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**REPORT TO: MORAY INTEGRATION JOINT BOARD CLINICAL AND CARE GOVERNANCE COMMITTEE ON 28 MARCH 2024**

**SUBJECT: COMPLAINTS REPORT FOR QUARTER 3, 2023/2024**

**BY: CLINICAL AND CARE GOVERNANCE GROUP CO-CHAIRS**

**1. REASON FOR REPORT**

1.1 To inform the Committee of complaints reported and closed during Quarter 3 (1 October 2023 – 31 December 2023).

**2. RECOMMENDATION**

**2.1 It is recommended that the Committee considers and notes the totals, lessons learned, response times and action taken for complaints completed within the last quarter.**

**3. BACKGROUND**

3.1 Within Health and Social Care Moray (HSCM), complaints received by NHS Grampian (NHSG) and Moray Council are recorded on 2 separate systems, in accordance with the appropriate policy and procedure of these organisations.

3.2 At the meeting on 27 February 2020 (para 7 of the minute refers), it was agreed that a combined report from NHSG and Council complaints systems be submitted to future meetings of the Committee. At the Committee meeting on 27 August 2020 (para 14 of the minute refers) it was requested that the procedures be explained to demonstrate the similarities and differences, if any.

3.3 NHS and Local Authority (LA) Complaint Handling Procedure/Policy requires all staff to deal with feedback and complaints in a person/client-centred way. The procedure has been developed working closely with the Scottish Public Services Ombudsman (SPSO). There is a standard approach to handling complaints across the NHS and Local Authority, which complies with the SPSO's guidance on a model complaints handling procedure and meets all of the requirements of the Patient Rights (Scotland) Act 2011, and accords with the Healthcare Principles introduced by the Act.

3.4 The complaints process followed by both NHSG and Moray Council have the same target response timescales. Early resolution, or front line, complaints will be responded to within 5 working days and complaints handled at the

investigation stage have a response time of 20 working days. Where it is not possible to complete the investigation within 20 working days an interim response should be provided with an indication of when the final response should be provided.

- 3.5 The decision as to whether the complaint is upheld or not will be made by the manager or Head of Service. If the person raising the complaint is not satisfied with the outcome, then they may contact the Scottish Public Services Ombudsman (SPSO) for an independent review and assessment, however prior to this, every effort is made to engage with the complainant to resolve the matter to their satisfaction.

#### **4. KEY MATTERS RELEVANT TO RECOMMENDATION**

- 4.1 The CCG Committee is presented with quarterly complaints performance information using the mandatory Key Performance Indicators (KPIs), published by SPSO in March 2022. These are:

<b>Indicator One</b>	<b>The total number of complaints received</b> <i>The sum of the number of complaints received at Stage 1 (this includes escalated complaints as they were first received at Stage 1), and the number of complaints received directly at Stage 2.</i>
<b>Indicator Two</b>	<b>The number and percentage of complaints at each stage which were closed in full within the set timescales of five and 20 working days</b> <i>The number of complaints closed in full at stage 1, stage 2 and after escalation within MCHP timescales as % of all stage 1, stage 2 and escalated complaints responded to in full</i>
<b>Indicator Three</b>	<b>The average time in working days for a full response to complaints at each stage</b> <i>The average time in working days to respond at stage 1, stage 2 and after escalation</i>
<b>Indicator Four</b>	<b>The outcome of complaints at each stage</b> <i>The number of complaints upheld, partially upheld, not upheld and resolved at stage 1, stage 2 and after escalation as % of all complaints closed at stage 1, stage 2 and after escalation</i>

- 4.2 The qualitative indicator on learning from complaints has been removed. However, Part 4 of the SPSO Model Complaints Handling Procedure on Governance stresses the importance of learning from complaints, and the requirements to record and publicise learning. Therefore learning from complaints will continue to be included in quarterly complaints performance reports and annual complaints reports.

4.3 HSCM Complaints performance data for Quarter 3 is attached at **Appendix 1**.

4.4 Information about complaints referred to the Ombudsman are also included along with any complaints relating to the actions and processes of Moray Integration Joint Board.

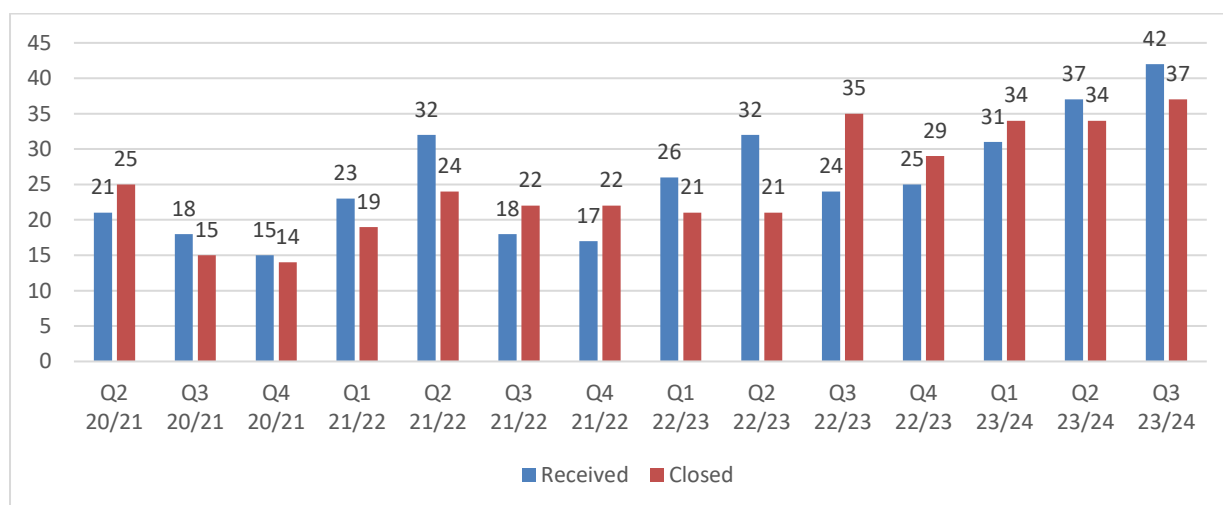
4.5 Figures reported do not include complaints raised regarding the vaccination appointments or processes as these are being dealt with through a dedicated team covering the Grampian area. Any complaints or comments regarding the Fiona Elcock Vaccination Centre in Elgin are included in reported figures.

4.6 Following ministerial approval, Children and Families and Justice Social Work Services were formally delegated by the Local Authority to Moray Integration Joint Board on 16 March 2023. All complaints and enquiries received regarding these services and recorded on Lagan are captured in **Appendix 1** and the figures below.

4.7 Overall, a total of 42 complaints were received during Quarter 3.

	Total Rec'd Q3 22/23	Total Closed Q3 22/23	Total Rec'd Q4 22/23	Total Closed Q4 22/23	Total Rec'd Q1 23/24	Total Closed Q1 23/24	Total Rec'd Q2 23/24	Total Closed Q2 23/24	Total Rec'd Q3 23/24	Total Closed Q3 23/24
<b>LA</b>	4	6	9	8	17	21	16	9	26	20
<b>NHS</b>	20	30	16	21	14	13	21	25	16	17
	<b>24</b>	<b>35</b>	<b>25</b>	<b>29</b>	<b>31</b>	<b>34</b>	<b>37</b>	<b>34</b>	<b>42</b>	<b>37</b>

4.8 The table below sets out HSCM complaints received and closed by Quarter. Children and Families and Justice Social Work services figures are included from Q1 2023/24 onwards:



4.9 There were 15 MP/MSP enquiries received regarding council services, under HSCM (including Children and Families and Justice), and recorded on the Council system, Lagan. These were allocated as follows:

Service	Number of Enquiries
Care at Home	4
Mental Health	1
Occupational Therapy	1
Access Team	1
Children and Families Area Teams	3
Moray East	3
Moray West	2

- 4.10 Four of these enquiries were closed as they were out of jurisdiction. 1 case was cancelled and 1 closed as it was a duplicate. The remaining 9 cases were resolved.
- 4.11 General enquiries regarding health services have been received from MPs/MSPs and Councillors direct to managers in HSCM, at this stage it is not possible to accurately report on numbers received due to these enquiries not all being logged centrally. Any patient specific enquiries/concerns are logged on Datix and captured in figures presented today. Work is progressing to create a mechanism to capture all enquiries received. This will give oversight for the senior management team and enable improved reporting to this Committee.
- 4.12 Any complaints or concerns received from MPs/MSPs on behalf of constituents regarding health service provision, under HSCM, are recorded on Datix and captured in the data provided.
- 4.13 Three concerns were received during Quarter 3 and recorded on Datix.

## 5. **SUMMARY OF IMPLICATIONS**

### **(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP)) and Moray Integration Joint Board Strategic Plan “Partners in Care 2022 – 2032”**

As set out within Annex C of the Health and Social Care Integration Public Bodies (Joint Working) (Scotland) Act 2014 Clinical and Care Governance Framework.

Effective handling of complaints is used to ensure the efficient and sustainable delivery of services to meet priorities.

### **(b) Policy and Legal**

Clinical and Care Governance requirements are set out within the Moray Health and Social Care Integration Scheme. Appropriate arrangements must be in place to ensure and evidence good governance in meeting duties under the Public Bodies (Joint Working) (Scotland) Act 2014.

### **(c) Financial implications**

None directly associated with this report.

### **(d) Risk Implications and Mitigation**

There are systems and processes in place across service areas to support clinical governance, providing assurance to the HSCM Senior Leadership Team and to the Clinical and Care Governance Committee. There are

platforms within Health and Social Care to discuss and share good practice, learning and challenges.

Moray Integration Joint Board (MIJB), Moray Council and NHS Grampian could find themselves exposed to significant risks if good governance is not in place. The purpose of this report is to oversee the processes to ensure that appropriate action is taken in response to adverse events, scrutiny reports/action plans, safety action notices, feedback, complaints and litigation, and those examples of good practice and lessons learned are disseminated widely.

**(e) Staffing Implications**

This activity is core to all practitioners in the front line both in terms of their professional competence and assurances in care delivery.

**(f) Property**

None directly arising from this report.

**(g) Equalities/Socio Economic Impact**

Not required as there are no changes to policy.

**(h) Climate Change and Biodiversity Impacts**

None directly arising from this report.

**(i) Directions**

None directly arising from this report.

**(j) Consultations**

Consultations have been undertaken with the following staff who are in agreement with the content of this report where it relates to their area of responsibility:

- Corporate Manager
- Caroline O'Connor, Committee Services Officer, Moray Council
- Clinical and Care Governance Group

**6. CONCLUSION**

**6.1 This report provides a summary of HSCM complaints received and closed during Quarter 3 (1 October – 31 December 2023). The governance and monitoring of complaints forms part of core business for teams and services and the provision of a good quality, effective and safe service is a key priority for all.**

Author of Report: Isla Whyte, Interim Support Manager

Background Papers: with author

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