 During quarter one 7 Social Work complaints and 56 Health complaints were closed.



Graph 3 % of Complaints closed within Timescales Quarterly

6.2 Out of the closed complaints 86% of social work complaints were closed within timescale, which is the highest this year. Health complaints were closed within timescales for 55% of the time which is a sustained improvement from the previous quarter too, following a dip in late 2022.

7.0 Social Work complaints by reason for concern

7.1 Complaint themes continue to be monitored for trends and looking at the table below, we can see that for the 4th quarter running Delays have been the most frustrating element for complainants making complaints.

Reasons for concern	Q1 2022/23	Q2 2022/23	Q3 2022/23	Q4 2022/23	Q1 2023/24
Attitude, behaviour or treatment by a member of staff	0	2	2	2	1
Delay in responding to enquiries and requests	9	4	2	5	3
Dissatisfaction with our policy	1	0	1	3	1
Failure to provide a service	0	0	1	2	2
Failure to follow the proper administrative process	0	0	0	1	0
Failure to meet our service standards	2	0	2	3	0

1 Social Work Complaints per Category

7.2 The numbers of social work complaints received this quarter continue to be small relative to the number of services delivered on a daily basis.

8.0 Health complaints by reason for concern

8.1 The table below shows the breakdown of health complaint reasons captured by the NHS Tayside Complaint and Feedback team when the complaint is originally received.

Complaints by Reason	Q1 2022/23	Q2 2022/23	Q3 2022/23	Q4 2022/23	Q1 2023/24
Disagreement with treatment / care plan	6	1	8		10

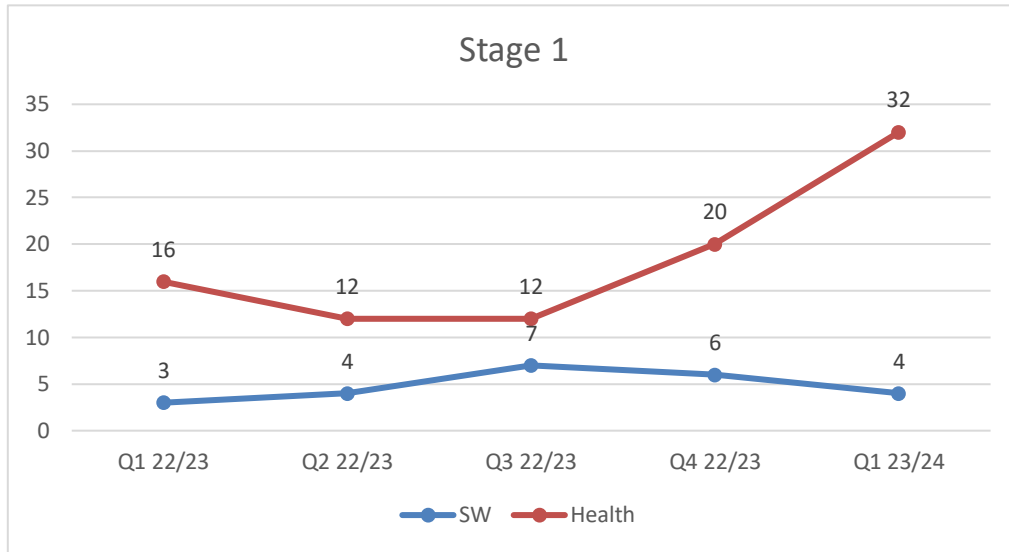
Lack of continuity	1	1	0		0
Wrong treatment given	0	0	0		1
Letter Wording	1	0	0		0
Problems with medication	3	1	1		0
Unacceptable time to wait for appointment	8	3	4		5
Lack of support	6	1	2		0
Shortage of staff	3	0	0		1
Patient not being verbally told things	1	0	1		0
Not listening	0	1	0		0
Staff attitude	0	0	0		1
Email	1	0	0		0
Telephone	1	0	1		0
Error with prescription	1	0	0		0
Poor medical treatment	1	1	1		0
Poor aftercare	0	1	0		0
Staff not trained properly	0	1	0		0
Waiting too long for results	0	1	1		0
Waiting for referral	0	1	0		0
Abruptness	1	1	1		1
Co-ordination of clinical treatment	0	3	0		5
Patient has been sent no communication	0	1	0		0
Inappropriate comments	0	1	0		1
Insensitive to patient needs	0	2	0		2
Inefficient	0	1	1		0
Recruitment	0	0	0		2
Conduct	1	1	0		0
No information has been sent to complainant	0	0	0		1
Treatment to patient (not clinical treatment)	0	0	0		1
Disabled parking	0	0	1		0
Poor nursing care	0	0	2		0
Missing			16		24
Other	0	0	2		1
Formal	0	0	1		0
Face to face	0	0	1		0
Cancellation of appointment	0	0	1		0
Total	35	23	45	0	56

Table 2 Health Complaints per Category

8.2 There is a large distribution of reasons for health complaints. However the three largest complaint reasons are Disagreement with treatment / care plan; Unacceptable time to wait for appointment; and Co-ordination of clinical treatment.

8.3 No data was provided Q4 for Health complaints.

9.0 Complaints Stages

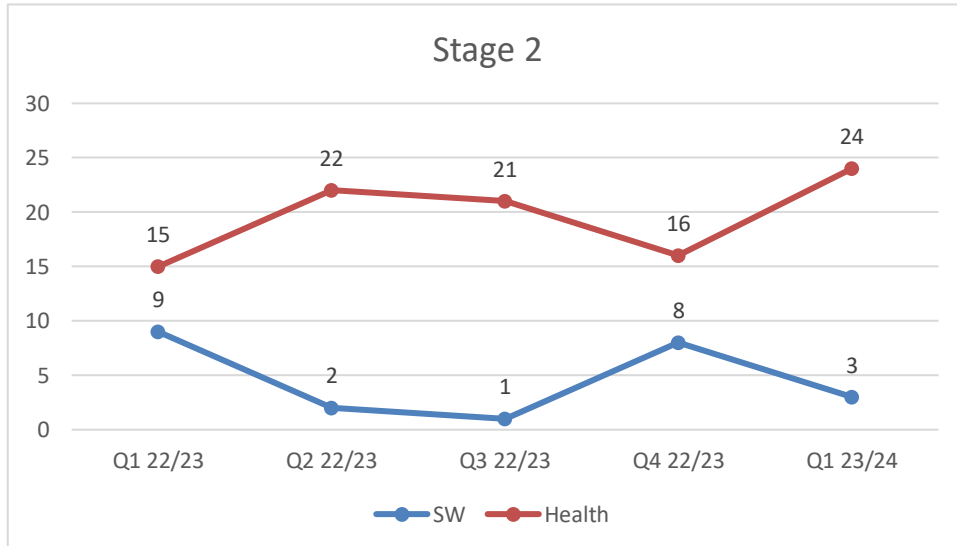


Graph 4

Numbers of complaints recorded as Stage 1

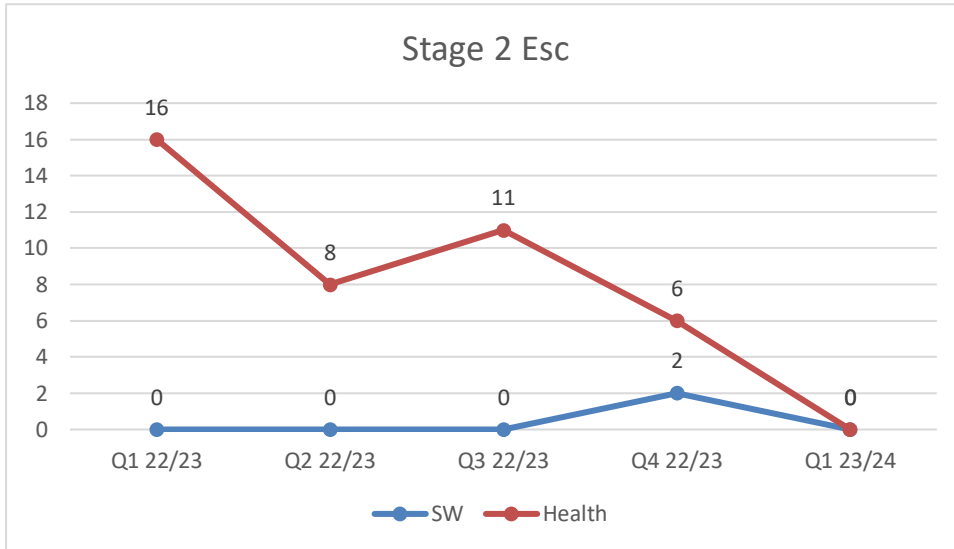
9.1 Stage 1 complaints are completed within 5 days or given a maximum extension of a further 10 days.

9.2 Numbers fluctuate within Social Work between quarters.



Graph 5 Numbers of Complaints recorded as Stage 2

9.3 Stage 2 complaints are completed within 20 working days and can be extended also. Social Work stage 2 complaints have seen a substantial decrease this quarter.



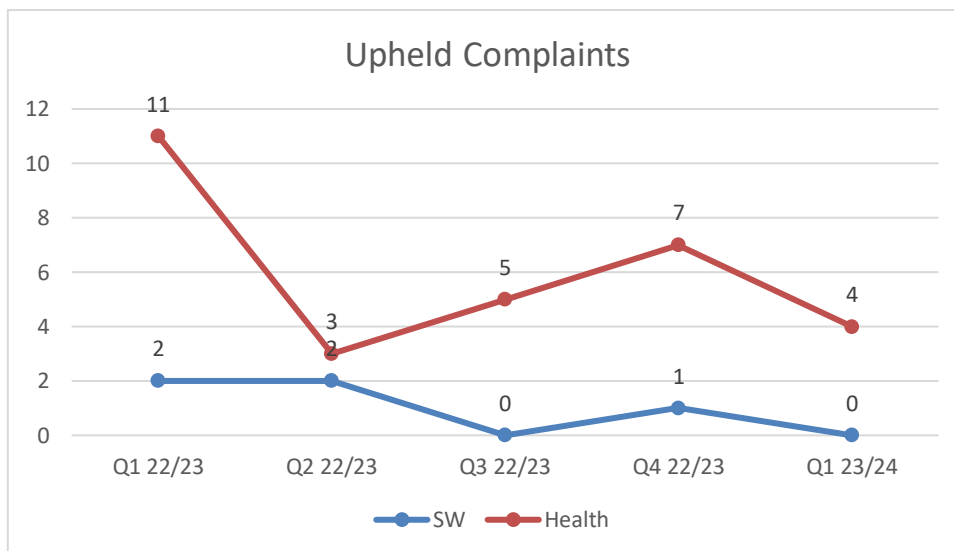
Graph 6 Numbers of Complaints escalated from Stage 1 to Stage 2

9.4 Stage 2 escalated complaints are those which are escalated from stage 1 to stage 2 after being logged and possibly responded to.

10.0 Complaint Outcomes

10.1 Partially upheld and upheld complaints receive planned service improvements logged against them by the allocated complaint investigator and these must be completed within a set timeframe.

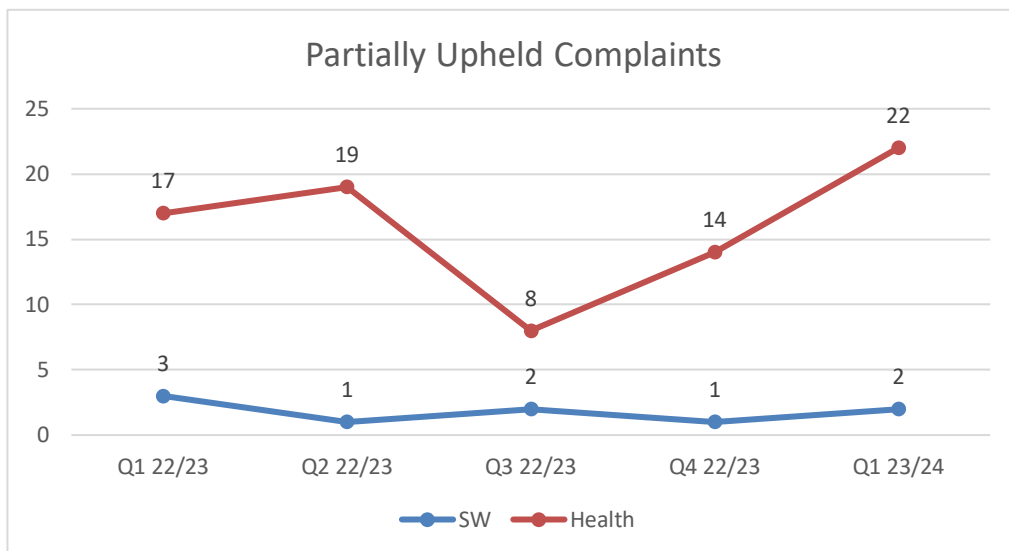
10.2 These planned service improvements can range from process improvements or re-design to team briefings regarding staff attitude and behaviour.



Graph 7 Numbers of upheld Complaints

10.3 Social Work upheld complaints have remained fairly steady.

10.4 The number of Health complaints have decreased this quarter.



Graph 8 Numbers of Partially Upheld Complaints

10.4 Partially Upheld complaints have increased slightly this quarter for both Social Work and Health.

11.0 Planned Service Improvements

11.1 There were two partially upheld or upheld complaints which have all identified a cause and have service improvements planned to address these. By putting these planned service improvements in place, we look to minimise complaints of the same nature being received. This is similar for the full year with Social Work complaints but Health complaints vary vastly.

12.0 Open Complaints

	Total Open	20 days or less	21-39 days	40-99 days	100 days +	180 days +	Average Days
SW	6	3	3	0	0	0	21
Health	-	-	-	-	-	-	-

Table 3 Open complaints by length of time open

12.1 The most up to date information for open complaints has not yet been provided by NHS Tayside.

13.0 Compliments

13.1 Compliments are received by teams across Dundee Health and Social Care Partnership. Two examples are listed below:

13.2 **April 2023:** Just wanted to say how much I have appreciated all your help over the last two years, from when I first appeared in the plaster room after my first op in Edinburgh to now. 6 operations later and finally there.

13.3 **June 2023:** As you know I didn't want to have anything to do with the social, but everyone has been so lovely from you to (worker) to the men that came to fit the frame around the toilet.

14.0 IJB Complaints

No complaints about the Integration Joint Board have been received.

15.0 POLICY IMPLICATIONS

This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

16.0 RISK ASSESSMENT

This report has not been subject to a risk assessment as it is provided for information and does not require a policy decision from the PAC.

17.0 CONSULTATIONS

The Chief Officer and the Clerk were consulted in the preparation of this report.

18.0 BACKGROUND PAPERS

None

Dave Berry
Chief Finance Officer

DATE: 05 September 2023

SPSO Categories

	Social Work 2023/24				Health 2023/24			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1a: the total number of complaints received per 1,000 population	0.06				0.39			
1b: the total number of complaints closed per 1,000 population	0.06				0.46			
2a: the number of complaints closed at stage 1 as % all complaints closed	57%				57%			
2b: the number of complaints closed at stage 2 as % all complaints closed	43%				43%			
2c: the number of complaints closed after escalation as % all complaints closed	0%				0%			
3a: the number of complaints upheld at stage 1 as % of all complaints closed in full at stage 1	0%				13%			
3b: the number of complaints not upheld at stage 1 as % of all complaints closed in full at stage 1	75%				31%			
3c: the number of complaints partially upheld at stage 1 as % of all complaints closed in full at stage 1	25%				47%			
3d: the number of complaints upheld at stage 2 as % of all complaints closed in full at stage 2	0%				0%			
3e: the number of complaints not upheld at stage 2 as % of all complaints closed in full at stage 2	67%				75%			
3f: the number of complaints partially upheld at stage 2 as % of all complaints closed in full at stage 2	33%				20%			
3g: the number of escalated complaints upheld at stage 2 as % of all escalated complaints closed in full at stage 2	0%				0%			
3h: the number of escalated complaints not upheld at stage 2 as % of all escalated complaints closed in full at stage 2	0%				0%			
3i: the number of escalated complaints partially upheld at stage 2 as % of all escalated complaints closed in full at stage 2	0%				100%			
4a: the average time in working days for a full response to complaints at stage 1	7				9			
4b: the average time in working days for a full response to complaints at stage 2	18				11			
4c: the average time in working days for a full respond to complaints after escalation	0				13			
5a: the number of complaints closed at stage 1 within 5 working days as % of total number of stage 1 complaints	25%				59%			
5b: the number of complaints closed at stage 2 within 20	33%				57%			

working days as % of total number of stage 2 complaints								
5c: the number of complaints closed after escalation within 20 working days as % of total number of escalated complaints	0%				67%			
6a: number of complaints closed at stage 1 where extension was authorised as % of all complaints at stage 1	50%				0%			
6b: number of complaints closed at stage 2 where extension was authorised as % of all complaints at stage 2	67%				0%			
6c: number of complaints closed after escalated where extension was authorised as % of all complaints escalated	0%				0%			

**Please note all categories add up to 100% due to missing data, the use of resolved outcomes and other categories to close complaints.