

# Complaints about care services in Scotland, 2014/15 to 2017/18

A statistical bulletin

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## Executive Summary

Care services operating in Scotland must be registered with the Care Inspectorate. We register and inspect almost 13,300 services, supporting improvement where necessary to make sure that the standard of care provided is high. Our complaints procedure allows people who experience care, their friends and families, and others, to raise with us concerns they have about care services in Scotland. It enables us to ensure people in Scotland receive high quality, safe and compassionate care.

This statistical report on complaints examines the trends in complaints received and investigated over the last four years with a particular focus on the year 1 April 2017 to 31 March 2018. In November 2017, we introduced a new procedure for handling complaints about care services. This procedure is designed to be open, transparent, risk-based and focused on people's experiences. It does, however, mean that there may be some inconsistencies in statistical trends as a result of changes to our complaints handling and recording procedures, and we have noted throughout the report where we believe a trend is impacted by our procedure changes.

Since 2014/15 we have received over 4,000 complaints about care services each year. Although levels of complaints received have risen over this period, this is not necessarily an indicator that quality of care is in decline. Comparing 2014/15 to 2017/18, the percentage of services graded good, very good or excellent in all quality themes has remained consistently high at 87% and 89% respectively. This may be attributable to the increased awareness of our complaints process and of the standards of care they should expect.

Most complaints received (45%) were made by friends, relatives or carers of a person who experiences the care service. The majority of the 1,435 complaints that we investigated in 2017/18 were upheld (56% of completed investigations).

Care homes account for 47% of the total number of complaints investigated – a total of 3,201 completed investigations over the last four years. Over the last four years, 21% of the complaints we investigated were about daycare of children services, 13% about care at home services and a further 8% were about childminders.

Of the complaints completed in 2017/18, just under a quarter of all areas of complaint were about general health and welfare issues in a service, 18% were about specific healthcare concerns, and a further 15% related to staffing concerns.

Our focus in all areas of our work, including complaints, is on improving quality of care and outcomes for people who experience care. We do this both in the course of the investigation as well as using the intelligence from complaint investigations to help us better target problem areas.

You can download our complaints process from our website here:

<http://www.careinspectorate.com/images/documents/4107/How%20we%20deal%20with%20concerns%20and%20complaints.pdf>

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## 1. Introduction

Care services operating in Scotland must be registered with the Care Inspectorate. We register and inspect around 13,300 services, supporting improvement where necessary and ensuring that the standard of care provided is high. The largest groups of care services in Scotland are childminders, children's daycare (e.g. nurseries), care homes, care at home and housing support services. Where standards fall below acceptable levels we take enforcement action. We also investigate complaints about care services, including whistleblowing complaints from staff employed in care services.

In many cases complaints and concerns can be dealt with by staff and managers in care services, but anyone with concerns or unhappy with a care service can make a complaint directly to the Care Inspectorate. There are many ways in which a complaint can be made: in writing, by telephone through our contact centre or through our website. Complainants can choose to remain anonymous if they wish.

We actively promote our complaints function, not only to help people resolve concerns about the quality of care but also because the intelligence from complaints informs our other scrutiny and improvement activities. Where there is an unexpected pattern of complaints about a service, we may bring forward our next planned inspection to focus on areas of concern highlighted in complaints that we have investigated, and we may undertake some improvement work with the service. This active promotion of our complaints function is designed to support people to be more aware of their rights, so they know that they can make a complaint to us if they are unsatisfied with a care service.

### Our new complaints procedure

In November 2017, we introduced a new procedure for handling complaints about care services. This procedure is designed to be open, transparent, risk-based and focused on people's experiences. The changes give us more flexibility in how we can respond to try to resolve simple matters quickly and focus more attention on more serious issues. Our new approach emphasises frontline resolution which is where we try to resolve a matter at the first point of contact, without the need for a formal investigation. We have developed a risk assessment process that allows us to assess the risk identified by a complaint, taking into account what else we know about the service. This enables us to decide how we will proceed and what action we need to take to achieve the best outcome for people experiencing care. There are four routes we can take:

- **Intelligence:** where we receive information about a care service, we may use the information given by a person as intelligence about the service, to help inform future scrutiny activity.
- **Frontline resolution:** where we contact services and ask them to engage directly with complainants to resolve the complaint. Typically this is used for straightforward or simple matters where people are unsatisfied with their experiences and we intervene quickly with a care service to achieve a positive result.

- **Provider resolution:** where we contact the provider and ask them to investigate the concerns and send us written confirmation of the action taken to resolve the complaint.
- **Investigation by the Care Inspectorate:** depending on our assessment of risk, we may decide that we need to formally register and investigate the complaint.

This statistical report on complaints examines the trends in complaints received and investigated over the last four years with a particular focus on 1 April 2017 to 31 March 2018. Our new complaints procedure, which was introduced mid-year, has affected the statistical data we collect about complaints. For example, the number of complaint investigations we have completed has reduced from 1,993 in 2014/15 to 1,435 in 2017/18. This is largely due to an increased proportion of complaints being resolved by alternative means such as frontline resolution, rather than a full investigation being undertaken. For example, the proportion of complaints received in 2017/18 which were resolved by front line resolution was 16% pre-November 2017; this has increased to 20% since the new procedure was put in place. This should improve the experiences for people involved and help get quicker resolutions to concerns they have.

Similarly the number of complaints we formally registered for a full investigation in 2017/18 has fallen from an average of 137 complaints per month pre-November 2017 to 115 complaints post-November. This is due to the risk assessment process which we introduced which promotes other more appropriate means of resolution rather than a full complaint investigation.

We will explore this in more depth in our next report, once we have a full year of our new complaints procedure, and so trends in this report should be interpreted with a degree of caution where they are impacted by our new processes.

## 2. How many complaints were received and how did we respond to them?

### Complaints received

In 2017/18 we received 4,696 complaints about care services, a 10% increase compared to 2016/17. Over the four year period we received an average of 365 complaints per month. Although the level of complaints received has increased over time, this is not necessarily an indicator that quality of care is in decline. Comparing 2014/15 to 2017/18, the percentage of services graded good, very good or excellent in all quality themes has remained fairly constant at 87% and 89% respectively. This increase in the number of complaints we received may indicate greater awareness of our complaints process, or a greater awareness from people about the standards of care they and others should expect.

Between 1 November 2017 and 31 March 2018, after we introduced our new complaints procedure, we have been able to act on complaints received in new ways. Since November 2017: 376 complaints (20% of all complaints received since 1 November) were resolved by frontline resolution; we logged 229 concerns as intelligence (12%); and 92 cases (4%) were passed directly to providers to

investigate. A further 116 cases (just over 6%) identified child or adult protection concerns and were passed to the appropriate authorities (police or local authority) to investigate. These cases are included in the total number of complaints received during the year. As these are a product of our new procedure we do not have comparable data from previous years, but will monitor and explore this in the next report when we have a full year's data.

### **Frontline resolution**

Of the total 4,696 complaints received in 2017/18, 826 (18% of all complaints received) were resolved by frontline resolution without the need for a formal investigation, which is a large increase compared to 9% in 2016/17. Prior to November 2017, the proportion of complaints received that were resolved by front line resolution was 16%; this has increased to 20% since the new procedure was put in place.

### **Withdrawn complaints**

Many complaints do not proceed to a full complaint investigation for a number of reasons, for example, concerns not being within our remit, the issues raised in complaints being addressed through the inspection process and complainants not wishing to proceed with the complaint. In these cases, the complaint is withdrawn. The percentage of cases withdrawn over time has varied. Of the 4,696 complaints received in 2017/18, 2,763 were withdrawn, and the rate of complaints that were withdrawn in 2017/18 (59%) has increased compared to 2016/17 (56%).

Historically we have included complaints resolved through frontline resolution in the numbers withdrawn and in this report we have continued to do this for consistency. However, we will change this in future reports as these complaints are acted upon and resolved.

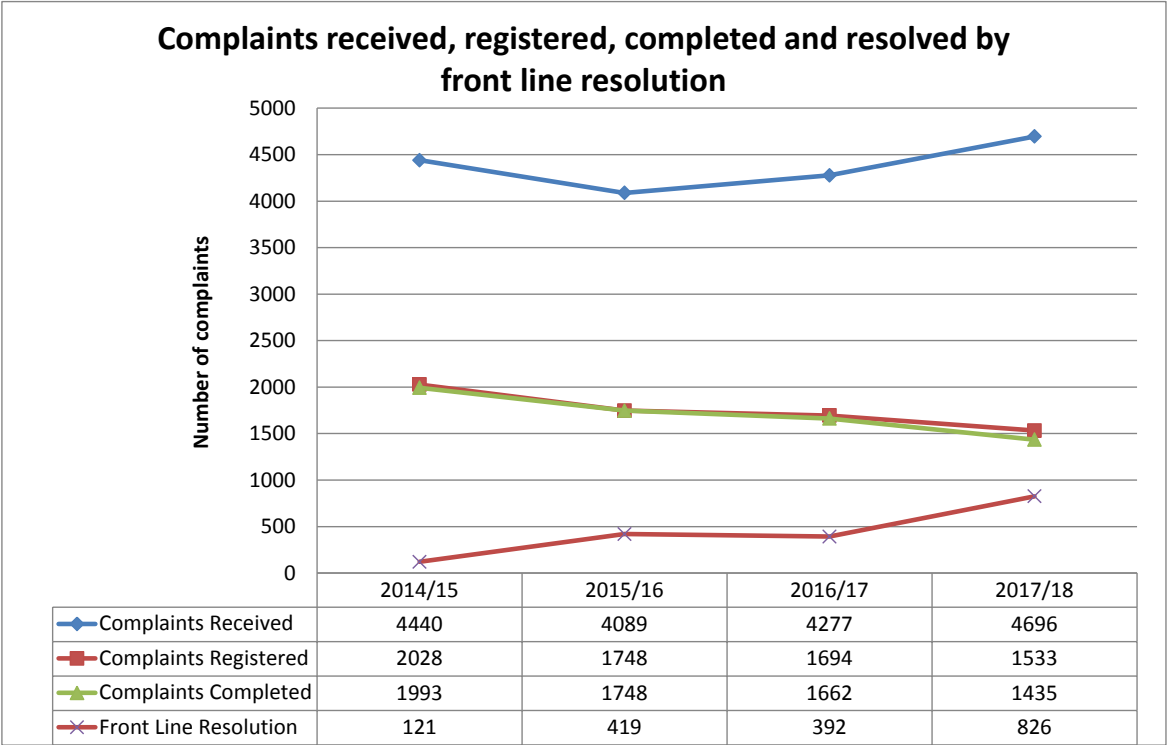
### **Complaint investigations registered and completed**

In 2017/18, prior to November 2017, we registered an average 137 complaints per month for a full complaint investigation. This was slightly fewer than the 141 complaints registered per month in 2016/17, the 146 registered per month in 2015/16 and the peak of 169 complaints per month in 2014/15. Following the introduction of our new procedure, this rate fell to 115 complaints per month due to the new risk based approach to handling complaints. With an expected upward trend in the volume of complaints resolved by frontline resolution, this downward trend in complaints formally registered for a full investigation is expected to continue in the future and will be monitored.

Once we have investigated a complaint, and we either uphold or do not uphold it, we describe the complaint as being completed (although further regulatory action may follow). We completed 1,435 complaint investigations in 2017/18 and this number has been decreasing over time. Again, it is important to note that, with the introduction of our new procedure, we would expect further decreases in full complaint investigations because we intend to resolve more complaints quickly through frontline resolution. These quicker approaches have significant benefits for people involved.

Figure 2.1 illustrates the increase in volume of complaints received, the reduction in those complaints where we undertake a full investigation and corresponding rise in those resolved by frontline resolution.

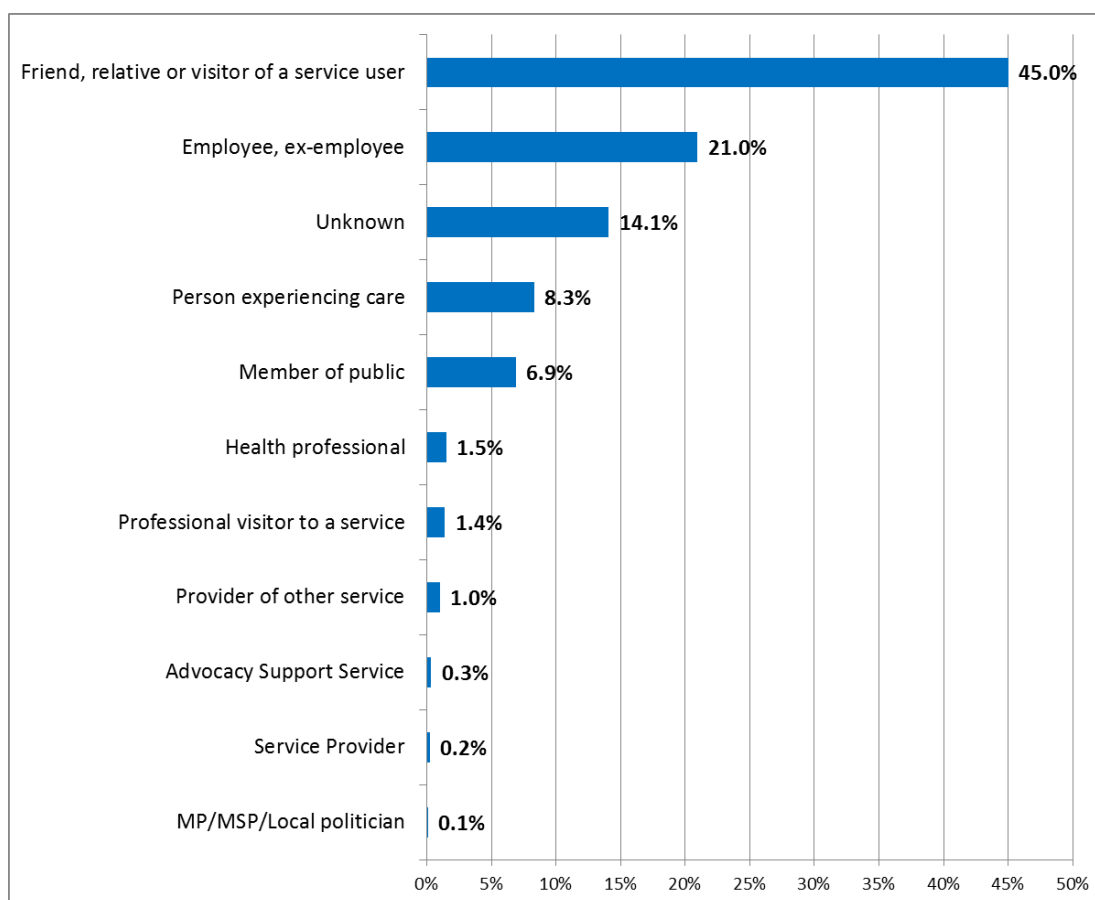
**Figure 2.1: The number of complaints about a care service**



### 3. Who makes complaints?

Between 2014/15 and 2017/18, just under half of all complaints received (45%) were made by friends, relatives or visitors of a person experiencing care. A further 21% were made by employees or former employees of the service. Only 8% of complaints were made directly by someone using the service. A small number of complaints were made by professional groups of staff visiting a service, including health and social care professionals or advocacy workers. Between 2014/15 and 2017/18, the percentage of complaints received from each category of complainant has remained fairly constant.

**Figure 3.1: Complaints received 2014/15 to 2017/18, by relationship to service**

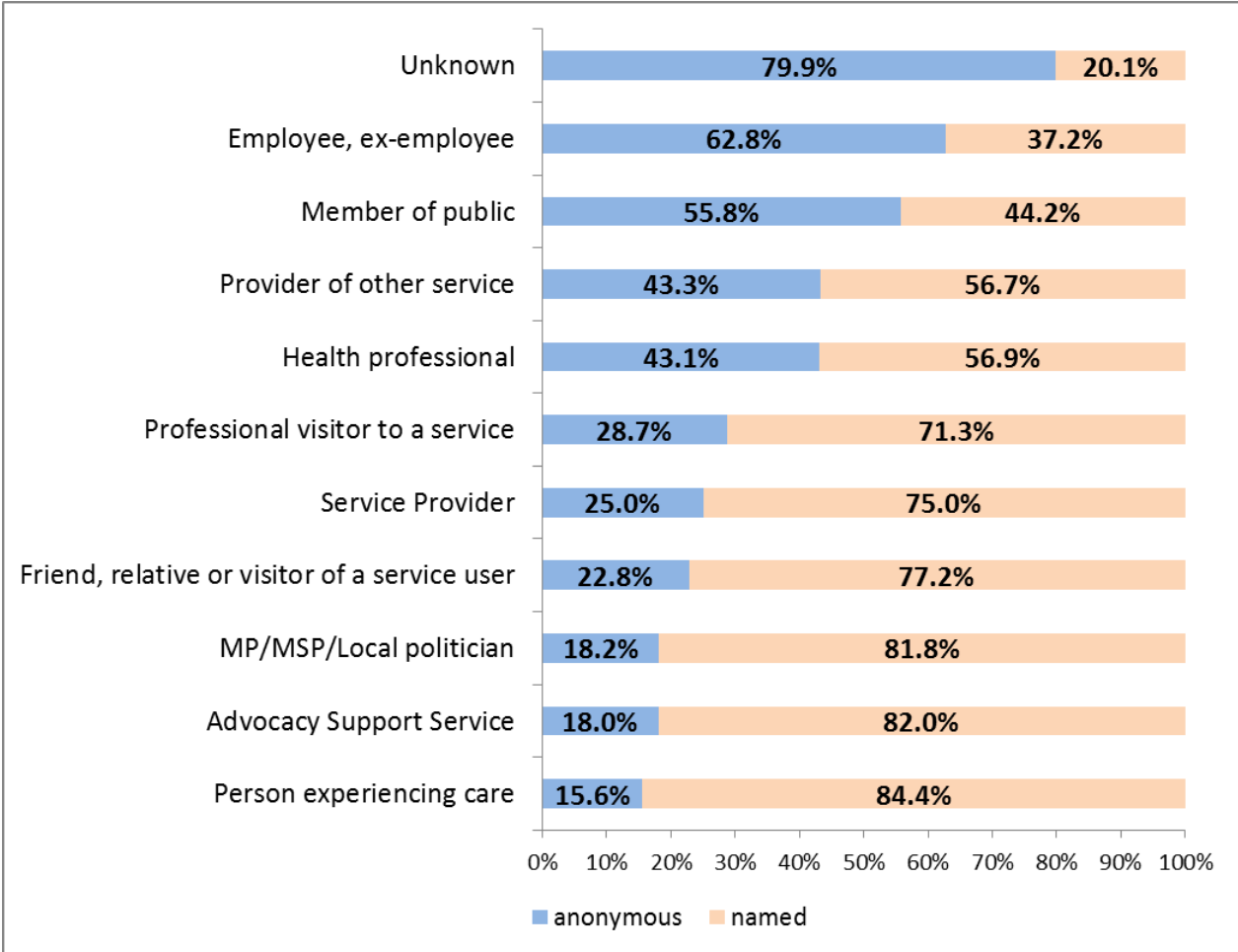


When someone makes a complaint, they can choose to remain completely anonymous. The proportion of complaints received that were made anonymously in 2017/18 remained the same as the 44% reported in 2014/15, after having fallen in 2015/16 and in 2016/17 to 39%.

Based on all of the complaints received over this four year period, complainants whose relationship to the service was not known were the most likely to remain anonymous – 80% did not wish to be named. Over half of employees (or former employees) and members of the public also did not wish to be named – 63% and 56% respectively remaining anonymous.



**Figure 3.2: Complaints received 2014/15 to 2017/18 that were anonymous, by relationship to service**

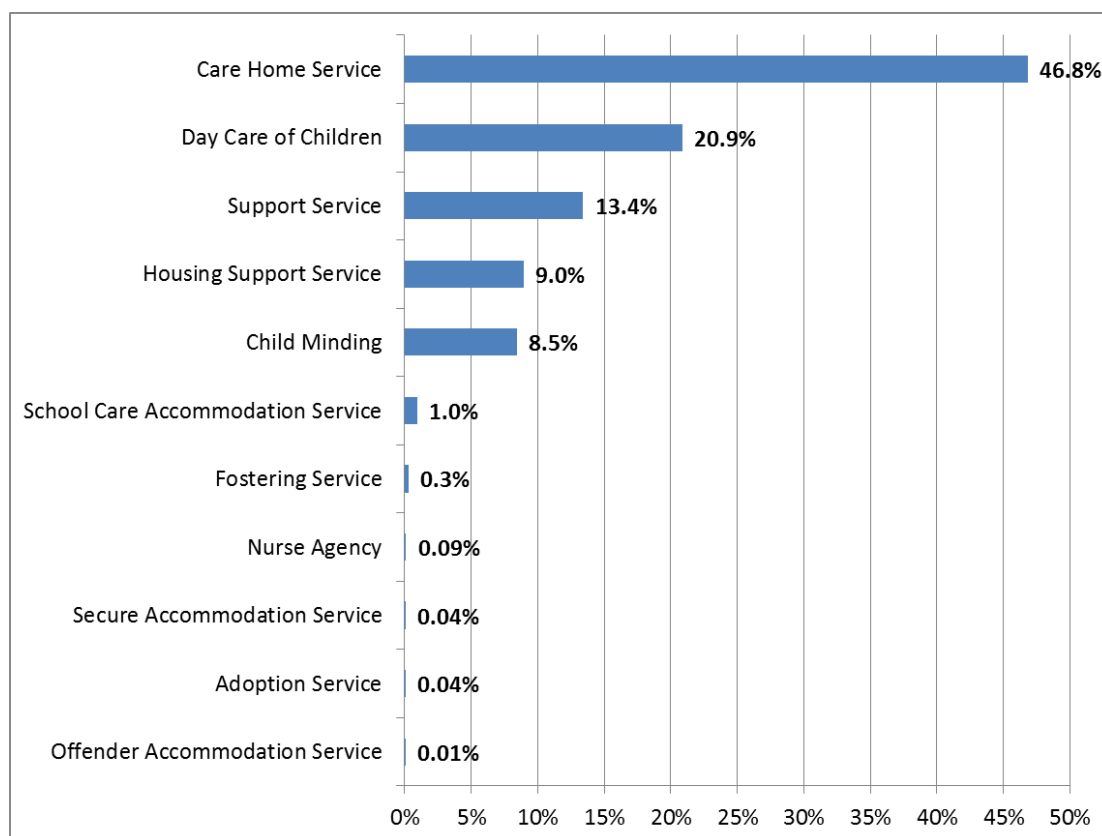


#### 4. What type of care services do people complain about?

The largest number of complaints we investigated over the four year period involved care homes. Although making up only around 11% of the 13,300 or so registered services, care homes account for 47% of the total number of complaints investigated – a total of 3,201 completed investigations over the last four years.

Over the four years, 21% of the complaints we investigated were about daycare of children services, 13% about care at home services and a further 8% were about childminders.

**Figure 4.1: Complaints investigated 2014/15-2017/18, by type of service**



## 5. What do people complain about?

Each complaint we investigate can be about several different areas, each of which will be either upheld or not upheld.

In 2017/18, just under a quarter of all areas of complaint upheld were about general health and welfare issues in a service, 18% were about specific healthcare concerns (e.g. medication, nutrition or hydration), and a further 15% were related to staffing concerns, such as staffing levels or staff training. There is a more detailed list of areas of complaint in Appendix 1 (Table C).

**Figure 5.1: All service types, by area of complaint investigations completed in 2017/18**

Note: each overall complaint can have several areas of complaint – this table only includes those areas that were upheld.

<b>Summary area of complaint</b>	<b>Number of areas of complaint upheld</b>	<b>% of all upheld areas of complaint</b>
General health and welfare	364	24.6%
Healthcare concerns	259	17.5%
Staffing concerns	218	14.7%
Communication	190	12.8%
Choice	97	6.5%
Policies and procedures	73	4.9%
Record keeping	64	4.3%
Environment	63	4.3%
Condition of registration	35	2.4%
Protection of people	33	2.2%
Food	26	1.8%
Personal property	26	1.8%
Privacy and dignity	17	1.2%
Issue with access to services	7	0.5%
User participation	5	0.3%
Care Inspectorate - communication	2	0.1%
Financial issues	2	0.1%
Death and dying	1	0.07%

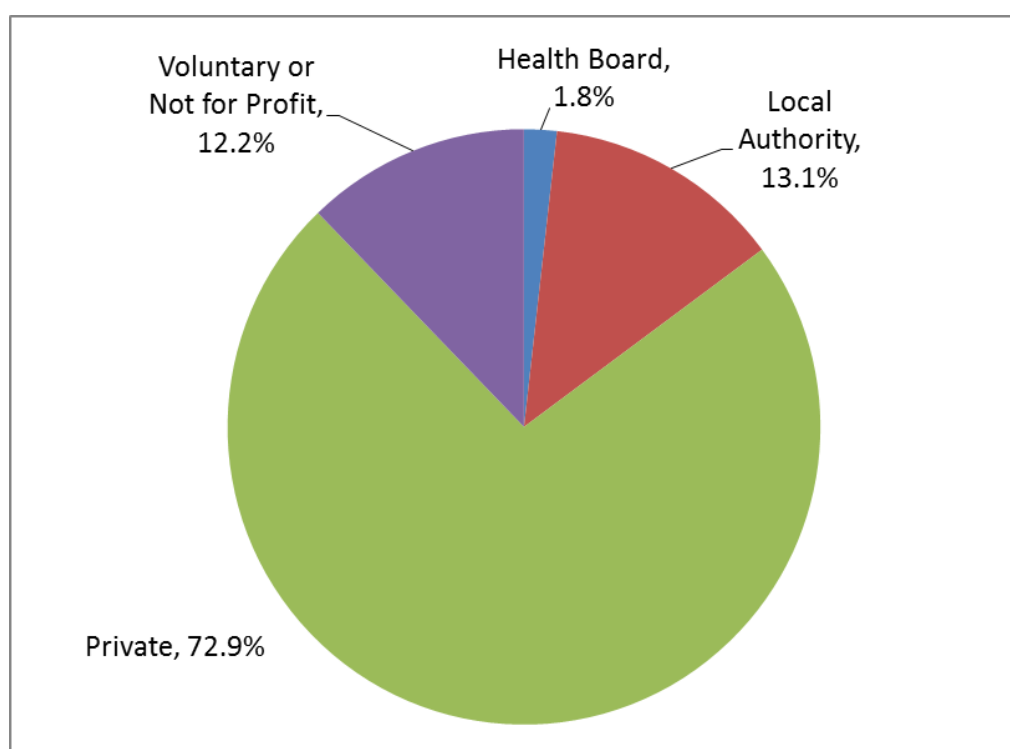
## 6. Complaints about care homes for older people

Almost half of all of the complaints we investigated in 2017/18 were about care homes, and of these, the vast majority (89%) were about care homes for older people. At 31 March 2018 there were 842 care homes for older people registered. During 2017/18 we received at least one complaint about 68% of care homes for older people; we investigated a complaint about 38% and upheld a complaint about 25% of them.

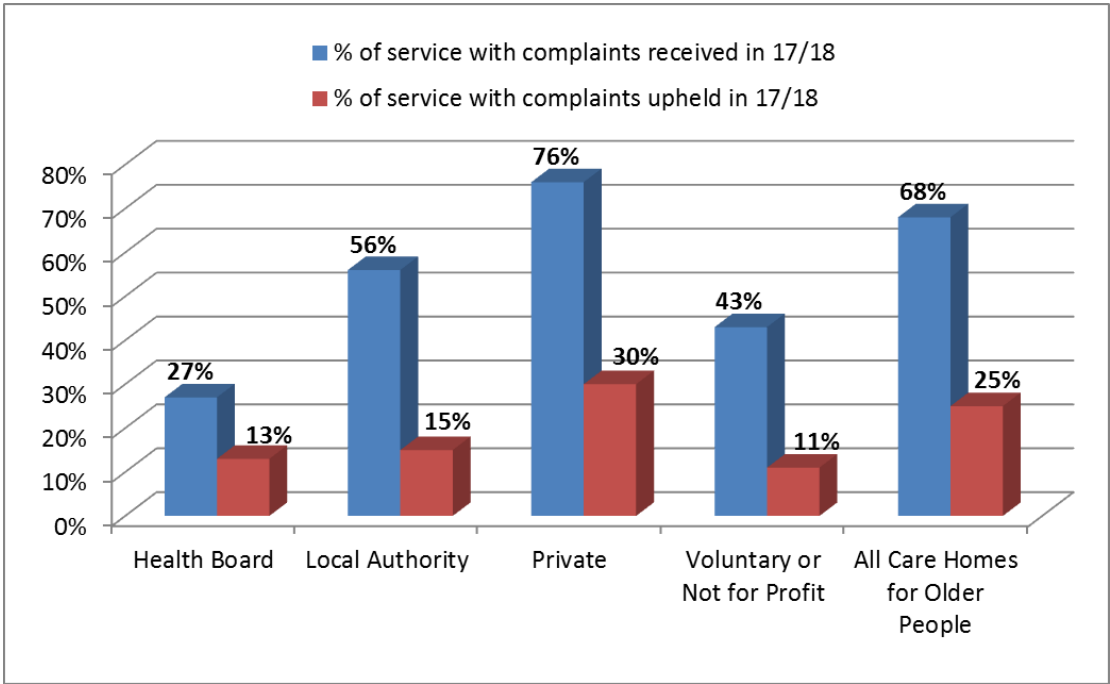
Of the services that had a complaint investigated and upheld in 2017/18, 65% had only one upheld complaint, 20% had two upheld complaints, and the remainder had between three and six upheld complaints during the year.

Most care homes for older people are operated by the private sector (72.9%), with local authorities providing 13.1%, voluntary organisations 12.2% and the remaining 1.8% are provided by an NHS Board (NHS Highland) (see Figure 6.1). In 2017/18 we received at least one complaint about 76% of private sector care homes for older people, and upheld a complaint about 30% of them. These rates are higher than the proportions of services in other sectors with complaints received and upheld (illustrated in figure 6.2)

**Figure 6.1: Number of care homes for older people at 31 March 2018 – by sector**



**Figure 6.2: Care homes for older people at 31 March 2018 – % services with a complaint received or upheld about them**



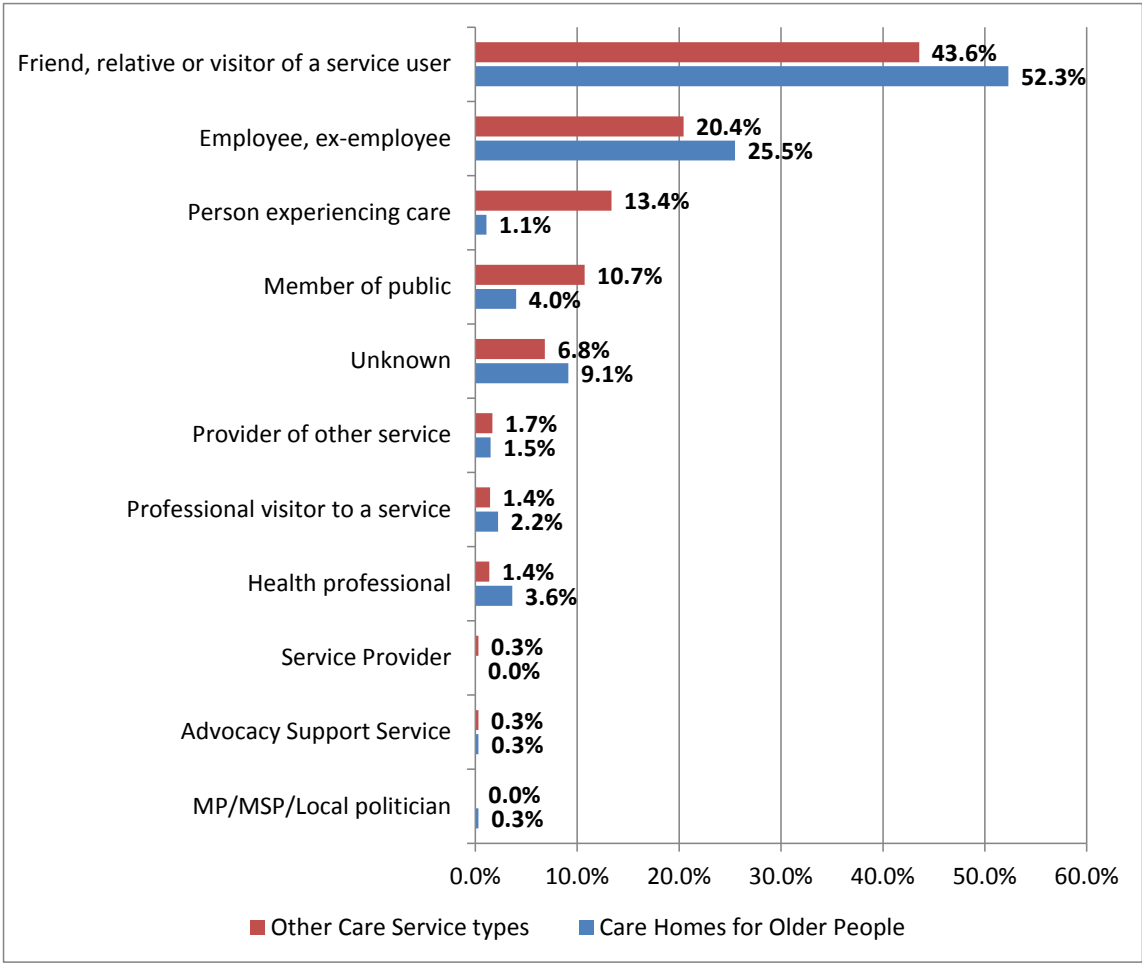
Further breakdown of areas of complaint for care homes for older people (figure 6.3) shows that specific healthcare issues were the largest group of complaints (27%). This includes problems with nutrition, medication, tissue viability, and inadequate care and treatment. Full details of this breakdown are in Appendix 1, (Table E).

**Figure 6.3: Care homes for older people – by area of complaint 2017/18**

Summary area of complaint	Number of areas of complaint upheld	% of all upheld areas of complaint
Healthcare issues	192	27.4%
General health and welfare	147	20.9%
Staffing	86	12.3%
Communication	77	11.0%
Choice	47	6.7%
Environment	39	5.6%
Record keeping	24	3.4%
Property	23	3.3%
Policies and procedures	18	2.6%
Food	17	2.4%
Privacy and dignity	12	1.7%
Protection of people	11	1.6%
Access	7	1.0%
Death and dying	1	0.1%
Condition of registration	1	0.1%

Just over half of all complaints received in 2017/18 about care homes for older people were from relatives and friends of people living in the service – 9 percentage points higher than in other types of service (figure 6.4). The proportion of complaints received from employees of the service was also higher for care homes for older people than for other service types by around 5 percentage points. People experiencing care made around 1% of all complaints about care homes for older people – compared with 13% for all other types of service.

**Figure 6.4: Complaints received 2017/18 by relationship of complainant – care homes for older people compared with all other complaints received**



## 7. Complaints about childminders

At 31 March 2018 there were 5,334 registered childminders. Although this is the largest single category of registered services, during 2017/18 we had received a complaint about only 3.3% of childminders, and upheld a complaint about 1.0% of these childminders.

Of the childminders with an upheld complaint, almost all (93%) had only one upheld complaint, and the remaining 7% had two upheld complaints during the year.

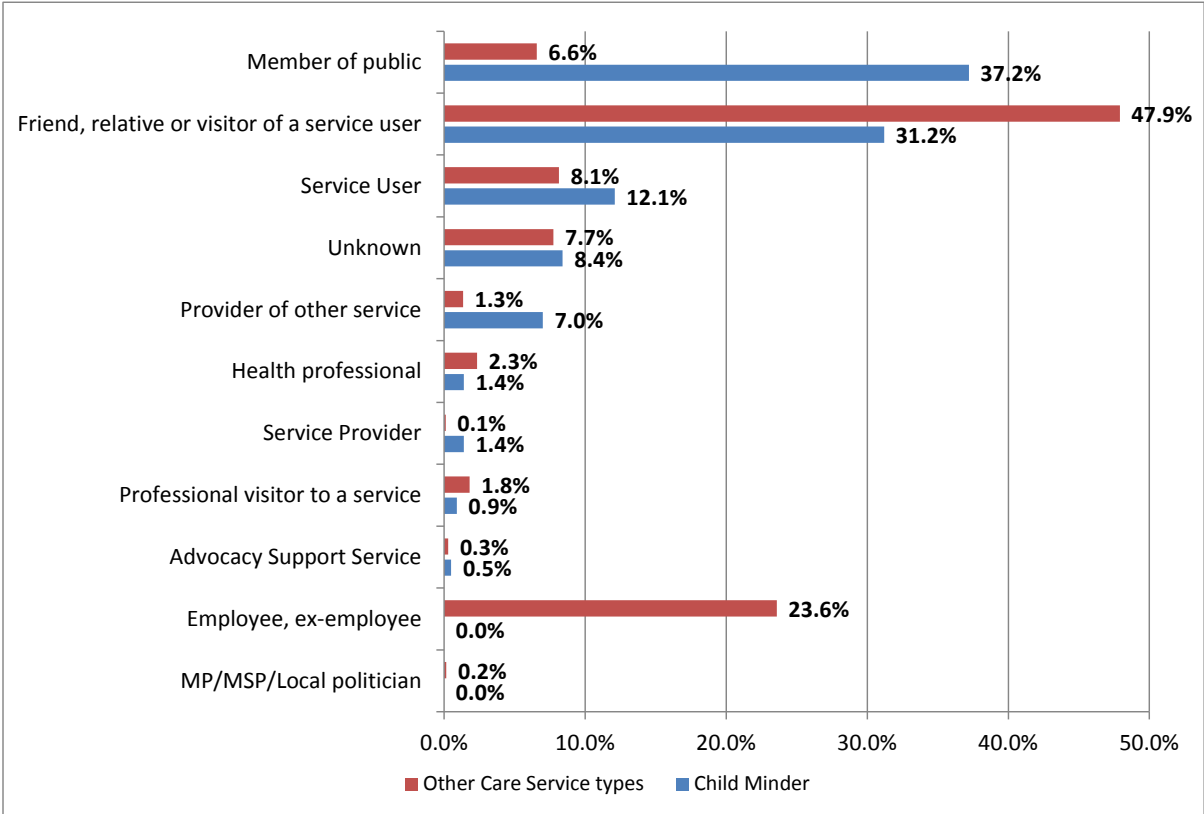
Further breakdown of areas of complaint about childminders (figure 7.1) shows that breaching conditions of registration, in particular exceeding the maximum permitted capacity was the most frequent area of complaint.

**Figure 7.1: Childminders – by area of complaint 2017/18**

Summary area of complaint	Number of areas of complaint upheld	% of all upheld areas of complaint
Conditions of registration	31	39.2%
of which, exceeding capacity	18	22.8%
General health and welfare	19	24.1%
Policies and procedures	7	8.9%
Communication	4	5.1%
Record keeping	4	5.1%
Environment	4	5.1%
Protection of people	3	3.8%
Choice	2	2.5%
Specific healthcare concerns	2	2.5%
Staff or staffing concerns	1	1.3%
Care Inspectorate - communication	1	1.3%
Food	1	1.3%

Although still the most likely to make a complaint, the proportion of complaints about childminders that come from friends, relatives or visitors of a person experiencing care is considerably lower (by over 16 percentage points) than for other types of services (figure 7.2). Compared with other types of service, members of the public are considerably more likely to complain about a childminder than about any other type of service – 37% of complaints about childminders came from the public compared to only 7% about other types of service.

**Figure 7.2: Complaints received 2017/18 by relationship of complainant – childminders compared with all other complaints received**



**8. What we found when investigating complaints**

Once our investigation is complete the inspector decides if the complaint should be “upheld” or “not upheld”. We say we have not upheld a complaint where we have investigated and found there is a lack of evidence to validate the complaint. Where we have investigated and found evidence that the cause of the complaint is valid, the complaint will be upheld and we will take action, letting both the complainant and the care service know about any requirements or recommendations we have made. It may be that one complaint contains many parts – which we call areas of complaint – each of which may be either upheld or not upheld.

In 2017/18 we upheld 56% of complaints investigated, a slight decrease from 57% in 2016/17. This may be due to our new procedure as only those high risk complaints are taken forward for investigation.

The percentage of complaints upheld varies by type of service: in 2017/18, 59% of complaints about care home services and 63% of complaints about combined housing support and care at home services were upheld while less than half (42%) of complaints investigated about daycare of children services, and 47% of complaints investigated about childminders, were upheld.



**Table 8.1: The number of completed complaint investigations by complaint outcome, 2014/15 – 2017/18**

Complaint outcome	Year investigation completed			
	2014/15	2015/16	2016/17	2017/18
Upheld	58%	59%	57%	56%
Not upheld	42%	41%	43%	44%

**Table 8.2: Percentage of complaints upheld or partially upheld by service type, 2017/18**

Care Service type	Number of complaints upheld	% of all complaints upheld
Adoption service	0	0.0%
Care home service	374	59.0%
of which, care homes for older people	342	60.3%
Childminding	59	46.8%
Day care of children	123	41.8%
Fostering service	3	60.0%
Housing support service	125	60.4%
Nurse agency	0	0.0%
Offender accommodation service	0	0.0%
School care accommodation service	15	83.3%
Secure accommodation service	1	100.0%
Support service	105	70.5%
of which, care at home	100	73.0%
Other than care at home	5	41.7%
<b>All care service types</b>	<b>805</b>	<b>56.1%</b>

## 9. Supporting improvement following complaints

Complaints are a valuable and personal insight into how services are caring for the thousands of people who use them every day. We realise that, for many people, making a complaint to us can be a big step and indicates that there is something not right that really matters to them.

We look at all the information we receive from complaints carefully and decide the best way to proceed. This might be through a formal complaint investigation, or it might be issues that are raised which we will look at the service's next inspection. Alternatively, we may attempt front line resolution, where we communicate with the service and facilitate resolution that the complainant is satisfied with. Or we may pass the complaint to the provider for them to investigate. Due to our new approach with emphasis on front line resolution in 2017/18 just under one in six complaints received were resolved in this way, an increase compared to the one in ten complaints in 2016/17 and again compared to one in eighteen in 2015/16. Some issues are raised with us which are the responsibility of other organisations to look at, such as the Scottish Social Services Council or the Nursing and Midwifery Council. In such cases, we refer people to the appropriate organisation ensuring it is clear how their concerns will be best addressed.

Where we do carry out a complaint investigation, the purpose is not merely to establish the facts and provide a determination on whether the care provided was of sufficient quality, but seek to improve the quality of care provided to the complainant and other people. It is essential that our investigations lead to meaningful change and improvements in the daily lives of people experiencing care.

Following a complaint investigation where the complaint was upheld, our inspectors consider how we can support a service to make improvements. Depending on the seriousness of what we have found during our investigation, actions might include: signposting to best practice; making a recommendation as to how the service might improve; or making a requirement setting out what the service must do and by when. Progress against recommendations and requirements are examined at the next inspection. We may review grades and re-grade the service as a result of an upheld complaint and might also consider whether we need to prioritise an inspection of the service to look at wider aspects of care.

Where the complaint identifies very serious concerns, we may serve an improvement notice under Section 62 of the Public Services Reform (Scotland) Act 2010 (the Act) which may lead to the closure of the service with the agreement of a sheriff.

However, we also recognise that part of our role is to directly support improvement. Our inspectors and our improvement support team may spend time with a care service to make sure the experiences and outcomes for people improve.

## 10. Conclusions

This report has presented a range of statistical information from complaints about care services over the past four years, noting that the recent introduction of a new complaint procedure will have had an impact on the trends presented, which should be interpreted in that context.

The volume of complaints received over that period has increased from 4,440 received in 2014/15 to 4,696 in 2017/18. Over the same period, the quality of care overall has improved with the percentage of services with grades of good or better for all quality themes increasing from 87% to 89%. The increase in complaints received most likely reflects an increasing awareness of the Care Inspectorate's role in investigating complaints.

The majority of the complaints we investigate each year are upheld – 56% were upheld in 2017/18. This varies by type of service, with complaints about combined care at home and housing support services most frequently upheld (63%) while complaints about childminders and daycare of children services were upheld in only 47% and 42% of complaints investigated respectively.

Most complaints are made by friends, relatives and carers of people using a service (45%), compared with only 8% from people who use services themselves.

We receive, investigate and uphold more complaints about care homes for older people than for any other type of service: during 2017/18 we received a complaint about 68% of care homes for older people; we investigated a complaint about 38% of these and upheld a complaint about 25% of them. Of the care homes for older people services that had a complaint investigated and upheld in 2017/18, 65% had only one upheld complaint, 20% had two upheld complaints, and the remainder had between three and six upheld complaints during the year. Specific healthcare issues such as medication, inadequate care and treatment, continence care and nutrition are the most frequent types of complaints upheld about care homes for older people, followed by complaints about staff, including staffing levels and qualifications.

Our focus in all areas of our work, including complaints, is on improving the quality of care and outcomes for people who use care services. We do this both in the course of the investigation as well as using intelligence from complaint investigations to help us better target problem areas.

## Appendix 1

Table A: Complaints received and completed about care services by relationship of complainant with service

### Complaints received

Relationship of complainant	2014/15		2015/16		2016/17		2017/18		4 year total		% change comparing 14/15 to 17/18
	No. of complaints received	% of complaints received	No. of complaints received	% of complaints received	No. of complaints received	% of complaints received	No. of complaints received	% of complaints received	No. of complaints received	% of complaints received	
Advocacy Support Service	19	0.4%	12	0.3%	16	0.4%	14	0.3%	61	0.3%	-26.3%
Employee, ex-employee	883	19.9%	825	20.2%	905	21.2%	1057	22.5%	3670	21.0%	+19.7%
Friend, relative or visitor of a person experiencing care	1950	43.9%	1784	43.6%	1932	45.2%	2214	47.1%	7880	45.0%	+13.5%
Health professional	44	1.0%	55	1.3%	62	1.4%	108	2.3%	269	1.5%	+145.5%
Member of public	295	6.6%	229	5.6%	313	7.3%	374	8.0%	1211	6.9%	+26.8%
MP/MSP/Local politician	8	0.2%	4	0.1%	3	0.1%	7	0.1%	22	0.1%	-12.5%
Professional visitor to a service	69	1.6%	53	1.3%	42	1.0%	83	1.8%	247	1.4%	+20.3%
Provider of other service	40	0.9%	27	0.7%	36	0.8%	75	1.6%	178	1.0%	+87.5%
Service Provider	13	0.3%	12	0.3%	7	0.2%	8	0.2%	40	0.2%	-38.5%
Person experiencing care	395	8.9%	312	7.6%	363	8.5%	391	8.3%	1461	8.3%	-1.0%
Unknown	724	16.3%	776	19.0%	598	14.0%	365	7.8%	2463	14.1%	-49.6%
<b>All complainant categories</b>	<b>4440</b>	<b>100.0%</b>	<b>4089</b>	<b>100.0%</b>	<b>4277</b>	<b>100.0%</b>	<b>4696</b>	<b>100.0%</b>	<b>17502</b>	<b>100.0%</b>	<b>+5.8%</b>

## Complaint investigations completed

Relationship of complainant	2014/15		2015/16		2016/17		2017/18		4 year total		% change comparing 14/15 to 17/18
	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	
Advocacy Support Service	4	0.2%	4	0.2%	8	0.5%	1	0.1%	17	0.2%	-75.0%
Employee, ex-employee	358	18.0%	314	18.0%	288	17.3%	256	17.9%	1216	17.8%	-28.5%
Friend, relative or visitor of a person experiencing care	1005	50.4%	895	51.2%	870	52.4%	798	55.6%	3568	52.2%	-20.6%
Health professional	21	1.1%	19	1.1%	23	1.4%	23	1.6%	86	1.3%	+9.5%
Member of public	135	6.8%	99	5.7%	118	7.1%	104	7.3%	456	6.7%	-23.0%
MP/MSP/Local politician	2	0.1%	2	0.1%	1	0.1%	3	0.2%	8	0.1%	+50.0%
Professional visitor to a service	26	1.3%	19	1.1%	13	0.8%	21	1.5%	79	1.2%	-19.2%
Provider of other service	20	1.0%	11	0.6%	16	1.0%	24	1.7%	71	1.0%	+20.0%
Service Provider	5	0.3%	7	0.4%	4	0.2%	5	0.4%	21	0.3%	0.0%
Person experiencing care	165	8.3%	132	7.6%	113	6.8%	87	6.1%	497	7.3%	-47.3%
Unknown	252	12.6%	246	14.1%	208	12.5%	113	7.9%	819	12.0%	-55.2%
<b>All complainant categories</b>	<b>1993</b>	<b>100.0%</b>	<b>1748</b>	<b>100.0%</b>	<b>1662</b>	<b>100.0%</b>	<b>1435</b>	<b>100.0%</b>	<b>6838</b>	<b>100.0%</b>	<b>-28.0%</b>

Note: % change based on fewer than 20 complaints each year should be used with caution.

**Table B: Complaints completed by service type**

Care Service type	2014/15		2015/16		2016/17		2017/18		4 year total		% change comparing 14/15 to 17/18
	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	No. of complaints completed	% of complaints completed	
Adoption Service	1	0.1%	2	0.1%	0	0.0%	0	0.0%	3	0.0%	-100.0%
Care Home Service	934	46.9%	864	49.4%	768	46.2%	635	44.2%	3201	46.8%	-32.0%
Childminding	175	8.8%	145	8.3%	132	7.9%	126	8.8%	578	8.5%	-28.0%
Daycare of Children	432	21.7%	336	19.2%	365	22.0%	294	20.5%	1427	20.9%	-31.9%
Fostering Service	9	0.5%	4	0.2%	4	0.2%	5	0.4%	22	0.3%	-44.4%
Housing Support Service	104	5.2%	113	6.5%	189	11.4%	207	14.4%	613	9.0%	+99.0%
Nurse Agency	4	0.2%	2	0.1%	0	0.0%	0	0.0%	6	0.1%	-100.0%
Offender Accommodation Service	0	0.0%	1	0.1%	0	0.0%	0	0.0%	1	0.0%	0.0%
School Care Accommodation Service	25	1.3%	15	0.9%	9	0.5%	18	1.3%	67	0.1%	-28.0%
Secure Accommodation Service	2	0.1%	0	0.0%	0	0.0%	1	0.1%	3	0.0%	-50.0%
Support Service	307	15.4%	266	15.2%	195	11.7%	149	10.4%	917	13.4%	-51.5%
<b>All Care Service types</b>	<b>1993</b>	<b>100.0%</b>	<b>1748</b>	<b>100.0%</b>	<b>1662</b>	<b>100.0%</b>	<b>1435</b>	<b>100.0%</b>	<b>6838</b>	<b>100.0%</b>	<b>-28.0%</b>

Note: % change based on fewer than 20 complaints each year should be used with caution

**Table C: All service types by area of complaint, complaints upheld in 2017/18**

Each complaint can have many areas, each of which has a separate outcome recorded. This table includes only those areas where the outcome was upheld.

Area of complaint	Detailed area of complaint	No. of upheld areas of complaints	% of all upheld areas of complaint
General health and welfare	General health and welfare	364	24.6%
Healthcare Issues	Healthcare - Continence Care	32	2.2%
	Healthcare - Hydration	19	1.3%
	Healthcare - Inadequate Healthcare or Healthcare Treatment	32	2.2%
	Healthcare - Infection Control Issues	18	1.2%
	Healthcare - Medication Issues	79	5.3%
	Healthcare - Mental Health Care	2	0.1%
	Healthcare - Nutrition	32	2.2%
	Healthcare - Oral health	8	0.5%
	Healthcare - Palliative Care	10	0.7%
	Healthcare - Tissue Viability	27	1.8%
Staff or Staffing concerns	Staff - levels	86	5.8%
	Staff - other	47	3.2%
	Staff - other fitness issues	12	0.8%
	Staff - recruitment procedures (including Disclosure Checks)	19	1.3%
	Staff - registration with professional bodies	1	0.1%
	Staff - training / qualifications	53	3.6%
Communication	Communication - between staff and people experiencing care, their relatives and carers	135	9.1%
	Communication - information about the service	13	0.9%
	Communication - other	42	2.8%
Choice	Choice - activities	23	1.6%
	Choice - care and treatment	32	2.2%
	Choice - dignity and privacy	27	1.8%
	Choice - other	14	0.9%
	Choice - service not meeting religious,cultural,faith,social needs	1	0.1%
Policies and Procedures	Policies and procedures - complaints procedure	45	3.0%
	Policies and procedures - other	28	1.9%
Record Keeping	Record keeping - other	31	2.1%
	Record keeping - personal plans/ agreements	33	2.2%
Environment	Environment - fitness of premises / environment	18	1.2%
	Environment - inadequate facilities	5	0.3%
	Environment - other	32	2.2%
	Environment - security	8	0.5%
Condition of registration	Conditions of registration - exceeding capacity	20	1.3%
	Conditions of registration - other	15	1.0%
Protection of People	Protection of people - adults	10	0.7%
	Protection of people - children	11	0.7%
	Protection of people - other	6	0.4%
	Protection of people - policies and procedures	2	0.1%
	Protection of people - restraint	4	0.3%
Property	Property - care of	9	0.6%
	Property - loss of/missing	13	0.9%
	Property - other	4	0.3%

**Table C: All service types by area of complaint, complaints upheld in 2017/18**

Area of complaint	Detailed area of complaint	No. of upheld areas of complaints	% of all upheld areas of complaint
Food	Food - choice	9	0.6%
	Food - other	9	0.6%
	Food - quality	8	0.5%
Privacy and Dignity	Privacy and Dignity	17	1.1%
Issue with Access to services	Access - to other services e.g. Advocacy/Health	7	0.5%
Participation of people using care	User participation - in managing/developing the service	5	0.3%
Financial Issues	Financial Issues	2	0.1%
Care Inspectorate - communication	Care Inspectorate - communication	2	0.1%
Death and dying	Death and dying	1	0.1%



**Table D: Areas of complaint upheld, by type of care service 2017/18**

Detailed area of complaint	Care Home Service		Childminding		Daycare of Children		Fostering Service		Housing Support Service		School Care Accommodation Service		Secure Accommodation		Support Service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%	number	%
General health and welfare	159	10.7%	19	3.3%	49	3.3%	1	0.1%	71	4.8%	5	0.3%	0	0.0%	60	4.0%
Healthcare - Continence Care	27	1.8%	0	0.0%	0	0.0%	0	0.0%	3	0.2%	0	0.0%	0	0.0%	2	0.1%
Healthcare - Hydration	19	1.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Healthcare - Inadequate Healthcare or Healthcare Treatment	31	2.1%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Healthcare - Infection Control Issues	11	0.7%	2	0.1%	2	0.1%	0	0.0%	2	0.1%	0	0.0%	0	0.0%	1	0.1%
Healthcare - Medication Issues	48	3.2%	0	0.0%	2	0.1%	0	0.0%	14	0.9%	1	0.1%	0	0.0%	14	0.9%
Healthcare - Mental Health Care	2	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Healthcare - Nutrition	27	1.8%	0	0.0%	0	0.0%	0	0.0%	2	0.1%	0	0.0%	0	0.0%	3	0.2%
Healthcare - Oral health	6	0.4%	0	0.0%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	1	0.1%
Healthcare - Palliative Care	10	0.7%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Healthcare - Tissue Viability	26	1.8%	0	0.0%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%

**Table D: Areas of complaint upheld, by type of care service 2017/18 (continued)**

Detailed area of complaint	Care Home Service		Childminding		Daycare of Children		Fostering Service		Housing Support Service		School Care Accommodation Service		Secure Accommodation		Support Service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%	number	%
Staff - levels	52	3.5%	0	0.0%	28	1.9%	0	0.0%	4	0.3%	1	0.1%	0	0.0%	1	0.1%
Staff - other	11	0.7%	0	0.0%	11	0.7%	0	0.0%	7	0.5%	0	0.0%	0	0.0%	18	1.2%
Staff - other fitness issues	2	0.1%	1	0.1%	3	0.2%	0	0.0%	4	0.3%	0	0.0%	0	0.0%	2	0.1%
Staff - recruitment procedures (including Disclosure Checks)	4	0.3%	0	0.0%	6	0.4%	0	0.0%	4	0.3%	0	0.0%	0	0.0%	5	0.3%
Staff - registration with professional bodies	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Staff - training / qualifications	26	1.8%	0	0.0%	4	0.3%	0	0.0%	9	0.6%	0	0.0%	0	0.0%	14	0.9%
Communication - between staff and people experiencing care, the relatives and carers	69	4.7%	3	0.2%	18	1.2%	0	0.0%	18	1.2%	6	0.4%	0	0.0%	21	1.4%
Communication - information about the service	1	0.1%	0	0.0%	2	0.1%	0	0.0%	3	0.2%	0	0.0%	0	0.0%	7	0.5%
Communication - other	12	0.8%	1	0.1%	4	0.3%	0	0.0%	15	1.0%	0	0.0%	0	0.0%	10	0.7%
Choice – activities	17	1.1%	2	0.1%	4	0.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Choice – care and treatment	17	1.1%	0	0.0%	0	0.0%	0	0.0%	6	0.4%	0	0.0%	0	0.0%	9	0.6%
Choice – dignity and privacy	9	0.6%	0	0.0%	0	0.0%	0	0.0%	7	0.5%	0	0.0%	0	0.0%	11	0.7%
Choice - other	5	0.3%	0	0.0%	0	0.0%	0	0.0%	5	0.3%	0	0.0%	0	0.0%	4	0.3%
Choice – service not religious, cultural, faith, social needs	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**Table D: Areas of complaint upheld, by type of care service 2017/18 (continued)**

Detailed area of complaint	Care Home Service		Childminding		Daycare of Children		Fostering Service		Housing Support Service		School Care Accommodation Service		Secure Accommodation		Support Service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%	number	%
Policies and procedures – complaints procedure	15	1.0%	3	0.2%	7	0.5%	0	0.0%	7	0.5%	0	0.0%	0	0.0%	13	0.9%
Policies and procedures - other	8	0.5%	4	0.3%	11	0.7%	2	0.1%	1	0.1%	1	0.1%	1	0.1%	0	0.0%
Record keeping - other	10	0.7%	3	0.2%	7	0.5%	0	0.0%	8	0.5%	0	0.0%	0	0.0%	3	0.2%
Record keeping – personal plans/agreements	14	0.9%	1	0.1%	3	0.2%	0	0.0%	10	0.7%	0	0.0%	0	0.0%	5	0.3%
Environment – fitness of premises/environment	13	0.9%	0	0.0%	5	0.3%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Environment – inadequate facilities	3	0.2%	1	0.1%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Environment - other	21	1.4%	2	0.1%	9	0.6%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Environment - security	3	0.2%	1	0.1%	3	0.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.1%
Conditions of registration – exceeding capacity	0	0.0%	18	1.2%	2	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Conditions of registration - other	1	0.1%	13	0.9%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Protection of people -	7	0.5%	0	0.0%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	2	0.1%
Protection of people -	1	0.1%	3	0.2%	3	0.2%	0	0.0%	0	0.0%	4	0.3%	0	0.0%	0	0.0%
Protection of people -	6	0.4%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Protection of people -	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.1%
Protection of people -	1	0.1%	0	0.0%	2	0.1%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%

**Table D: Areas of complaint upheld, by type of care service 2017/18 (continued)**

Detailed area of complaint	Care Home Service		Childminding		Daycare of Children		Fostering Service		Housing Support Service		School Care Accommodation Service		Secure Accommodation		Support Service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%	number	%
Property – care of	8	0.5%	0	0.0%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%
Property – loss of/missing	12	0.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.1%
Property - other	3	0.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.1%
Food – choice	6	0.4%	0	0.0%	1	0.1%	0	0.0%	2	0.1%	0	0.0%	0	0.0%	0	0.0%
Food- other	5	0.3%	0	0.0%	0	0.0%	0	0.0%	2	0.1%	0	0.0%	0	0.0%	2	0.1%
Food - quality	6	0.4%	1	0.1%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Privacy and Dignity	12	0.8%	0	0.0%	1	0.1%	0	0.0%	2	0.1%	0	0.0%	0	0.0%	2	0.1%
Access – to other services e.g. Advocacy/Health	7	0.5%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
User participation – in managing/developing the service	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	0.2%	0	0.0%	0	0.0%	2	0.1%
Financial issues	1	0.1%	0	0.0%	0	0.0%	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%
Care Inspectorate - communication	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.1%
Death and dying	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%

**Table E: Care Homes for Older People, complaints upheld in 2017/18 by area of complaint**

Note: each overall complaint can have several areas- this table only includes those areas that were upheld.

Area of complaint	Detailed area of complaint	No. of upheld complaints	% of upheld complaints
Healthcare	Healthcare - Medication Issues	40	5.7%
	Healthcare - Inadequate Healthcare or Healthcare Treatment	30	4.3%
	Healthcare - Continence Care	26	3.7%
	Healthcare - Nutrition	25	3.6%
	Healthcare - Tissue Viability	24	3.4%
	Healthcare - Hydration	19	2.7%
	Healthcare - Infection Control Issues	10	1.4%
	Healthcare - Palliative Care	10	1.4%
	Healthcare - Oral health	6	0.9%
Healthcare - Mental Health Care	2	0.3%	
General health and welfare	General health and welfare	147	20.9%
Staffing	Staff - levels	48	6.8%
	Staff - training / qualifications	22	3.1%
	Staff - other	10	1.4%
	Staff - recruitment procedures (including Disclosure Checks)	4	0.6%
	Staff - other fitness issues	2	0.3%
Communication	Communication - between staff and people experiencing care, the relatives and carers	64	9.1%
	Communication - other	12	1.7%
	Communication - information about the service	1	0.1%
Choice	Choice - activities	17	2.4%
	Choice - care and treatment	16	2.3%
	Choice - dignity and privacy	9	1.3%
	Choice - other	4	0.6%
	Choice - service not meeting religious,cultural,faith,social needs	1	0.1%
Environment	Environment - other	20	2.8%
	Environment - fitness of premises / environment	13	1.9%
	Environment - inadequate facilities	3	0.4%
	Environment - security	3	0.4%
Record Keeping	Record keeping - personal plans/ agreements	14	2.0%
	Record keeping - other	10	1.4%
Personal Property	Property - loss of/missing	12	1.7%
	Property - care of	8	1.1%
	Property - other	3	0.4%
Policies and Procedures	Policies and procedures - complaints procedure	15	2.1%
	Policies and procedures - other	3	0.4%
Food	Food - choice	6	0.9%
	Food - quality	6	0.9%
	Food - other	5	0.7%
Privacy and Dignity	Privacy and Dignity	12	1.7%

**Table E: Care Homes for Older People, complaints upheld in 2017/18 by area of complaint (continued)**

Area of complaint	Detailed area of complaint	No. of upheld complaints	% of upheld complaints
Protection of People issues	Protection of people - other	6	0.9%
	Protection of people - adults	5	0.7%
Access	Access - to other services e.g. Advocacy/Health	7	1.0%
Death and dying	Death and dying	1	0.1%
Condition of registration	Conditions of registration - other	1	0.1%

**Table F: Complaints investigated over the past four years by outcome**

Year investigation completed	Upheld		Not Upheld	
	number of complaints	% of investigations completed	number of complaints	% of investigations completed
2014/15	1148	57.6%	845	42.4%
2015/16	1027	58.8%	720	41.2%
2016/17	951	57.3%	710	42.7%
2017/18	805	56.1%	630	43.9%
<b>Grand Total</b>	<b>3931</b>	<b>57.5%</b>	<b>2905</b>	<b>42.5%</b>

**Table G: Complaints investigated over the past four years by outcome and service type**

	Upheld		Not Upheld		Total number
	number of complaints	% of investigations completed	number of complaints	% of investigations completed	
Care Service					
Adoption Service	1	33.3%	2	66.7%	3
Care Home Service	1895	59.2%	1305	40.8%	3200
Childminding	266	46.0%	312	54.0%	578
Daycare of Children	673	47.2%	753	52.8%	1426
Fostering Service	15	68.2%	7	31.8%	22
Housing Support Service	383	62.5%	230	37.5%	613
Nurse Agency	4	66.7%	2	33.3%	6
Offender Accommodation Service	0	0.0%	1	100.0%	1
School Care Accommodation Service	46	68.7%	21	31.3%	67
Secure Accommodation Service	2	66.7%	1	33.3%	3
Support Service	646	70.4%	271	29.6%	917
<b>All Care Service types</b>	<b>3931</b>	<b>57.5%</b>	<b>2905</b>	<b>42.5%</b>	<b>6836</b>

Note: excludes a small number of cases that were withdrawn before the investigation was completed.

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