

## **Annual Complaints Report 1 April 2008 – 31 March 2009**

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### **1.0 Purpose of the Report**

This is an annual complaints report, which is a standard item on the Trust Board's agenda. The report details the number of complaints received and the performance against timescales as set in the NHS Complaints Procedure. The report also notes any requests for independent review.

### **2.0 Report Content**

During the period 1 April 2008 to 31 March 2009 the Trust received 255 formal complaints. This represents an increase on the previous year of 2%.

Of the 255 complaints received 91% were acknowledged within two working days and 81% received a full written response within the timescale of 25 working days. This represents an increase of 17% from 2007 to 2008.

Of the 255 complaints received during this period, six complainants referred their complaints to the Healthcare Commission for review. These have either been returned to the Trust for further local resolution or a decision is still to be made on whether to undertake a review.

### **3.0 Looking forward**

From the 1<sup>st</sup> April 2009 new complaints regulations came into force. The new procedures place a greater emphasis on proactively engaging with complainants.

Under the new arrangements the Healthcare Commission will no longer have a role in reviewing complaints and the Trust will be required to take all possible action in order to resolve concerns. Those that cannot be resolved locally can be referred to the Parliamentary and Health Service Ombudsman.

The new procedure aims to:

- Facilitate the resolution of complaints locally, through a more accessible, personal and flexible approach to handling complaints
- Treat and respond to each case according to its individual nature and wishes of the complainant
- Ensure organisations improve the services they provide by routinely learning from peoples experiences.

The Trust is still working to a 25 working day target for responding to complaints and this will be monitored through the Trust's performance management framework, including reports to the Service Delivery Board.

Regular reports will also be provided to the Healthcare Governance Committee and Public Participation Committee.

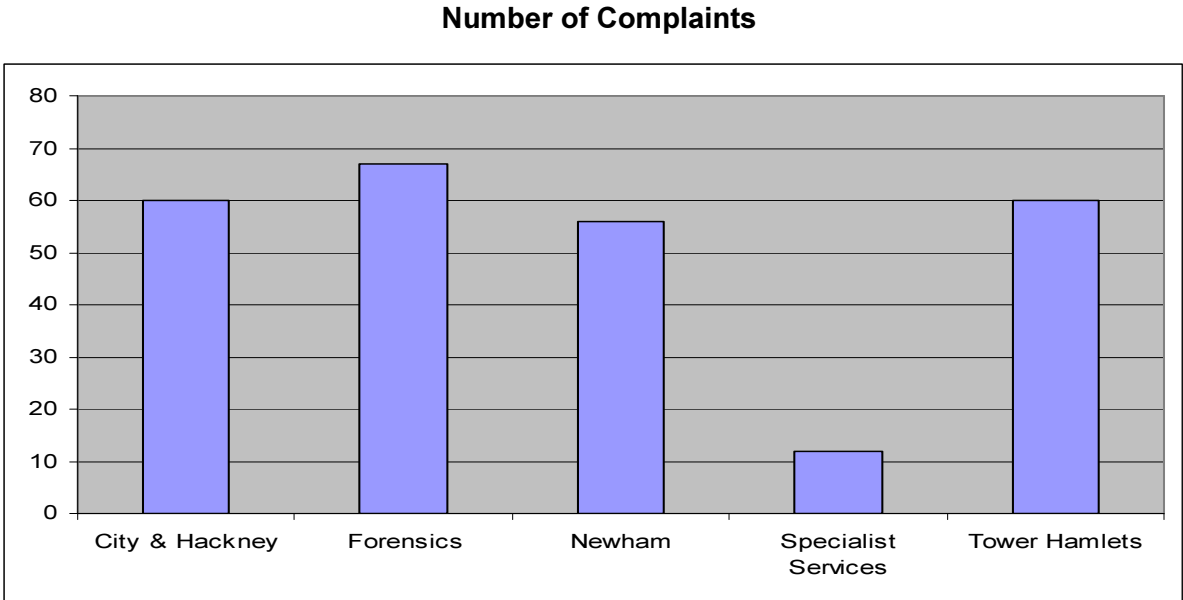
#### 4.0 Action Requested

The Board are asked to **receive** and **note** the report for information.

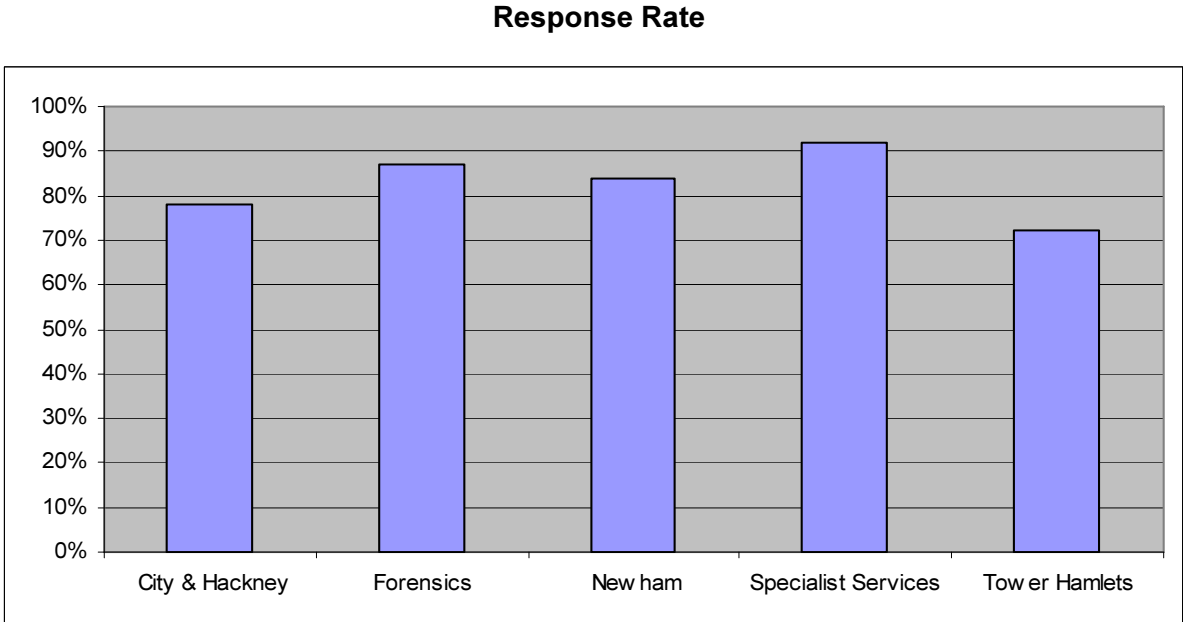
#### 5.0 Complaints Received

The following tables provide a breakdown of complaints received between the 1 April 2008 – 31<sup>st</sup> March 2009

The chart below shows the number of complaints received by Directorate during 2008-2009:



The chart below shows the percentage of complaints responded to within the 25 working day timescales, broken down by Directorate:

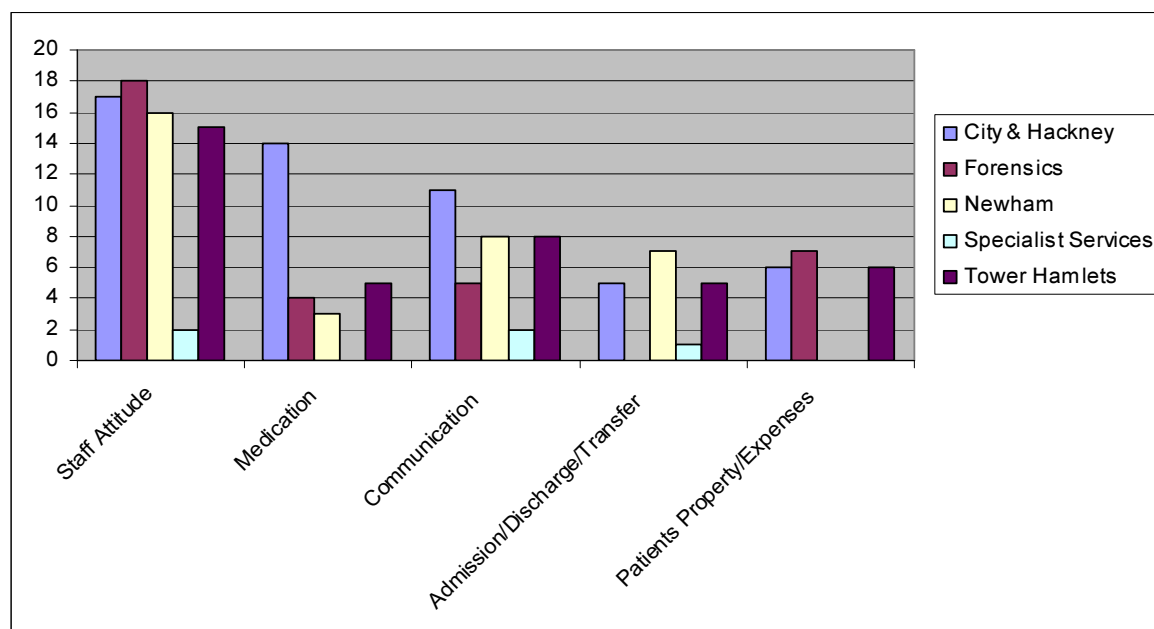


## 6.0 Complaints Subjects

The Trust received the highest number of complaints regarding issues involving staff attitude.

The chart below shows the subjects where the highest number of complaints were received.

**Subject of Complaints**



The Trust keeps a comprehensive database of all formal complaints received and captures information on the subject of the complaints. The following chart shows the number of complaints received Trust wide, by subject category. These are grouped under the seven domains of the Healthcare Commission's Standards for Better Health.

NB: Some complaints will contain more than one issue and in such circumstances more than one subject will be recorded. 438 subjects were recorded during 2008-09.

	CITHAK	FOR	NEWH	SPEC	TWRHAM	Total
<b>Safety</b>	<b>8</b>	<b>9</b>	<b>7</b>	<b>1</b>	<b>7</b>	<b>32</b>
Alleged Assault (Patient)	3	0	1	0	1	5
Alleged Assault (Staff)	0	2	3	0	2	7
Abscnscion/AWOL	0	0	1	0	1	2
Children's safety	0	0	0	1	0	1
Cleanliness	1	1	0	0	0	2
Control & Restraint	1	1	1	0	1	4
Health & Safety	1	1	0	0	0	2
Inappropriate sexual behaviour (Patient)	0	0	0	0	2	2
Security	1	3	1	0	0	5
Substance Misuse	1	0	0	0	0	1
Violence and Aggression (Staff)	0	1	0	0	0	1

	CITHAK	FOR	NEWH	SPEC	TWRHAM	Total
<b>Clinical Effectiveness</b>	<b>43</b>	<b>36</b>	<b>34</b>	<b>3</b>	<b>35</b>	<b>151</b>
Admission/Discharge/Transfer arrangements	5	0	7	1	5	18
Communication/Information (Written/Oral)	7	3	5	0	3	18
Consent to Treatment	0	0	1	0	0	1
Control & Restraint	0	0	0	0	1	1
CPA	1	1	0	0	1	3
Delay	0	0	0	0	1	1
Diagnosis	1	0	6	0	2	9
Full Needs Assessment	1	1	4	1	0	7
Follow up	2	0	1	0	0	3
Leave	3	10	0	0	2	15
Medication	14	4	3	0	5	26
MHA (Sectioning)	5	1	1	0	4	11
Nursing Care	0	1	0	0	2	3
Physical Health	1	2	1	1	3	8
Records	0	2	0	0	0	2
Relationships with Professionals	2	5	4	0	2	13
Seclusion	0	6	0	0	0	6
Therapeutic Programme	1	0	1	0	4	6

<b>Patient Focus</b>	<b>49</b>	<b>47</b>	<b>40</b>	<b>5</b>	<b>43</b>	<b>184</b>
Access to Services	3	0	3	0	2	8
A&E	0	0	2	0	0	2
Attitude of Staff	17	18	16	2	15	68
Occupancy Rates and Access to Admission	0	1	0	0	1	2
Bullying/Harassment/Verbal Abuse (Patient)	0	0	1	0	0	1
Bullying/Harassment/Verbal Abuse (Staff)	1	0	2	0	1	4
Care Planning/CPA	0	3	0	0	4	7
Communication	4	2	3	2	5	16
Incidents/Complaints Handling	5	1	0	0	0	6
Confidentiality	5	1	2	1	1	10
Catering/Diet	3	3	2	0	1	9
Diversity	1	0	1	0	0	2
Environment	2	7	0	0	2	11
Information & Choice	0	1	0	0	2	3
Privacy & Dignity	0	2	2	0	0	4
Patient Property & Expenses	6	5	0	0	6	17
Support in the Community	1	0	4	0	3	8
Transport	0	0	1	0	0	1
Visiting Arrangments	1	3	1	0	0	5

<b>Governance</b>	<b>7</b>	<b>13</b>	<b>6</b>	<b>2</b>	<b>3</b>	<b>31</b>
Discrimination/Equality/Human Rights	0	0	1	0	1	2
Policy/Corporate Decisions	0	2	0	0	0	2
Patients Property and Expenses	0	2	0	0	0	2
Records	4	2	1	1	0	8
Adequate Staffing & Skills	1	0	1	0	0	2
Standards of Care	1	2	2	0	0	5
Systems/Working Practices	1	5	1	1	2	10

	CITHAK	FOR	NEWH	SPEC	TWRH	Total
<b>Accessible and Responsive Care</b>	<b>13</b>	<b>1</b>	<b>5</b>	<b>1</b>	<b>8</b>	<b>28</b>
Access to Services	3	0	2	0	0	5
Cultural Needs	0	1	0	0	0	1
Appointments Delay/Cancellation	2	0	0	1	0	3
Delayed Discharge/Transfer of Care	0	0	0	0	1	1
Funding	0	0	1	0	0	1
Occupancy Presures	7	0	1	0	6	14
Race	1	0	0	0	1	2
Waiting Times (A&E)	0	0	1	0	0	1

<b>Care Environment and Amenities</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>2</b>	<b>11</b>
Cleanliness/Upkeep	1	2	0	0	0	3
Furniture & Fixtures	0	1	0	0	2	3
Infection Control	0	0	1	0	0	1
Privacy	0	0	1	0	0	1
Ward Conditions	2	0	1	0	0	3

<b>Public Health</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>
Local Partnership Arrangements	0	0	0	1	0	1
Totals:	123	109	95	13	98	438

## 7.0 Recommendations, Actions and Learning

Complaints received in 2008 – 2009 resulted in the following recommendations, action points and learning.

### Quarter 1

Process of arranging CPA meetings to be reviewed by Modern Matron in conjunction with Consultant (Tower Hamlets)

Nurse redeployed as a result of concerns. Modern Matron will work with nurse on the engagement of patients in their care delivery (Tower Hamlets)

Modern Matron arranging training sessions for staff on the importance of providing up to date care plans. In addition, documentation audits will ensure any further deficiencies are highlighted and action taken to correct them (Tower Hamlets)

All decisions taken to sleep out patients from acute services will be led by modern matron / borough lead nurse (Tower Hamlets)

Relevant training on assessing capacity and in the Mental Capacity Act will be provided to staff (Tower Hamlets)

A member of staff will undergo security and search training and will be actively supervised and mentored as a result of concerns raised (Forensics)

Prescribing error and physical health checks to be discussed between consultants and Clinical Director and issue taken to monthly healthcare governance meeting to ensure dissemination to all staff (City & Hackney)

## Quarter 2

Staff will be made aware of the importance of the Missing and Absent Without Leave Policy and an individual staff member will be provided with supervision and support following a complaint about staff actions when service user AWOL (Tower Hamlets)

In response to a delay in being informed the service cannot assess outside of the borough, junior staff will be reminded of importance of timely communication with outside agencies (Specialist Services)

Protocol for the Management of Psychiatric Emergencies has been updated (Specialist Services)

A training session in how to use questionnaires as part of therapy will be taking place in response to a complaint about this technique being used insensitively (Newham)

Team to be reminded of importance of informing service users when staff will be going on leave and who to contact should they require additional support (Newham)

In response to difficulties in relationship, PIN will work with staff member and service user to re-establish their relationship (Forensics)

Staff will be reminded of the suitability of referrals to the Behavioural Genetics Clinic to avoid concerns over the refusal of referrals in future (Tower Hamlets)

After carers views were not included in care plan, staff will be reminded of the importance of communication between professionals, service users and their carers (Tower Hamlets)

Modern Matron to review CPA meeting structure particularly where relatives are permitted to join the meeting (Tower Hamlets) *recurrence from quarter 1*

In response to personal information being sent to the wrong individual, the staff member concerned will receive regular supervision to review organisation and time management issues (Tower Hamlets)

Modern matron to review use of old smoking room for appropriate purposes pending the redecoration (Forensics)

In response to lost items of clothing, all items will be documented and staff will assist with managing his laundry (Forensics)

Staff to be reminded they should not enter a patients room without consent unless it is an emergency situation or cause for concern (Forensics)

Staff to be reminded not to bring personal mobile phones onto the ward (Newham)

Modern Matron will provide training in customer relations, risk assessment and management, and address leadership issues with staff on the ward in response to a complaint about staff professionalism (Tower Hamlets)

Line manager will examine conduct of a staff member who has been vague when interviewed as part of the above complaint investigation (Tower Hamlets)

Modern Matron is investigating allegation of staff member smoking with service users on Trust grounds and will meet with staff member to discuss (Forensics)

Reception staff will be reminded to obtain correct details from our records in the event of an incorrect number being documented (Tower Hamlets)

In response to a missing medical file, a review of case note management has been undertaken across the whole site (Forensics)

Service user invited to attend User Involvement Group to discuss issue of Trust smoking policy further (Forensics)

Borough Lead Nurse has developed a procedure for managing sleepovers and will ensure all ward based staff are familiar with this (Tower Hamlets) *recurrence from quarter 1*

PIN has spoken to nurses about the importance of communication with relatives as part of the transfer process (City & Hackney)

### **Quarter 3**

Issue raised about door being locked when voluntary patients on ward. Matter will be reviewed to ensure it is in line with the Trust's Door Locking Policy (City & Hackney)

In response to concerns about service users wandering into another service users room, staff on the ward have been reminded of the importance of maintaining the privacy and dignity of service users (City & Hackney)

The issue of security standards has been raised with the on-site contractor in response to concerns about the front door being unlocked after 10 pm (Newham)

Staff have been instructed to wear their ID badges at all times in response to concerns that ID was not visible (Newham)

Staff have been reminded that if a drug is not stocked on any of the wards they should contact the senior nurse who can access an out of hours cupboard which stocks supplies for emergencies (City & Hackney)

In response to a complaint that the duty doctor had not been contacted by staff, this issue will be raised in the Nursing Reflective Practice Group and staff will be reminded that in a non-urgent situation to contact the duty doctor (Newham)

All staff in Psychiatric Outpatients and the Psychotherapy Department have been reminded about the importance of ensuring all correspondence is kept in a service user's file (Tower Hamlets)

Complaint investigation highlighted that clinical records had not been adequately completed. Modern Matron will highlight importance of completing clinical records appropriately to all staff. (Forensics)

In response to dissatisfaction with the reduction of smoking facilitation without prior consultation, a meeting will be set up as a matter of urgency to review the arrangements taking into account all views (Forensics) *recurrence from quarter 2*

Occupational Therapy Board on ward has been updated to show all current activities (Tower Hamlets)

Following investigation into complaint regarding smell of smoke or ward, Acting Modern Matron will monitor situation to ensure individuals put out their cigarettes before re-entering ward. This will also be discussed at the community meeting (Forensics)

In response to complaint regarding attitude of senior Doctor, incident is to be reviewed in Doctors supervision with Clinical Director (Newham)

In response to a complaint about the length of time it took for staff to arrive at a service users home for a visit, staff will be reminded of the importance of printing out a map prior to setting out (City & Hackney)

After witnessing a violent incident in A&E waiting area a complainant raised the issue of staff not being available to provide reassurance to people waiting. These observations will be raised with the responsible senior manager as part of discussions for the future development of services on this site (Newham)

In response to an assessment taking place in an office where confidential information was on display the team manager has discussed this issue with the member of staff. The staff member has been instructed not to use the office in future (Newham)

In response to concerns about cleaning work taking place at night the contractor has been instructed not to undertake floor maintenance on wards at night (Newham)

#### **Quarter 4**

In response to a lack of documentation relating to items stored in the Banned Items Box, the Restricted Items Policy will be reviewed (Forensics)

After service users passport went missing the PIN will be reviewing the Patients Property Policy with all ward staff. Staff will also be reminded of the requirement to maintain a record of property taken for safe keeping. Matter has also been referred to Counter Fraud Team at the Trust (Tower Hamlets).

Issue re Doctor taking a personal phone call during an appointment will be addressed further in supervision (Newham).

Modern Matron who will speak to member of staff in response to a complaint where a member of staff pushed the office door closed after a service user refused to leave. (City & Hackney)

Staff member has been advised they should notify solicitors of their clients discharge in writing rather than verbally (City & Hackney)

Team will be reminded of the importance of communicating with relatives after a mother was not informed that her daughter had been admitted to hospital. (Newham) *recurrence from quarter 2*

It has been recommended that members of staff should switch off their mobile phones or put them on silent when they are conducting a meeting. (Newham)

All staff on team have been spoken to about the importance of ensuring relatives are informed about incidents at the earliest possible opportunity on the day they occur. (Tower Hamlets)



CMHT told service user to contact Home Treatment Team incorrectly. CMHT will be reminded of importance of providing service users with correct information (Newham)

In response to concerns about confidentiality, the team has stopped the practice of stamping outgoing mail with the name of the team on the envelope (City & Hackney).

Staff will consider if in future information given at ward round, for example regarding medication increase, should be repeated to patients in an individual consultation with their doctor (Forensics)

In response to a misunderstanding regarding responsibility for physiotherapy services to mental health inpatients the Trust will be writing to the manager of the community physiotherapy team. Modern Matrons and Borough Lead Nurses will work together to ensure there is clear information in place for the multidisciplinary teams. (Tower Hamlets)

Due to unusual circumstances in which depot medication is being used outside of NICE guidelines on a patient with borderline personality disorder, a second opinion is being arranged. (City & Hackney)

Checking name and date of birth did not pick up a mistake that had been made in identifying the correct service user. Service will review how we check information given in phone messages to ensure mistake can not occur again. (Specialist Services)

Investigation into how a request for records was mislaid revealed a lack of a recording and monitoring system for access to records requests. Such a system will now be implemented (Specialist Services)

Team have been reminded of the need to carry out a further check after correspondence was sent to an incorrect address. (City & Hackney) *recurrence from quarter 2*

The team completing referral paperwork have been spoken to about the importance of accurately completing forms in response to a complaint where the telephone number of the service user and relative were confused by staff. (City & Hackney)

In response to a delay in an access to health records request being processed, the Office Manager has been asked to remind all administrators of how requests to access records should be handled. In addition posters will be displayed in all team reception and office areas setting out the correct procedure. (City & Hackney)

In response to concerns about the relocation of the outpatient service, an audit will be carried out to ascertain service user views of the new location after six months. This will allow the Trust to review the changes made and the impact that this has had on service users. (Tower Hamlets)

Following complaint regarding sleeping out, the Bed Manager and Modern Matron have been reminded of the importance of informing service user as soon as possible (City & Hackney) *recurrence from quarters 1 & 2*

Head of Nursing to undertake further enquiries regarding an incident where a patients shoulder was dislocated during restraint. (Newham)

In response to an incident between a domestic staff member and a service user senior nursing staff have met with Facilities Management and recommended that an internal investigation should be carried out (Tower Hamlets)

