



**Wigan Borough**  
Clinical Commissioning Group

# **Complaints Annual Report**

## **2017-2018**

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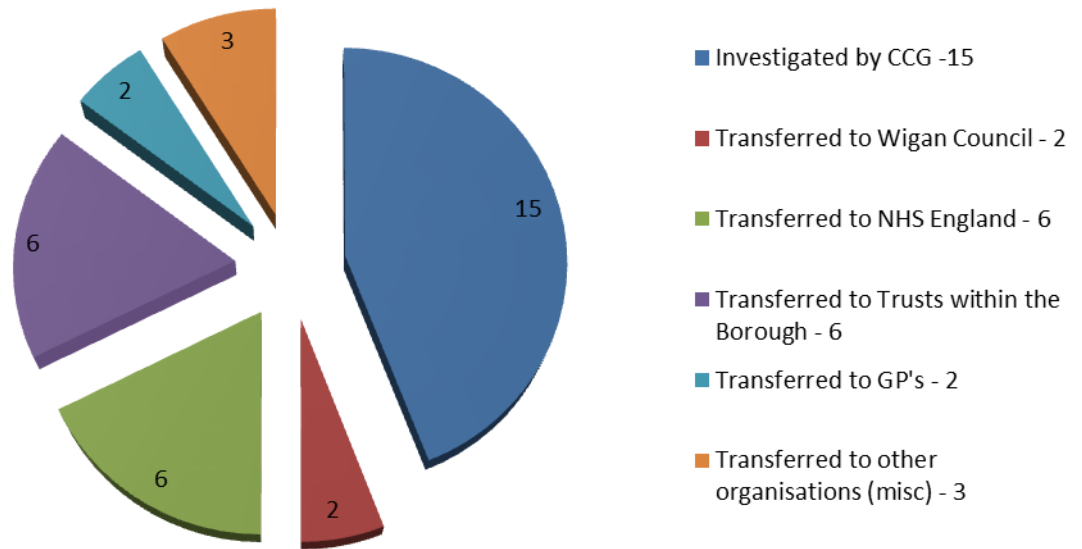
## **Introduction**

1. This annual report summarises the activity that NHS Wigan Borough Clinical Commissioning Group (WBCCG) has engaged in during the year ending 31 March 2018 in respect of complaints and associated correspondence. The detail contained in this report has also been provided in-year to the Corporate Governance Committee.
2. The Local Authority Social Services and NHS Complaints Procedure (England April 2009), brought together a combined complaints system for all health and social care complaints. This process has two stages; local resolution with most cases resolved at this stages and, secondly escalation to the Parliamentary and Health Service Ombudsman (PHSO).
3. Our complaints procedure is underpinned by the Parliamentary and Health Service Ombudsman's 'Principles for Remedy' which are:
  - Getting it right
  - Being customer focussed
  - Being open and accountable
  - Being fair and proportionate
  - Putting things right
  - Seeking continuous improvement

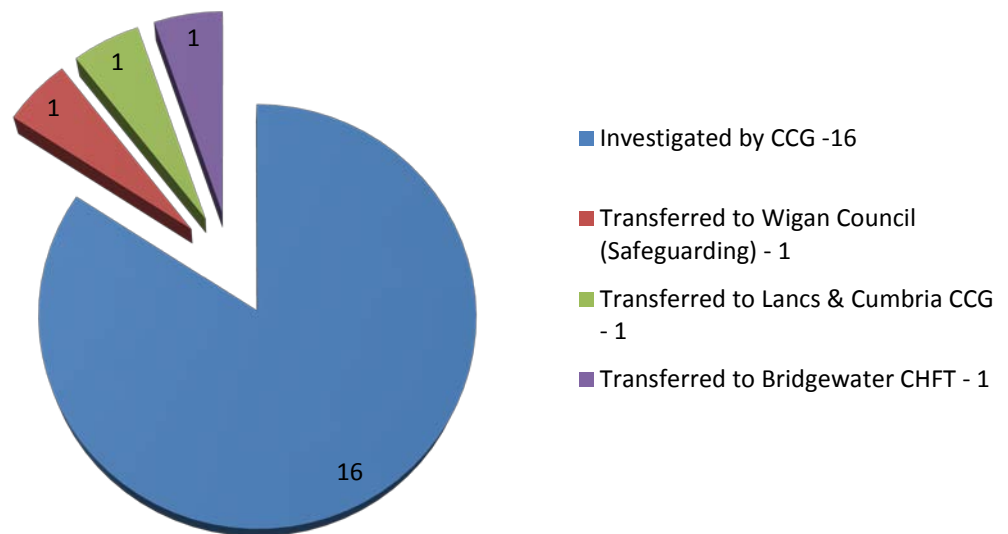
## **Complaints Received**

4. During the period 1 April 2017 to 31 March 2018 the Governance Team received 15 complaints compared to 16 complaints in 2016/17. Analysis is shown for the past three years in the charts that follow.
5. During the period 1 April 2017 to 31 March 2018 the Governance Team has also dealt with 33 detailed enquiries that have not escalated into complaints after exploring the issues with the complainants and achieving satisfactory resolution. In many cases the individuals have sought further clarification from other NHS bodies such as NHS England, Wrightington, Wigan & Leigh NHS Foundation Trust, North West Boroughs NHS Foundation Trust, Northwest Ambulance Service or Wigan Council.

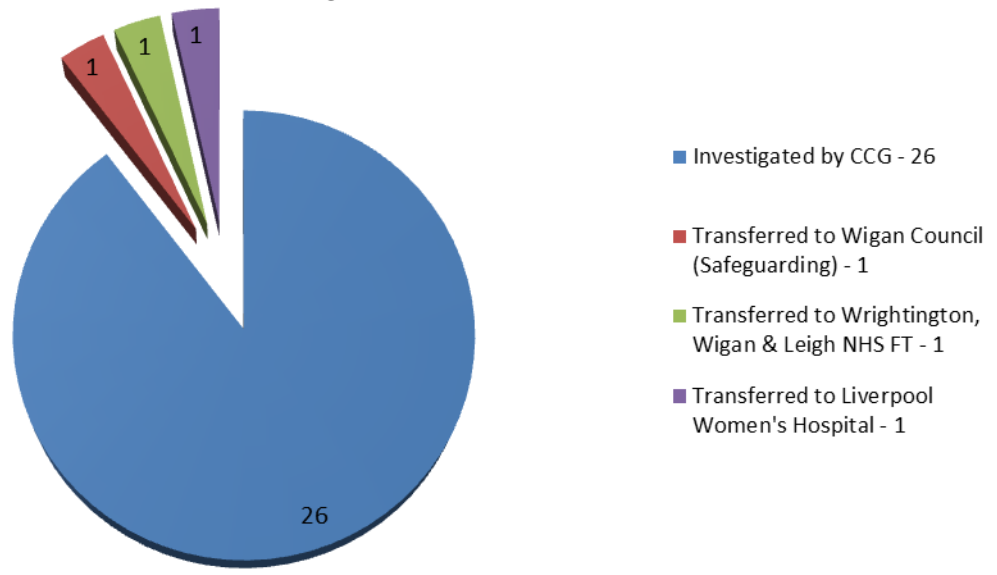
## Complaints 2017-2018



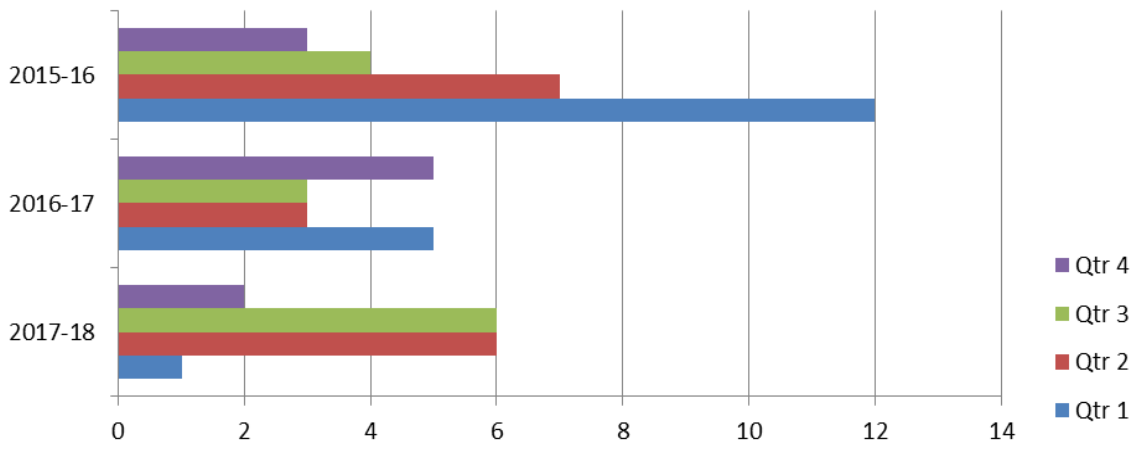
## Complaints 2016-17



### Complaints 2015-16



### Quarterly Analysis



	2017-18	2016-17	2015-16
Qtr 4	2	5	3
Qtr 3	6	3	4
Qtr 2	6	3	7
Qtr 1	1	5	12

6. The nature of the majority of complaints investigated by WBCCG concerned Continuing Healthcare (CHC) funding and checklist review issues as summarised in the table below.

	<b>Issue</b>	<b>Date Received</b>	<b>Date Closed</b>	<b>Outcome</b>	<b>Actions/Comments</b>
1.	Alleged part non-disclosure following a subject access request.	12/06/17	30/07/17	Not upheld	No further contact from patient after closing letter issued.
2.	Request for CHC declined following assessment.	13/07/17	17/09/17	Not upheld	No further contact from patient after closing letter issued.
3.	Failure of the CCG to provide an appropriate response following a request for information.	17/07/17	30/09/17	Partly upheld	Apology offered for not responding promptly when enquiry received.  No further contact from patient after closing letter issued.
4.	Dissatisfaction with an Effective Use of Resources (EUR) panel decision.	17/08/17	06/10/17	Not upheld	No further contact from patient after closing letter issued.
5.	Dissatisfaction with accessing cross-boundary services.	12/09/17	23/12/17	Not upheld	No further contact from patient after closing letter issued.
7.	Restriction of patient choice under Choose & Book referral system.	19/09/17	04/11/17	Not upheld	No further contact from patient after closing letter issued.
8.	Request for CHC declined following assessment.	03/10/17	01/01/18	Not upheld	No further contact from patient after closing letter issued.

	<b>Issue</b>	<b>Date Received</b>	<b>Date Closed</b>	<b>Outcome</b>	<b>Actions/Comments</b>
9.	Request for CHC declined following assessment.	06/11/17	12/02/18	Not upheld	No further contact from patient after closing letter issued.
10.	Request for CHC declined following assessment.	19/09/17	13/11/17	Not upheld	No further contact from patient after closing letter issued.
11.	Challenging CHC hospital referral	25/10/17	17/02/18	Not upheld	No further contact from patient after closing letter issued.
12.	Request for CHC declined following assessment.	15/11/17	20/02/18	Not upheld	Following final response the CCG was asked to review the case again. When completed the outcome remained not upheld.  No further contact from patient after second closing letter issued.
13.	Querying delays and decisions when assessing a CHC case	15/12/17	28/02/18	Partly upheld	Apology offered for the delays in case, due to volume of cases being assessed.  No further contact from patient after closing letter issued.

	<b>Issue</b>	<b>Date Received</b>	<b>Date Closed</b>	<b>Outcome</b>	<b>Actions/Comments</b>
14.	Manner of customer care standards demonstrated by a member of staff towards a patient's relative.	03/01/18	01/03/18	Partly upheld	Apology offered and retraining for staff in dealing with difficult situations.  No further contact from patient after closing letter issued.
15.	Not releasing 'minutes' to patient's family following multi-disciplinary meeting.	12/01/18		Not upheld	Closing letter issued but awaiting final response from patient family.

## **The Parliamentary & Health Service Ombudsman (PHSO)**

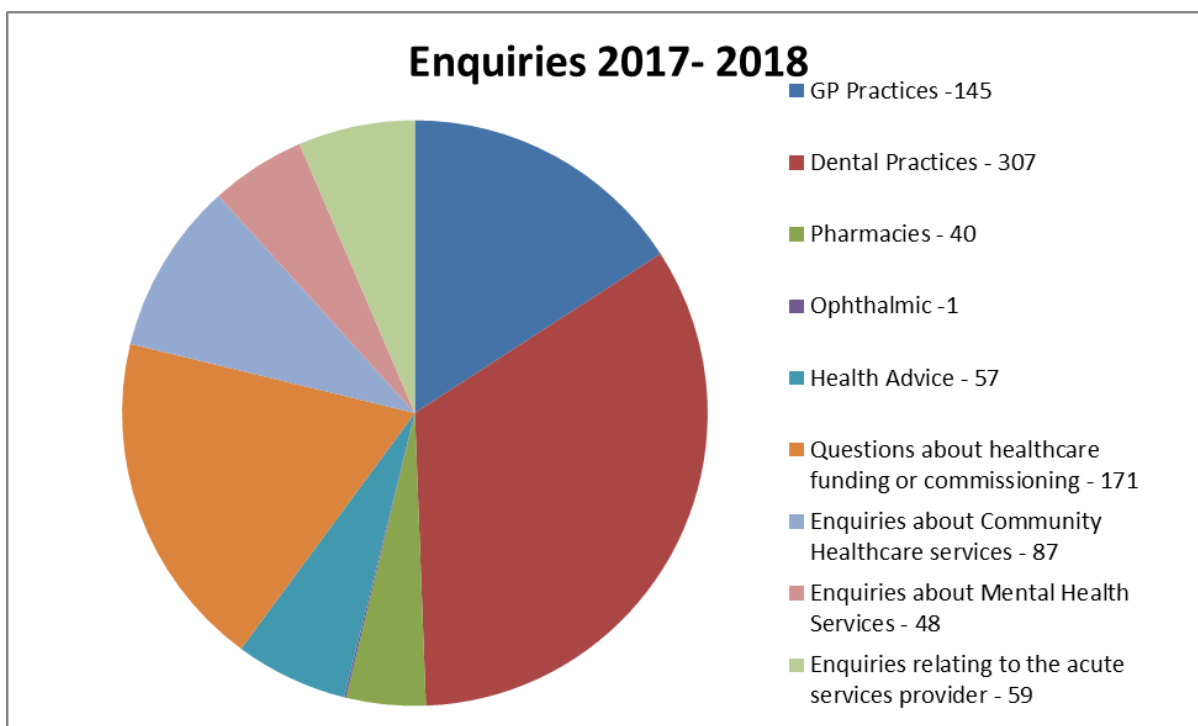
- The CCG received notifications of two potential PHSO cases in respect of complaints against the CCG but after further consideration by the PHSO the decision was made not to investigate but to uphold the CCG's decision and outcome in the two cases.

## **Patient Response**

### **Enquiries through WBCCG at Wigan Life Centre**

- For the period 1 April 2017 to 31 March 2018 the Governance Team and WBCCG Reception have dealt with 915 enquiries relating to health services. In many cases the enquiries were resolved or information provided that assisted in avoiding the need to make a complaint. An analysis and comparison to the previous year is shown on the next page:





#### Member of Parliament Letters

9. The CCG received 29 MP letters on behalf of constituents during the period 1 April 2017 to 31 March 2018 compared to 25 the previous year. Most of the enquiries related to clarification required regarding funding issues and information in respect of the provision of services.

#### Freedom of Information Requests

10. During the period 1 April 2017 to 31 March 2018, the CCG received 267 Freedom of Information requests compared to 307 in the previous year. The requests are dealt with on our behalf by Greater Manchester Shared Services, who provide quarterly activity reports on progress and completion, however significant input to the response process is provided by CCG staff. Below is a table showing activity for the year:

Freedom of Information Requests Received	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Total
Answered within 20 working days	20	25	18	16	26	13	21	29	21	23	15	16	243
Answered in more than 20 working days	0	0	0	1	1	0	1	1	0	2	0	0	6
On-going	0	0	0	0	0	0	0	0	0	0	0	9	9
Withdrawn	0	0	0	1	0	0	1	2	4	0	1	0	9
<b>Total to date</b>	<b>20</b>	<b>25</b>	<b>18</b>	<b>18</b>	<b>27</b>	<b>13</b>	<b>23</b>	<b>32</b>	<b>25</b>	<b>25</b>	<b>16</b>	<b>25</b>	<b>267</b>

## Conclusion

11. The CCG receives a relatively low number of complaints in a year and the numbers are reducing year on year. This is a pleasing result and reflects favourably on the service provided.
12. That is not to say that complaints are discouraged as the CCG recognises the importance of learning lessons when issues arise. The number of enquiries that the CCG receives including the 33 that required a detailed response underlines the importance of the CCG's service to patients and their representatives when the required detail is not always readily available.
13. The most frequent type of complaint was in respect of applications for Continuing Healthcare Funding (6 of the 15 related to this category). These numbers are still low when the following is considered:
  - In many cases applicants are faced with significant financial commitments for continuing care if applications do not meet the required criteria;
  - Of the services commissioned by the CCG this is, by far, the category with the largest number of direct patient contacts;
  - The national guidance for managing CHC applications is necessarily detailed and complex and is open to interpretation and therefore challenge in some circumstances;
  - This funding stream is the focus of much interest and attention from the legal profession who proactively market their services to patients and relatives in order to challenge assessments where possible.