

# Complaints about care services in Scotland 2014/15 to 2016/17

Published October 2017



HAPPY TO TRANSLATE

## Executive Summary

Care services operating in Scotland must be registered with the Care Inspectorate. We are responsible for registering and inspecting over 13,500 services, supporting improvement where necessary and ensuring that the standard of care provided is high.

We aim to ensure people in Scotland receive high quality, safe and compassionate care that meets their needs and promotes their rights and choices. Our complaints procedure allows people who experience care, including friends, families and others, to raise with us concerns they have about care services in Scotland.

This statistical report on complaints examines the trends in complaints received and investigated over the last three years with a particular focus on the most recent year 1 April 2016 to 31 March 2017.

Since 2014/15, we have received over 4,000 complaints about care services each year. Our 2014 public awareness campaign and additional online and printed resources have increased awareness of our complaints process. Although levels of complaints received have been high, this is not necessarily an indicator that quality of care is in decline. Comparing 2014/15 to 2016/17, the percentage of services graded good, very good or excellent in all quality themes have remained fairly constant at 87% and 88% respectively.

The majority of complaints that we investigated in 2016/17 were upheld (57% of completed investigations). The rate of complaints upheld varies by service type, with complaints about combined care at home and housing support services upheld in 73% of cases and complaints about care home services upheld in 59% of cases. Less than half (48%) of complaints investigated about daycare of children services were upheld and only 42% of complaints investigated about childminders were upheld.

Most complaints received (44%) were made by friends, relatives or carers of a person who uses the care service complained about. A further 20% were made by employees or former employees of the service. Only 8% of complaints were made directly by someone using the service.

Although making up only around 11% of the 13,500 or so registered services, care homes account for 48% of the total number of complaints investigated over the last three years. In 2016/17 alone we investigated 768 complaints about care home services. However, as with most care service types, the number of complaints investigated about care homes has decreased since 2014/15, by 11% compared to 2015/16 and by 18% compared to 2014/15. Although the number of complaints investigated in most care services types has decreased, we have seen an increase in the number of complaints investigated in combined care at home and housing support services, increasing by 10% compared to 2014/15, and by 4% compared to 2015/16. Over the last three 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 2016/17, just over a quarter of all areas of complaint were about general health and welfare issues in a service. Specific healthcare concerns were identified in 16% of all area of complaints upheld, and a further 15% were 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 and in using the intelligence from complaint investigations to help us better target problem areas.

Our complaints process is available to download as a pdf from the complaints section of our website at the following address:  
[www.careinspectorate.com/index.php/complaints](http://www.careinspectorate.com/index.php/complaints)

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## 1. Introduction

Care services operating in Scotland must be registered with the Care Inspectorate. We are responsible for registering and inspecting over 13,500 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 (for example, nurseries) care homes, care at home and housing support services. We also regulate a variety of more specialist care services. Where standards fall below acceptable levels, we take enforcement action and also investigate complaints about care services.

This statistical report on complaints examines the trends in complaints received and investigated over the last three years with a particular focus on the most recent year, 1 April 2016 to 31 March 2017.

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.

Since 2014/15, we have received over 4,000 complaints about care services each year. Our 2014 public awareness campaign and additional online and printed resources increased awareness of our complaints process. The resulting increase in the volume of complaints received saw the highest number received compared to any year previous in 2014/15 and, although the last two years have seen some fluctuation, the total number received each year remains higher than pre 2014/15 levels.

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 inspection planning 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. This active promotion of our complaints function means that people are more aware of their rights and they know that they can make a complaint to us if they are unsatisfied with a care service.

## 2. How many complaints did we receive?

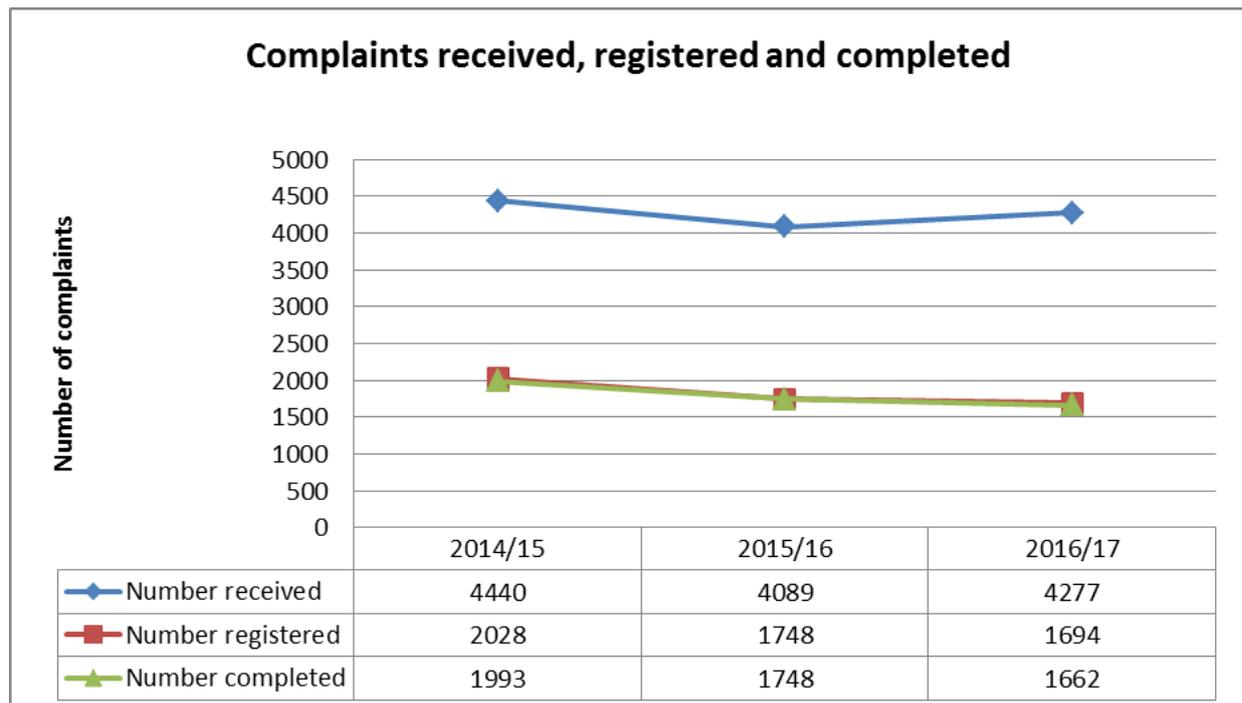
In 2016/17, we received 4,277 complaints about care services. Over the last three years, we received an average of 356 complaints per month. Our public awareness campaign in 2014 saw a sharp increase in the volume of complaints received that year, and although we received a lower volume in the two subsequent years, the levels of complaints we received remained higher than the pre-2014 levels.

The fluctuation and long-term rise in the number of complaints received is not necessarily an indicator that quality of care is in decline: comparing 2014/15 to 2016/17, the percentage of services graded good, very good or excellent in all quality themes has remained fairly constant at 87% and 88% respectively.

When we receive a complaint, we clarify its nature with the person who has made it. At that stage, it may become apparent that the complaint is not about a matter that we can investigate (for example, it may not be about a care service) or the person may not wish to pursue a complaint but just report a concern to us. Once we decide that we are going to investigate a complaint, we formally register it as a complaint. In 2016/17, we formally registered 1,694 complaints. Over the past three years, the overall trend has been a decreasing one, with an overall decrease of 16% compared to 2014/15 (a decrease of around 28 complaints registered per month). Although fewer complaints were registered during this time, we have seen an increase in the number of complaints that were resolved by frontline resolution (where we communicate with the provider and facilitate speedy resolution that the complainant is satisfied with). We resolved 170 more complaints by frontline resolution, without the need for a formal investigation, in 2016/17 compared to 2015/16.

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 1,662 complaint investigations in 2016/17. Overall, the number of complaints completed has decreased by 17% since 2014/15.

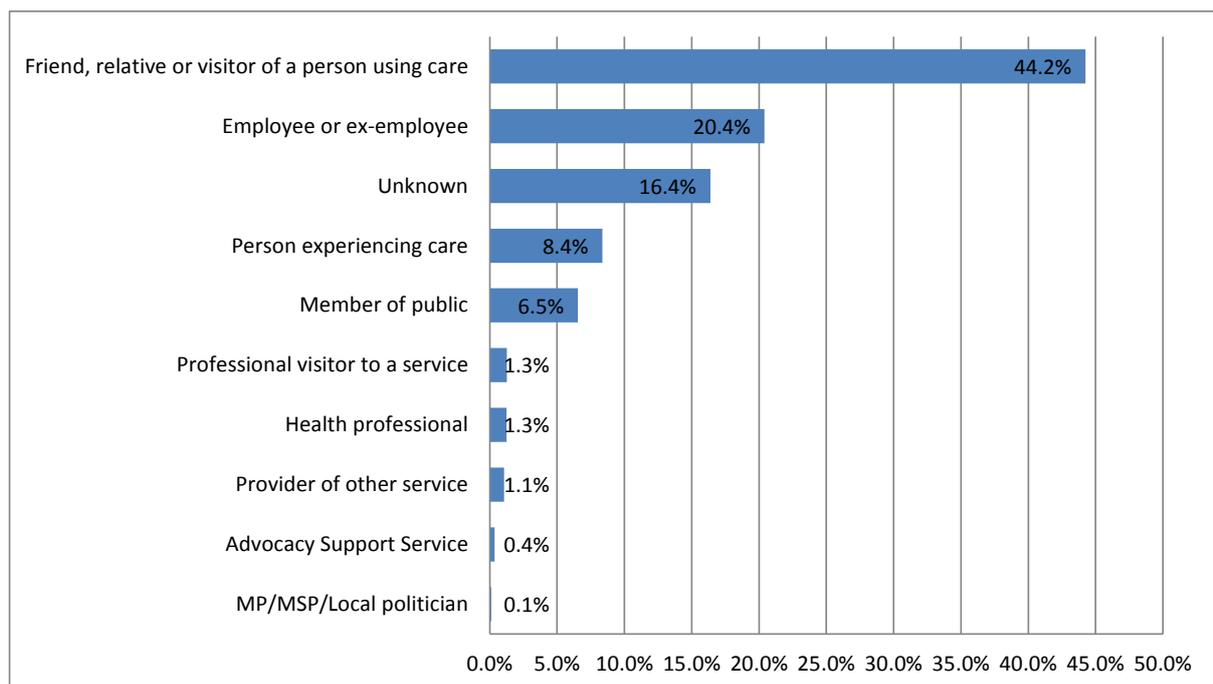
**Figure 2.1: The number of complaints about a care service**



### 3. Who makes complaints?

Between 2014/15 and 2016/17, just under half of all complaints received (44.2%) were made by friends, relatives or visitors of a person who used the care service complained about. A further 20% 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 2016/17, the percentage of complaints received from each category of complainant has remained fairly constant.

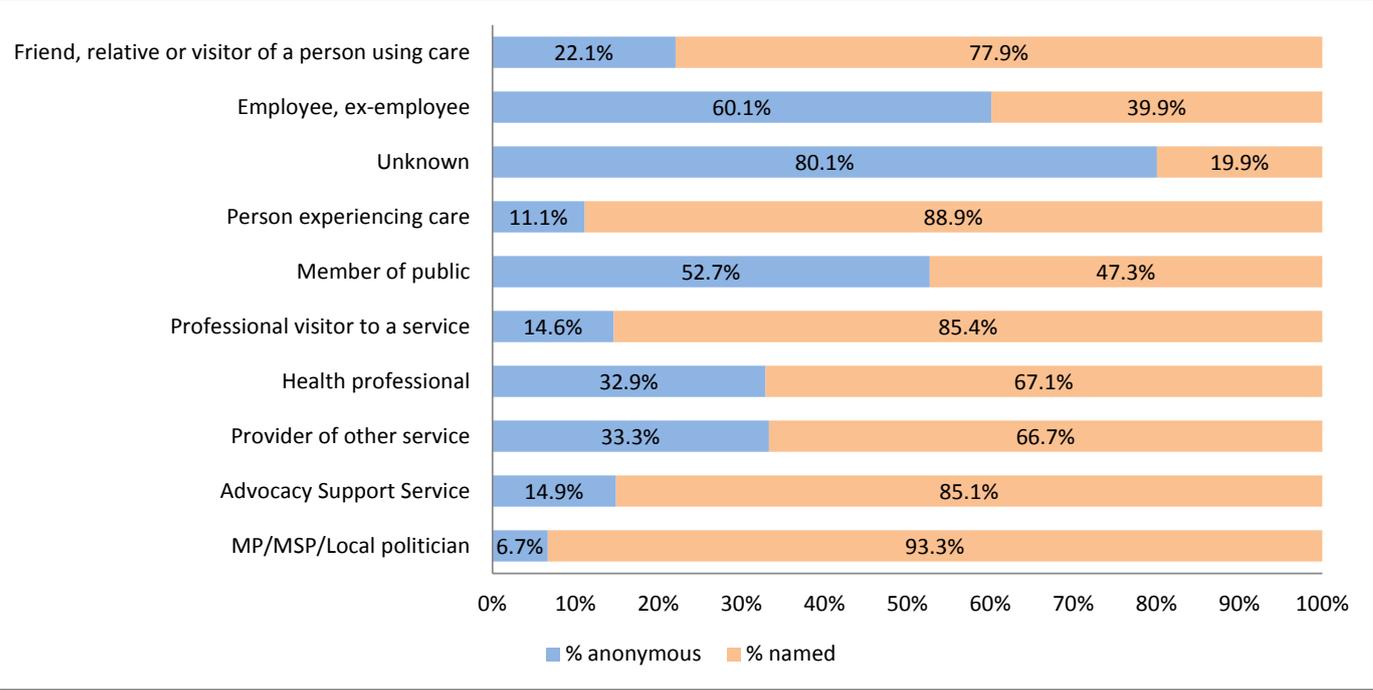
**Figure 3.1: Complaints received 2014/15 to 2016/17, by relationship to service**



When someone makes a complaint, they can choose to remain completely anonymous. The proportion of complaints received that were made anonymously decreased from 44% in 2014/15 to 39% in 2016/17.

Based on all of the complaints received over this three-year period, complainants whose relationship to the service was not known were unsurprisingly 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 – 60% and 53% respectively remaining anonymous.

**Figure 3.2: Complaints received 2014/15 to 2016/17 that were anonymous, by relationship to service**

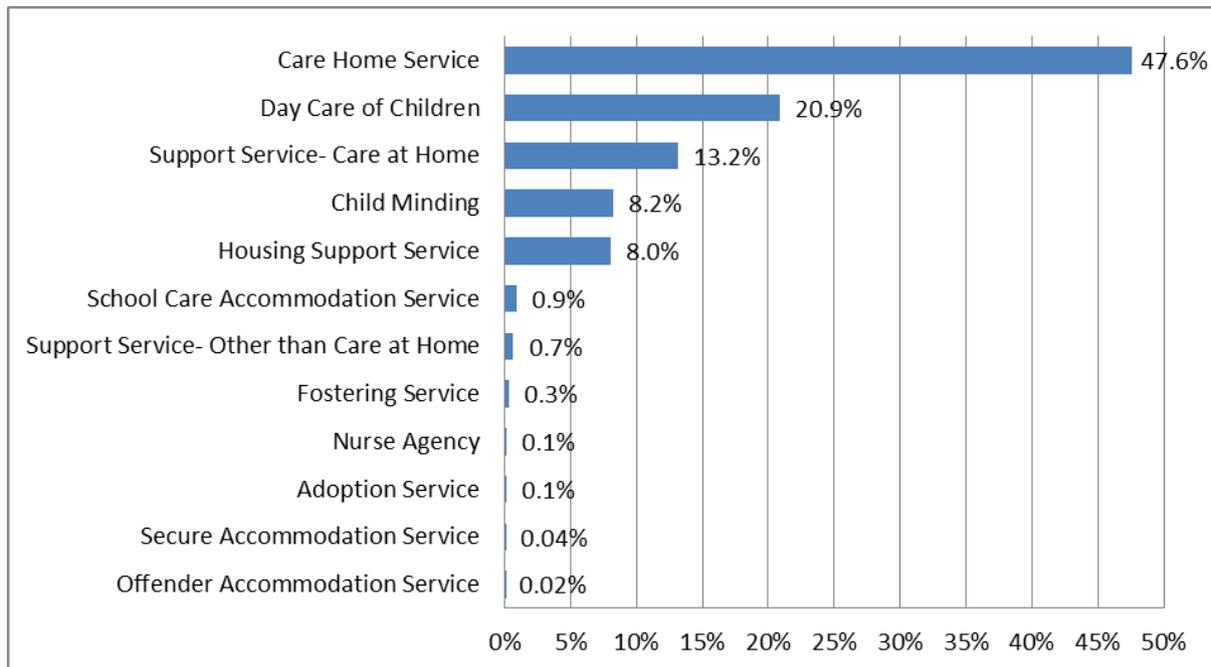


#### 4. What type of care services do people complain about?

The largest number of complaints we investigated over the five-year period involved care homes. Although making up only around 11% of the 13,500 or so registered services, care homes account for 48% of the total number of complaints investigated – a total of 2,566 completed investigations over the last three years.

Over the three 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. Although the number of complaints investigated overall has fallen, there has been an increase in the number of complaints investigated in combined care at home and housing support services, increasing by 10% compared to 2014/15.

**Figure 4.1: Complaints investigated 2014/15-2016/17, 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 2016/17, just over a quarter of all areas of complaint were about general health and welfare issues in a service. Specific healthcare concerns (for example medication, nutrition, hydration) were identified in 15.7% of all area of complaints upheld, and a further 14.9% 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 2016/17

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

Summary area of complaint	Number of complaints upheld	% of all upheld complaints
General health and welfare	470	26.2%
Specific Healthcare concerns	281	15.7%
Staff or staffing concerns	267	14.9%
Communication	244	13.6%
Policies and Procedures	103	5.7%
Choice	96	5.4%
Record keeping	96	5.4%
Environment	72	4.0%
Protection of people	52	2.9%
Property	31	1.7%
Conditions of registration	26	1.4%
Food	15	0.8%
Privacy and dignity	15	0.8%
Participation of people using care	9	0.5%
Access	7	0.4%
Death and dying	5	0.3%
Financial issues	4	0.2%
Equality issues	1	0.1%

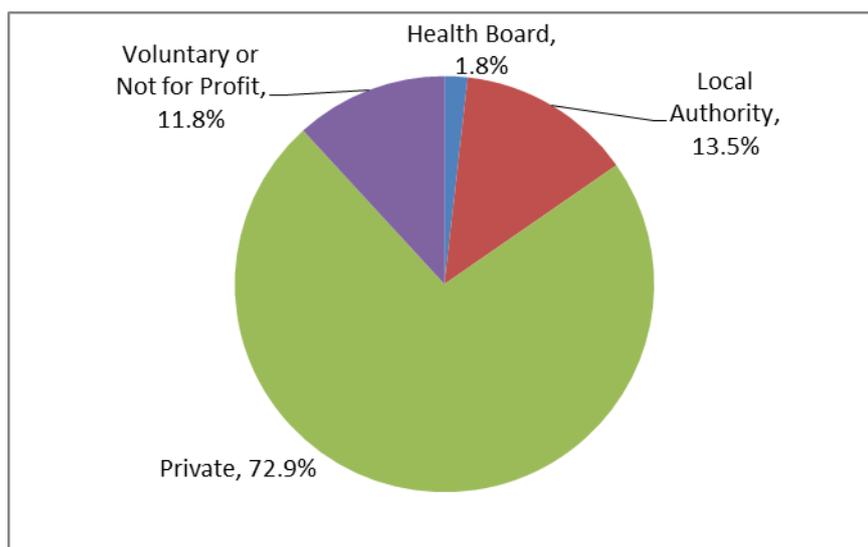
## 6. Complaints about care homes for older people

Almost half of all of the complaints we investigated in 2016/17 were about care homes, and of these, the vast majority (89%) were about care homes for older people. At 31 March 2017, there were 849 care homes for older people. During 2016/17, we received complaints involving 65% of care homes for older people, we investigated complaints involving 45% of care homes for older people, and upheld complaints involving 31% of care homes for older people.

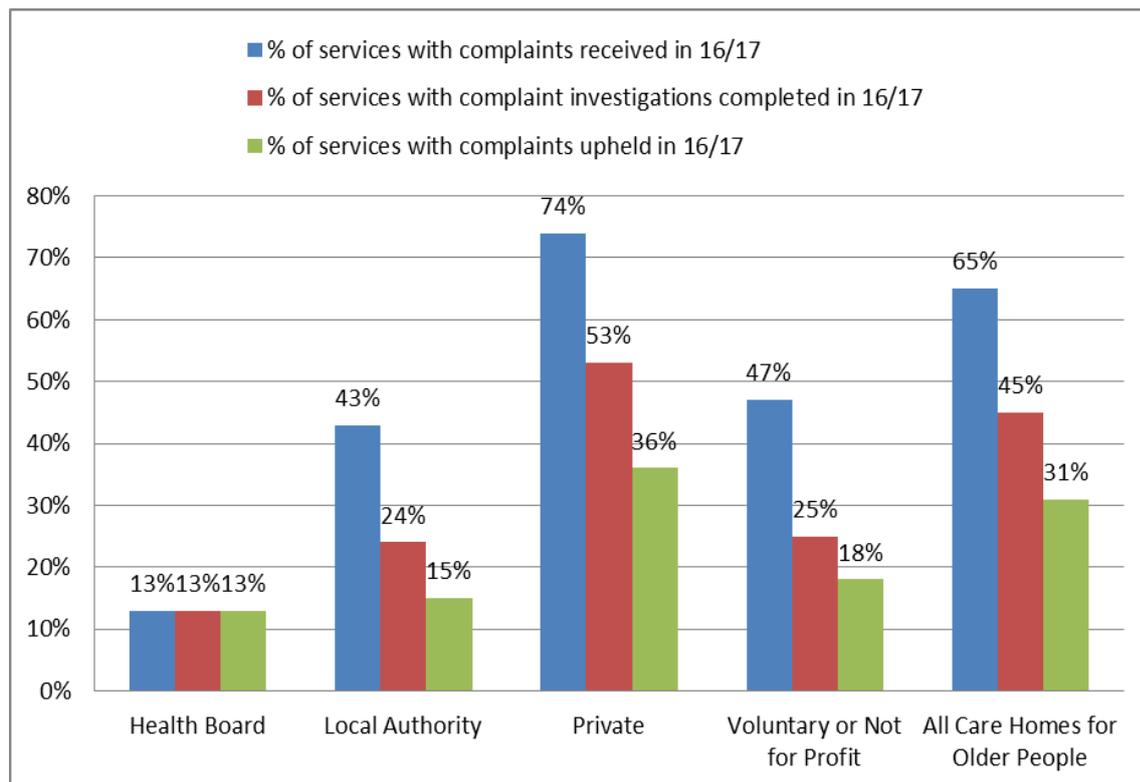
Of the services that had a complaint investigated and upheld in 2016/17, 66% had just one upheld complaint, 20% had two upheld complaints and the remainder had three or more complaints upheld in the year.

Most care homes for older people are operated by the private sector (72.9%) with local authorities providing 13.5%; voluntary organisations 11.8%; and the remaining 1.8% provided by the NHS (see Figure 6.1). In 2016/17, we received complaints involving 74% of private sector care homes for older people, and upheld complaints involving 36% of them. These rates are larger than the proportions of services in other sectors with complaints received and upheld (illustrated in figures 6.1 and 6.2).

**Figure 6.1: Number of Care Homes for older people at 31 March 2017 – by sector**



**Figure 6.2: Care Homes for older people at 31 March 2017 – percentages of services with a complaint received, investigated or upheld about them**



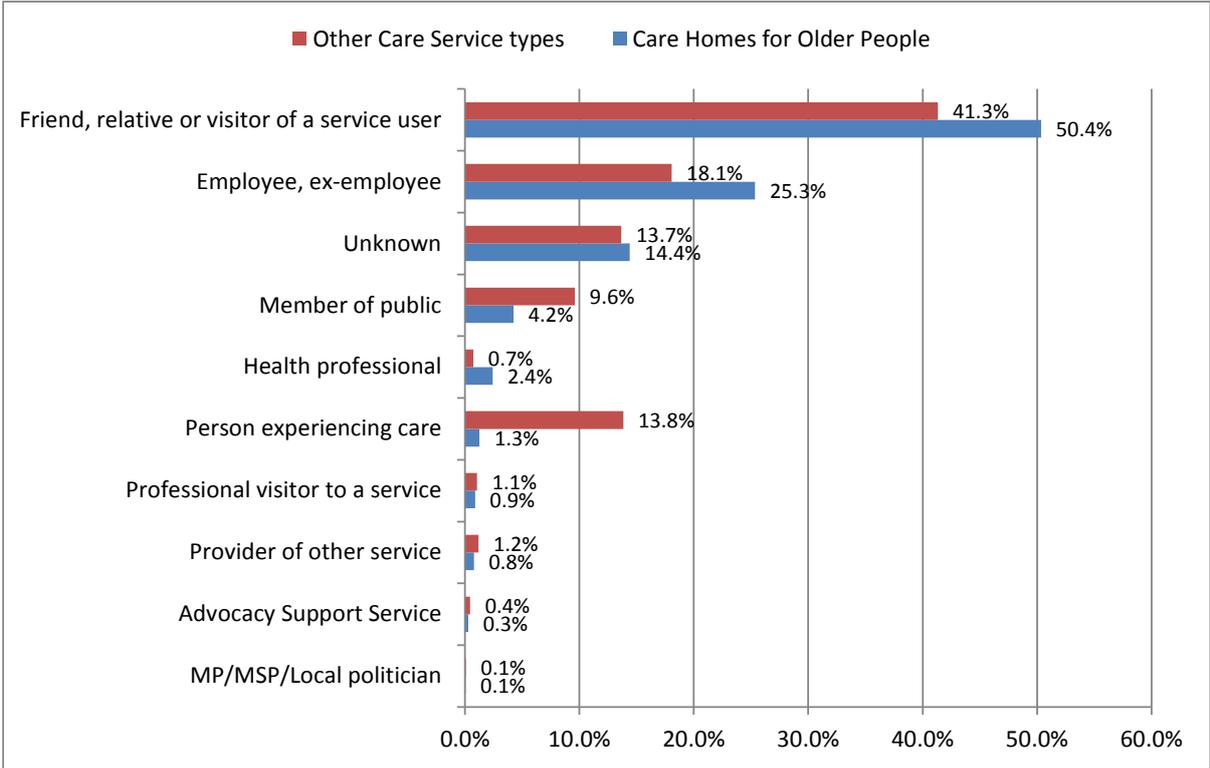
Further breakdown of areas of complaint for care homes for older people (figure 6.3) shows that specific healthcare issues were the largest group of complaints (25.2%). This includes problems with nutrition, medication, tissue viability, and inadequate care and treatment. Full details of this breakdown are in Appendix 1, (Table E) which also shows that general health and welfare, staffing levels and communication between staff and people using care are the top three individual areas of complaint in care homes for older people.

**Figure 6.3: Care Homes for older people – by area of complaint 2016/17**

Summary area of complaint	Number of complaints upheld	% of all upheld complaints
Specific healthcare concerns	216	25.2%
General health and welfare	186	21.7%
Staff or staffing concerns	136	15.9%
Communication	92	10.7%
Choice	46	5.4%
Environment	42	4.9%
Record keeping	31	3.6%
Policies and procedures	30	3.5%
Property	27	3.2%
Protection of people	14	1.6%
Privacy and dignity	11	1.3%
Food	10	1.2%
Access	6	0.7%
Death and dying	5	0.6%
Financial issues	2	0.2%
Participation of people using care	2	0.2%
Conditions of registration	1	0.1%

Just over half of all complaints received in 2016/17 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 7 percentage points. People using the care home service themselves made up around 1% of all complaints about care homes for older people – compared with 14% for all other types of service.

**Figure 6.4: Complaints received 2016/17 by relationship of complainant – care homes for older people compared with all other complaints received.**



## 7. Complaints about childminders

At 31 March 2017, there were 5,556 registered childminders in Scotland. Although this is the largest single category of registered services, during 2016/17 we had received complaints involving 3.4% of childminders, and upheld complaints involving 0.9% of these.

Of the childminders with an upheld complaint, almost all (90%) had only one upheld complaint, and the remaining 10% had two or three upheld complaints during the year.

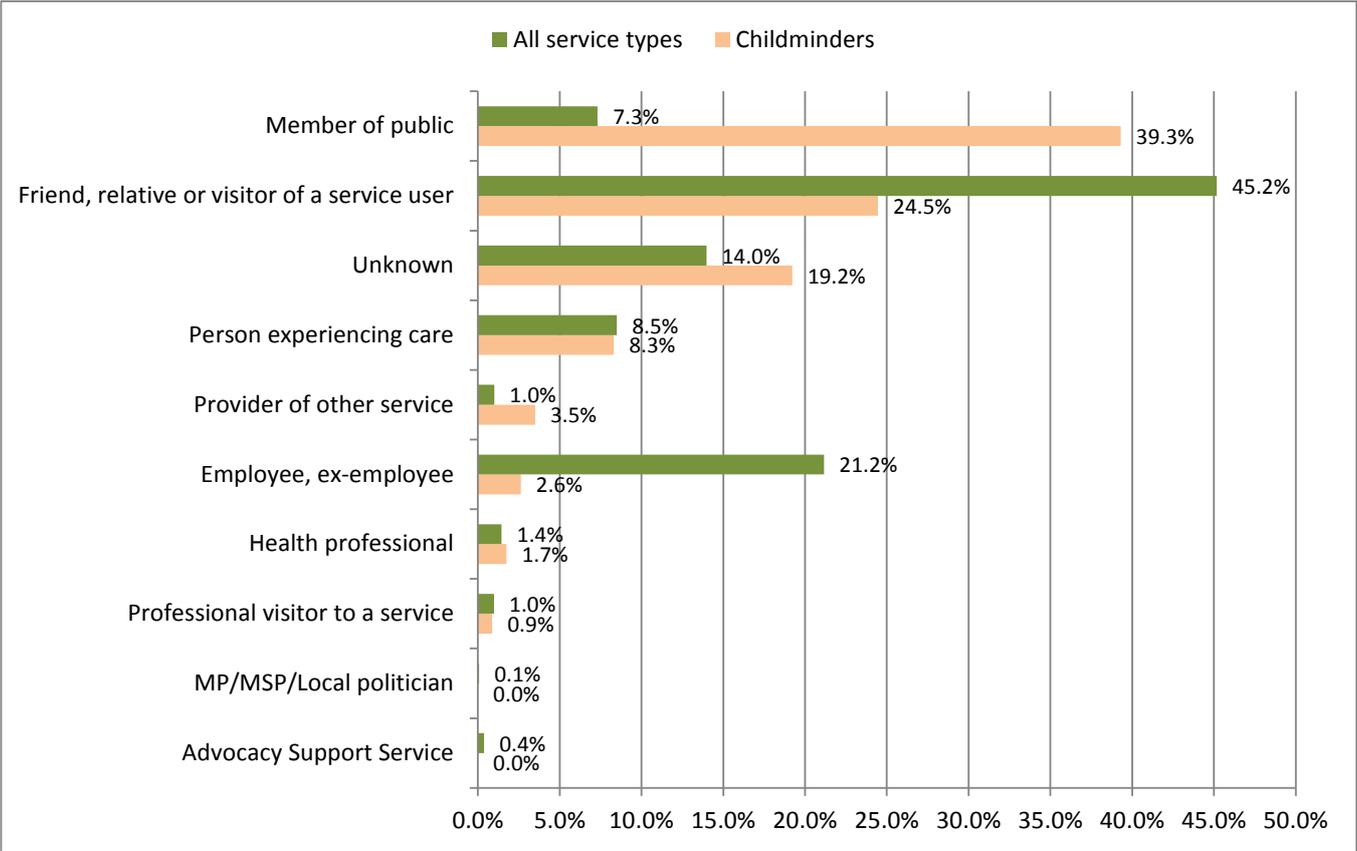
Further breakdown of areas of complaint about childminders (figure 7.1) shows that besides general health and welfare, breaching conditions of registration (in particular exceeding the maximum permitted capacity) was the among the largest cause of complaint (25.3%). (Where a childminder wishes to expand their registered capacity, we support them to make a variation request to allow this to be considered carefully.)

**Figure 7.1: Childminders – by area of complaint 2016/17**

Summary area of complaint	Number of complaints upheld	% of all upheld complaints
General health and welfare	23	27.7%
Conditions of registration of which, exceeding capacity	21	25.3%
Communication	16	19.3%
Specific healthcare concerns	10	12.0%
Policies and procedures	6	7.2%
Environment	6	7.2%
Protection of people	4	4.8%
Staff or staffing concerns	4	4.8%
Record keeping	4	4.8%
Choice	2	2.4%
Food	1	1.2%
Property	1	1.2%

Although friends, relatives or visitors of a person experiencing care are still the most likely to make a complaint, the proportion of complaints about childminders that come from them is considerably lower (by almost 21 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 – 39.3% of complaints about childminders came from the public compared to only 7.3% about other types of service. The proportion of complaints received from people who do not wish to declare their relationship to the service is around 5 percentage points higher than for other types of service.

**Figure 7.2: Complaints received 2016/17 by relationship of complainant – childminders compared with all other complaints received.**



## 8. What we found when investigating complaints

Once we receive a complaint, we acknowledge it in writing within three working days and agree the specific matters to be investigated. It is allocated to an inspector who is responsible for gathering the facts, assessing the evidence, deciding whether the complaint should be upheld, and deciding whether specific recommendations or requirements need to be made to improve the quality of care and ensure better outcomes for people who use the service.

Our inspector will typically speak to the person making the complaint and make unannounced visits to the care service. During the investigation, the inspector may speak with people using the service, to the service’s management, interview staff, speak to visiting professionals, observe practice and review policies.

There may be times during the course of the investigation, or at an early stage in the complaint, when we identify possible protection or criminal issues. In these cases, we will make a referral to the police, or the relevant local authority child or adult protection social work staff. Concerns about potential abuse or criminality are investigated by these agencies and we will then follow up on issues about quality of care. We will make an assessment about the welfare of others in the service and take appropriate action. At times, we will support the local authority to carry out protection investigations in services. We are committed to partnership working and will work with police and social work to support high level enquires into services.

A complaint with a completed investigation is either ‘upheld’ or ‘not upheld’. It may be that one complaint contains many parts, some of which are upheld and some of which are not upheld. In previous years, we would have had a further category of ‘partially upheld’ for these cases, however these are now included among other upheld complaints.

In 2016/17, we upheld 57% of the complaints we investigated and did not uphold 43% of complaints investigated; a drop from 58% in 2014/15.

There are considerable variations in the percentage of upheld and not upheld complaints between different types of service.

In 2016/17, 58% of complaints about care home services and 73% of complaints about combined housing support and care at home services were upheld. Less than half (48%) of complaints investigated about daycare of children services were upheld and only 42% of complaints investigated about childminders were upheld.

**Table 8.1: The number of completed complaint investigations by complaint outcome, 2014/15 – 2016/17**

Complaint outcome	Year investigation completed		
	2014/15	2015/16	2016/17
Upheld or partially upheld	58%	59%	57%
Not upheld	42%	41%	43%

**Table 8.2: Percentage of complaints upheld or partially upheld by service type, 2014/15 - 2016/17**

<b>Care service type</b>	<b>% Upheld</b>
Adoption service	33.33%
Care home service	59.30%
of which, care homes for older people	59.58%
Childminding	45.80%
Daycare of children	48.59%
Fostering service	70.59%
Housing support service	63.55%
Nurse agency	66.67%
School care accommodation service	63.27%
Secure accommodation service	50.00%
Support service	70.44%
of which, care at home	71.74%
Other than care at home	46.15%
<b>All care service types</b>	<b>57.88%</b>

## 9. Supporting improvement following complaints

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

We look carefully at all the information we receive from complaints and decide the best way to proceed. This might be through a formal complaint investigation, or it might be that issues are raised that we will look at on the next inspection of the service in question. Alternatively, we may do frontline resolution, where we communicate with the provider and facilitate resolution that the complainant is satisfied with. (In 2016/17, just under one in ten complaints received were resolved in this way; an improvement compared to the one in eighteen complaints in 2015/16. We expect this to rise further following the introduction of a new complaints handling process.) Sometimes, people raise issues with us that 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 will direct them to the relevant organisations and give them information to ensure they are clear how their concerns will be best addressed. Where we receive information about a potentially criminal matter, we refer this to the police or local authority using established adult support and protection or child protection mechanisms.

Where we do investigate a complaint, it is not merely to establish the facts and provide a determination on whether the care provided was good enough, but to 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 who experience care. As well as our teams of inspectors, we also have inspection volunteers who are lay people with personal experience of care. They concentrate on hearing the views and experiences of people using the services we inspect or when investigating a complaint. This adds value to our scrutiny process and supports the voices of people using the care service and their relatives to be heard.

Following a complaint investigation where the complaint is 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 that sets 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 regrade 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, or our health and wellbeing improvement team, which has specialisms in key areas like pharmacy, tissue viability, mental health, continence, dementia and rehabilitation, may spend time with a care service to ensure staff and managers are supported to improve.

## 10. Conclusion

This report has presented a range of statistical information from complaints about care services over the past three years. The volume of complaints we received over that period has decreased from 4,440 received in 2014/15 to 4,277 in 2016/17. 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 88%.

We uphold the majority of the complaints we investigate each year – we upheld 57% in 2016/17. This varies by type of service, with complaints about combined care at home and housing support services most frequently upheld (73%) while complaints about childminders were upheld in only 46% of complaints investigated.

Most complaints are made by friends, relatives and carers of people using a service (44%) 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 – 45% of care homes had at least one complaint upheld about them during 2016/17. Specific healthcare issues such as nutrition, medication, tissue viability and inadequate care and treatment are the most frequent types of complaints upheld about care homes for older people, followed by complaints about staff, including skills, qualifications and staffing levels.

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 and in using the 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		Three-year total		% change comparing 14/15 to 16/17
	Number of complaints received	% of complaints received	Number of complaints received	% of complaints received	Number of complaints received	% of complaints received	Number of complaints received	% of complaints received	
Advocacy support service	19	0.4%	12	0.3%	16	0.4%	47	0.4%	-15.8%
Employee, ex-employee	883	19.9%	825	20.2%	905	21.2%	2613	20.4%	+2.5%
Friend, relative or visitor of a person experiencing care	1950	43.9%	1784	43.6%	1932	45.2%	5666	44.2%	-0.9%
Health professional	44	1.0%	55	1.3%	62	1.4%	161	1.3%	+40.9%
Member of public	295	6.6%	229	5.6%	313	7.3%	837	6.5%	+6.1%
MP/MSP/local politician	8	0.2%	4	0.1%	3	0.1%	15	0.1%	-62.5%
Professional visitor to a service	69	1.6%	53	1.3%	42	1.0%	164	1.3%	-39.1%
Provider of other service	40	0.9%	27	0.7%	36	0.8%	103	0.8%	-10.0%
Service provider	13	0.3%	12	0.3%	7	0.2%	32	0.2%	-46.2%
Person experiencing care	395	8.9%	312	7.6%	363	8.5%	1070	8.4%	-8.1%
Unknown	724	16.3%	776	19.0%	598	14.0%	2098	16.4%	-17.4%
<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>12806</b>	<b>100.0%</b>	<b>-3.7%</b>

## Complaints completed

Relationship of complainant	2014/15		2015/16		2016/17		Three-year total		% change comparing 14/15 to 16/17
	Number of complaints completed	% of complaints completed	Number of complaints completed	% of complaints completed	Number of complaints completed	% of complaints completed	Number of complaints completed	% of complaints completed	
Advocacy support service	4	0.20%	4	0.23%	8	0.48%	16	0.30%	+100.0%
Employee, ex-employee	358	17.96%	314	17.96%	288	17.33%	960	17.77%	-19.6%
Friend, relative or visitor of a person experiencing care	1005	50.43%	895	51.20%	870	52.35%	2770	51.27%	-13.4%
Health professional	21	1.05%	19	1.09%	23	1.38%	63	1.17%	+9.5%
Member of public	135	6.77%	99	5.66%	118	7.10%	352	6.51%	-12.6%
MP/MSP/local politician	2	0.10%	2	0.11%	1	0.06%	5	0.09%	-50.0%
Professional visitor to a service	26	1.30%	19	1.09%	13	0.78%	58	1.07%	-50.0%
Provider of other service	20	1.00%	11	0.63%	16	0.96%	47	0.87%	-20.0%
Service provider	5	0.25%	7	0.40%	4	0.24%	16	0.30%	-20.0%
Person experiencing care	165	8.28%	132	7.55%	113	6.80%	410	7.59%	-31.5%
Unknown	252	12.64%	246	14.07%	208	12.52%	706	13.07%	-17.5%
<b>All complainant categories</b>	<b>1993</b>	<b>100.00%</b>	<b>1748</b>	<b>100.00%</b>	<b>1662</b>	<b>100.00%</b>	<b>5403</b>	<b>100.00%</b>	<b>-16.6%</b>

Note: percentage 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		3 year total		% change comparing 14/15 to 16/17
	Number of complaints completed	% of complaints completed	Number of complaints completed	% of complaints completed	Number of complaints completed	% of complaints completed	Number of complaints completed	% of complaints completed	
Adoption service	1	0.05%	2	0.11%	0	0.00%	3	0.06%	-100.0%
Care home service	934	46.86%	864	49.43%	768	46.21%	2566	47.49%	-17.8%
Childminding	175	8.78%	145	8.30%	132	7.94%	452	8.37%	-24.6%
Daycare of Children	432	21.68%	336	19.22%	365	21.96%	1133	20.97%	-15.5%
Fostering service	9	0.45%	4	0.23%	4	0.24%	17	0.31%	-55.6%
Housing support service	104	5.22%	113	6.46%	189	11.37%	406	7.51%	+81.7%
Nurse agency	4	0.20%	2	0.11%	0	0.00%	6	0.11%	-100.0%
Offender accommodation service	0	0.00%	1	0.06%	0	0.00%	1	0.02%	0.0%
School care accommodation service	25	1.25%	15	0.86%	9	0.54%	49	0.91%	-64.0%
Secure accommodation service	2	0.10%	0	0.00%	0	0.00%	2	0.04%	-100.0%
Support service	307	15.40%	266	15.22%	195	11.73%	768	14.21%	-36.5%
<b>All care service types</b>	<b>1993</b>	<b>100.00%</b>	<b>1748</b>	<b>100.00%</b>	<b>1662</b>	<b>100.00%</b>	<b>5403</b>	<b>100.00%</b>	<b>-16.6%</b>

Note: percentage 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 2016/17**

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	Number of upheld complaints	%
General health and welfare	General health and welfare	470	26.2%
Specific healthcare concerns	Healthcare - clinical governance	3	0.2%
	Healthcare - continence care	25	1.4%
	Healthcare - hydration	26	1.4%
	Healthcare - inadequate healthcare or healthcare treatment	44	2.5%
	Healthcare - infection control issues	26	1.4%
	Healthcare - medication issues	82	4.6%
	Healthcare - mental health care	6	0.3%
	Healthcare - nutrition	28	1.6%
	Healthcare - oral health	12	0.7%
	Healthcare - palliative care	4	0.2%
	Healthcare - tissue viability	25	1.4%
Staff or staffing concerns	Staff - levels	101	5.6%
	Staff - other	72	4.0%
	Staff - other fitness issues	5	0.3%
	Staff - recruitment procedures (including disclosure checks)	24	1.3%
	Staff - registration with professional bodies	2	0.1%
	Staff - training and qualifications	62	3.5%
	Staff - unfit to work with vulnerable people	1	0.1%
Communication	Communication - between staff and people experiencing care /relatives/carers	181	10.1%
	Communication - information about the service	19	1.1%
	Communication - language difficulties	2	0.1%
	Communication - other	42	2.3%
Policies and procedures	Policies and procedures - complaints procedure	69	3.8%
	Policies and procedures - other	34	1.9%
Record keeping	Record keeping - other	38	2.1%
	Record keeping - personal plans and agreements	58	3.2%
Choice	Choice - activities	29	1.6%
	Choice - care and treatment	32	1.8%
	Choice - dignity and privacy	22	1.2%
	Choice - other	10	0.6%
	Choice - service not meeting religious,cultural,faith,social needs	3	0.2%
Environment	Environment - fitness of premises and environment	24	1.3%
	Environment - inadequate facilities	9	0.5%
	Environment - other	27	1.5%
	Environment - security	12	0.7%
Protection of people	Protection of people - adults	17	0.9%
	Protection of people - children	19	1.1%
	Protection of people - other	2	0.1%
	Protection of people - policies and procedures	10	0.6%
	Protection of people - restraint	4	0.2%

<b>Area of complaint</b>	<b>Detailed area of complaint</b>	<b>Number of upheld complaints</b>	<b>%</b>
Property	Property - care of	18	1.0%
	Property - loss of and missing	11	0.6%
	Property - other	2	0.1%
Conditions of registration	Conditions of registration - exceeding capacity	16	0.9%
	Conditions of registration - other	10	0.6%
Privacy and dignity	Privacy and dignity	15	0.8%
Food	Food - availability	2	0.1%
	Food - other	7	0.4%
	Food - quality	6	0.3%
Participation of people using care	User participation - in managing and developing the service	7	0.4%
	User participation - other	2	0.1%
Access	Access - other	2	0.1%
	Access - to services such as advocacy and health	5	0.3%
Death and dying	Death and dying	5	0.3%
Financial Issues	Financial issues	4	0.2%
Equality Issues	Equality issues	1	0.1%

**Table D: Areas of complaint upheld, by type of care service 2016/17**

Detailed area of complaint	Care home service		Childminding		Daycare of children		Fostering service		Housing support service		School care accommodation service		Support service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%
General health and welfare	197	21.8%	23	27.7%	77	26.5%		0.0%	76	35.3%	2	33.3%	95	32.4%
Healthcare - clinical governance	3	0.3%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Healthcare - continence care	23	2.5%	1	1.2%		0.0%		0.0%		0.0%		0.0%	1	0.3%
Healthcare - hydration	24	2.7%	1	1.2%	1	0.3%		0.0%		0.0%		0.0%		0.0%
Healthcare - inadequate healthcare or healthcare treatment	41	4.5%		0.0%		0.0%		0.0%	1	0.5%		0.0%	2	0.7%
Healthcare - infection control issues	12	1.3%	3	3.6%	7	2.4%		0.0%		0.0%		0.0%	4	1.4%
Healthcare - medication issues	48	5.3%	1	1.2%	4	1.4%		0.0%	14	6.5%		0.0%	15	5.1%
Healthcare - mental health care	5	0.6%		0.0%		0.0%		0.0%	1	0.5%		0.0%		0.0%
Healthcare - nutrition	24	2.7%		0.0%		0.0%		0.0%	2	0.9%		0.0%	2	0.7%
Healthcare - oral health	12	1.3%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Healthcare - palliative care	4	0.4%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Healthcare - tissue viability	24	2.7%		0.0%		0.0%		0.0%	1	0.5%		0.0%		0.0%
Staff - levels	74	8.2%		0.0%	17	5.8%		0.0%	7	3.3%		0.0%	3	1.0%
Staff - other	26	2.9%	3	3.6%	19	6.5%		0.0%	9	4.2%		0.0%	15	5.1%
Staff - other fitness issues	3	0.3%		0.0%	1	0.3%		0.0%	1	0.5%		0.0%		0.0%
Staff - recruitment procedures (including disclosure checks)	10	1.1%		0.0%	8	2.7%		0.0%	2	0.9%		0.0%	4	1.4%
Staff - registration with professional bodies	2	0.2%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Staff - training and qualifications	27	3.0%	1	1.2%	13	4.5%		0.0%	14	6.5%		0.0%	7	2.4%
Staff - unfit to work with vulnerable people		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%	1	0.3%
Communication - between staff and people experiencing care, including relatives and carers	82	9.1%	9	10.8%	40	13.7%	1	50.0%	20	9.3%		0.0%	29	9.9%
Communication - information about the service	3	0.3%		0.0%	5	1.7%		0.0%	5	2.3%		0.0%	6	2.0%

Detailed area of complaint	Care home service		Childminding		Daycare of children		Fostering service		Housing support Service		School care accommodation Service		Support service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%
Communication - language difficulties	1	0.1%		0.0%		0.0%		0.0%		0.0%		0.0%	1	0.3%
Communication - other	14	1.5%	1	1.2%	4	1.4%		0.0%	7	3.3%		0.0%	16	5.5%
Policies and procedures - complaints procedure	28	3.1%	1	1.2%	11	3.8%		0.0%	4	1.9%		0.0%	25	8.5%
Policies and procedures - other	4	0.4%	5	6.0%	18	6.2%		0.0%	4	1.9%		0.0%	3	1.0%
Record keeping - other	14	1.5%	1	1.2%	16	5.5%		0.0%	3	1.4%		0.0%	4	1.4%
Record keeping - personal plans and agreements	20	2.2%	1	1.2%	2	0.7%		0.0%	12	5.6%	1	16.7%	22	7.5%
Choice - activities	20	2.2%	1	1.2%	6	2.1%		0.0%	1	0.5%		0.0%	1	0.3%
Choice - care and treatment	11	1.2%		0.0%		0.0%		0.0%	9	4.2%		0.0%	12	4.1%
Choice - dignity and privacy	7	0.8%		0.0%	1	0.3%		0.0%	5	2.3%		0.0%	9	3.1%
Choice - other	7	0.8%		0.0%		0.0%		0.0%	1	0.5%		0.0%	2	0.7%
Choice - service not meeting religious,cultural,faith,social needs	3	0.3%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Environment - fitness of premises and environment	15	1.7%	1	1.2%	7	2.4%		0.0%		0.0%	1	16.7%		0.0%
Environment - inadequate facilities	5	0.6%	1	1.2%	2	0.7%		0.0%		0.0%	1	16.7%		0.0%
Environment - other	20	2.2%	1	1.2%	4	1.4%		0.0%	1	0.5%		0.0%	1	0.3%
Environment - security	4	0.4%	1	1.2%	5	1.7%		0.0%		0.0%		0.0%	2	0.7%
Protection of people - adults	11	1.2%		0.0%		0.0%	1	50.0%	2	0.9%		0.0%	3	1.0%
Protection of people - children	4	0.4%	4	4.8%	10	3.4%		0.0%		0.0%	1	16.7%		0.0%
Protection of people - other	2	0.2%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Protection of people - policies and procedures		0.0%		0.0%	3	1.0%		0.0%	7	3.3%		0.0%		0.0%
Protection of people - restraint	3	0.3%		0.0%	1	0.3%		0.0%		0.0%		0.0%		0.0%
Property - care of	17	1.9%		0.0%		0.0%		0.0%	1	0.5%		0.0%		0.0%
Property - loss of and missing	11	1.2%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%

Detailed area of complaint	Care home service		Childminding		Daycare of children		Fostering service		Housing support service		School care accommodation service		Support service	
	number	%	number	%	number	%	number	%	number	%	number	%	number	%
Property - other	1	0.1%	1	1.2%		0.0%		0.0%		0.0%		0.0%		0.0%
Conditions of registration - exceeding capacity		0.0%	16	19.3%		0.0%		0.0%		0.0%		0.0%		0.0%
Conditions of registration - other	1	0.1%	5	6.0%	4	1.4%		0.0%		0.0%		0.0%		0.0%
Privacy and dignity	12	1.3%		0.0%	1	0.3%		0.0%	1	0.5%		0.0%	1	0.3%
Food - availability	1	0.1%		0.0%		0.0%		0.0%		0.0%		0.0%	1	0.3%
Food - other	5	0.6%		0.0%	1	0.3%		0.0%	1	0.5%		0.0%		0.0%
Food - quality	4	0.4%	1	1.2%	1	0.3%		0.0%		0.0%		0.0%		0.0%
User participation - in managing and developing the service	1	0.1%		0.0%		0.0%		0.0%		0.0%		0.0%	6	2.0%
User participation - other	1	0.1%		0.0%		0.0%		0.0%	1	0.5%		0.0%		0.0%
Access - other	1	0.1%		0.0%	1	0.3%		0.0%		0.0%		0.0%		0.0%
Access - to services such as advocacy and health	5	0.6%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Death and dying	5	0.6%		0.0%		0.0%		0.0%		0.0%		0.0%		0.0%
Financial issues	2	0.2%		0.0%		0.0%		0.0%	2	0.9%		0.0%		0.0%
Equality issues		0.0%		0.0%	1	0.3%		0.0%		0.0%		0.0%		0.0%

**Table E: Care homes for older people, complaints upheld in 2016/17 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	Number of upheld complaints	%
Specific healthcare concerns	Healthcare - medication issues	48	5.6%
	Healthcare - inadequate healthcare or healthcare treatment	40	4.7%
	Healthcare - tissue viability	24	2.8%
	Healthcare - hydration	24	2.8%
	Healthcare - continence care	23	2.7%
	Healthcare - nutrition	22	2.6%
	Healthcare - oral health	12	1.4%
	Healthcare - infection control issues	12	1.4%
	Healthcare - palliative care	4	0.5%
	Healthcare - mental health care	4	0.5%
	Healthcare - clinical governance	3	0.4%
General health and welfare	General health and welfare	186	21.7%
Staff or staffing concerns	Staff - levels	73	8.5%
	Staff - other	26	3.0%
	Staff - training and qualifications	24	2.8%
	Staff - recruitment procedures (including disclosure checks)	9	1.1%
	Staff - other fitness issues	3	0.4%
	Staff - registration with professional bodies	1	0.1%
Communication	Communication - between staff and people experiencing care including relatives and carers	75	8.8%
	Communication - other	13	1.5%
	Communication - information about the service	3	0.4%
	Communication - language difficulties	1	0.1%
Choice	Choice - activities	20	2.3%
	Choice - care and treatment	10	1.2%
	Choice - dignity and privacy	7	0.8%
	Choice - other	6	0.7%
	Choice - service not meeting religious,cultural,faith,social needs	3	0.4%
Environment	Environment - other	19	2.2%
	Environment - fitness of premises and environment	15	1.8%
	Environment - inadequate facilities	5	0.6%
	Environment - security	3	0.4%
Record keeping	Record keeping - personal plans and agreements	18	2.1%
	Record keeping - other	13	1.5%
Policies and Procedures	Policies and procedures - complaints procedure	27	3.2%
	Policies and procedures - other	3	0.4%
Property	Property - care of	15	1.8%
	Property - loss of and missing	11	1.3%
	Property - other	1	0.1%
Protection of People	Protection of people - adults	10	1.2%

<b>Area of complaint</b>	<b>Detailed area of complaint</b>	<b>Number of upheld complaints</b>	<b>%</b>
	Protection of people - restraint	2	0.2%
	Protection of people - other	2	0.2%
Privacy and dignity	Privacy and dignity	11	1.3%
Food	Food - other	5	0.6%
	Food - quality	4	0.5%
	Food - availability	1	0.1%
Access	Access - to other services such as advocacy and health	5	0.6%
	Access - other	1	0.1%
Death and dying	Death and dying	5	0.6%
Participation of people using care	User participation - other	1	0.1%
	User participation - in managing and developing the service	1	0.1%
Financial issues	Financial issues	2	0.2%
Conditions of registration	Conditions of registration - other	1	0.1%

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

Year investigation completed	Upheld		Not upheld	
	number of complaints	% of investigations completed	number of complaints	% of investigations completed
2014/15	1,148	57.6%	845	42.4%
2015/16	1,027	58.8%	720	41.2%
2016/17	9,51	57.3%	710	42.7%
<b>Total</b>	<b>3,126</b>	<b>57.9%</b>	<b>2,275</b>	<b>42.1%</b>

**Table G: Complaints investigated over the past three 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	1,521	59.3%	1,044	40.7%	2,565
Childminding	207	45.8%	245	54.2%	452
Daycare of children	550	48.6%	582	51.4%	1,132
Fostering service	12	70.6%	5	29.4%	17
Housing support service	258	63.5%	148	36.5%	406
Nurse agency	4	66.7%	2	33.3%	6
Offender accommodation service		0.0%	1	100.0%	1
School care accommodation service	31	63.3%	18	36.7%	49
Secure accommodation service	1	50.0%	1	50.0%	2
Support service	541	70.4%	227	29.6%	768
<b>All care service types</b>	<b>3,126</b>	<b>57.9%</b>	<b>2,275</b>	<b>42.1%</b>	<b>,5401</b>

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

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