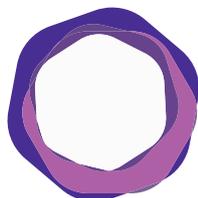


# Complaints about care services in Scotland, 2015/16 to 2018/19

A statistical bulletin

Published July 2019



## Executive summary

Care services operating in Scotland must be registered with the Care Inspectorate. We register and inspect almost 12,900 services, supporting improvement where necessary to try 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 support 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 2018 to 31 March 2019. We have now been using the new procedure for handling complaints about care services for over a year having introduced it in November 2017. This procedure is designed to be open, transparent, risk-based and focused on people's experiences. While we do have a full year's data for comparison, there may be some inconsistencies in statistical trends when compared to previous years as a result of changes to our complaints handling and recording procedures, we have noted throughout the report where we believe a trend is impacted by our procedure changes and have made some comparisons with the period in 2017-18 following the introduction of the new procedure.

Since 2015/16, 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 2015/16 to 2018/19, the percentage of services graded good, very good or excellent in all quality themes has remained consistently high at 88%. This may be attributable to the increased awareness of our complaints process and of the standards of care people should expect.

Most complaints received (46%) were made by friends, relatives or carers of a person who experiences the care service. The majority of the 1,397 complaints that we investigated in 2018/19 were upheld (58% of completed investigations).

Care homes account for just under 50% of the total number of complaints investigated – a total of 2,963 completed investigations over the last four years. Over the last four years, 20% of the complaints we investigated were about daycare of children services, 21% about either combined housing support/ care at home or standalone care at home services, and 8% were about childminders.

Of the complaints completed in 2018/19, 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 16% 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 focus our scrutiny, assurance and improvement support activity

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 12,900 services, supporting improvement and aiming to ensure 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. Where standards fall below acceptable levels, we take enforcement action. We also investigate complaints about care services, including 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 who has concerns or is unhappy with a care service can complain directly to the Care Inspectorate. There are many ways in which a complaint can be made: writing to us, calling us or online 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 support 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 support specific improvement work with an individual service or a provider of services. 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 complain to us if they are unsatisfied with a care service.

### Our 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 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.

1. 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 and improvement support activity.
2. Frontline resolution: where we contact the service and ask them to engage directly with the complainant 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.

3. Provider resolution: where we contact the service provider and ask them to investigate the concerns and send us written confirmation of the action taken to resolve the complaint.
4. 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 (the Care Inspectorate business year runs over two calendar years from 1 April to 31 March) with a particular focus on 2018/19 with the exception of the final week of the 2018/19 inspection year. This was due to the introduction of a new complaints recording application, the data from which was not available at the time of publication.

The complaints procedure, introduced mid-way through 2017/18, affected the statistical data we collect about complaints. For example, the number of complaint investigations we have completed reduced from 1,748 in 2015/16 to 1,397 in 2018/19. This is largely due to the risk-based approach, with an increased proportion of complaints being resolved by alternative means such as frontline resolution, rather than a full investigation being undertaken. For example, the average number of complaints received in 2017/18 that were resolved by frontline resolution was 64 per month pre-November 2017; this increased to an average of 75 per month for the remainder of 2017/18 when the new procedure was put in place. Now, with a full year's data available using the new procedure, the average number has risen to 78 per month in 2018/19. This should improve the experiences for people involved and help get quicker resolutions to concerns they have.

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

### Complaints received

In 2018/19 we received 4,940 complaints about care services, a 5% increase when compared to 2017/18. Over the four-year period, we received an average of 375 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 2015/16 to 2018/19, the percentage of services graded good, very good or excellent in all quality themes has remained fairly constant at 88% for both periods 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.

Since the introduction of the complaints handling process in November 2017, we have been able to use our risk assessment process to determine the appropriate action to resolve a complaint through one of the four routes mentioned earlier in the report.

1. Use the information given by the complainant as intelligence about the service, to help inform future scrutiny activity.

In 2018/19, we logged 787 concerns as intelligence, which is an average of 65 complaints per month. This is a higher than the average of 46 complaints per month between 1 November 2017 and 31 March 2018 when the new complaints procedure was introduced.

2. Frontline resolution, where we contact services and ask them to engage directly with complainants to resolve the complaint.

Of the 4,940 complaints received in 2018/19, 938, or an average of 78 complaints per month, were resolved by frontline resolution. This is slightly higher than the 75 complaints per month for the period since the introduction of the new procedure in 2017/18.

3. Investigation by the care service, where we contact the service and ask them to investigate the concerns and send us written confirmation of the action taken and resolution.

Complaints resolved by care service resolution are included in the 938 complaints resolved by frontline resolution, we were unable to break this down due to the limitations of our older complaints recording system but we will be able to do this in future years through our new complaints recording application and this will be reported in our next report.

4. Investigation by the Care Inspectorate; depending on our assessment of risk, we may decide that we need to formally investigate the complaint.

In 2017/18, before November 2017, we registered an average of 137 complaints per month for full investigation by the Care Inspectorate. This was fewer than the 141 complaints registered for full investigation per month in 2016/17 and the 146 per month in 2015/16. Following the introduction of our new procedure, this rate fell

again to 115 complaints per month for the remainder of 2017/18. The new risk-based approach to handling complaints promotes other more appropriate means of resolution rather than a full complaint investigation where appropriate, resolving an increased number of less complex complaints quickly through alternative approaches. The change in procedure means comparison between the figures before and after November should be viewed with caution. With a full year's data now available, the 2018/19 rate per month has since risen to an average of 121 complaints per month (1,446 complaints registered for a full investigation).

We will continue to monitor these trends following our procedural change in our next annual report when we have an additional year's data available for comparison.

### **Withdrawn complaints**

Many of the complaints we receive about care services are not taken to, or do not complete, a full complaint investigation, instead being directed down one of the other resolution paths. Reasons for complaints not being taken to full investigation include: the complaint being investigated through the inspection process; concerns not being within our remit to investigate; not being able to investigate as information cannot be obtained due to anonymous complainant; and the complainant not wishing to proceed with the complaint.

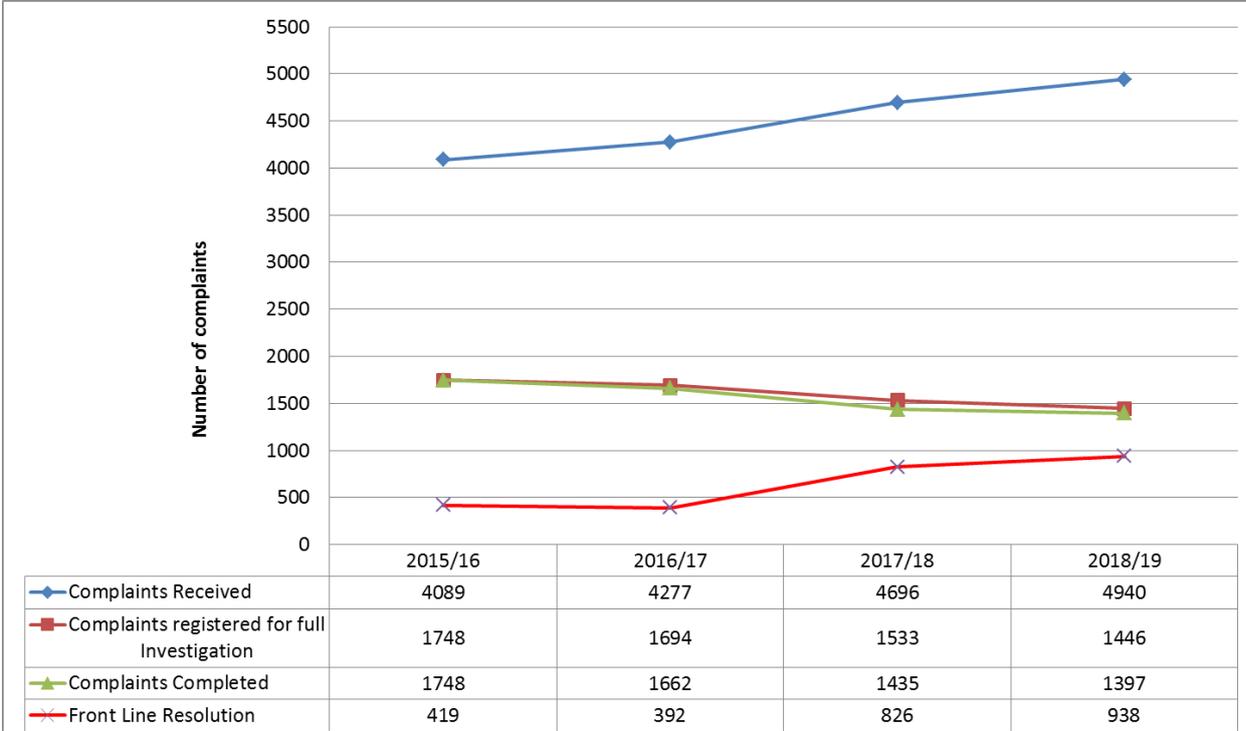
The advent of the new alternative paths has meant there has been an increase in the number of withdrawn cases. Of the 4,940 complaints received in 2018/19, 2,505 were withdrawn (excluding those resolved through frontline resolution) meaning the rate of complaints that were withdrawn increased this year compared to the previous year (51% compared to 41% over the same period in 2017/18). It should be noted however, that in some cases complaints may have been taken forward and involved a lot of investigation before subsequently being withdrawn and, due to the limitation in our recording system, such cases were not identifiable. The introduction of the new complaints application will record such cases differently, allowing us to identify at which stage a case has been withdrawn and clearer information on why it has been withdrawn. The withdrawn figure also includes the cases that are logged as intelligence. Historically, complaints logged as intelligence have been included in the withdrawn figures. However, we will change this in future reports as these cases are now acted upon and, with the introduction of the new complaints recording application at the end of March 2019, such cases will be recorded separately.

### **Complaint investigations completed**

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 1,397 complaint investigations in 2018/19 and this number has been decreasing over time. We have seen a decrease in the number of completed full complaint investigations as the new risk assessment process has allowed us to deal with less complex complaints more quickly through frontline resolution. This trend is dependent on the complaints we receive meeting the requirements of our risk assessment process for quicker resolution and we will continue to monitor this. Where it is the case, 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.

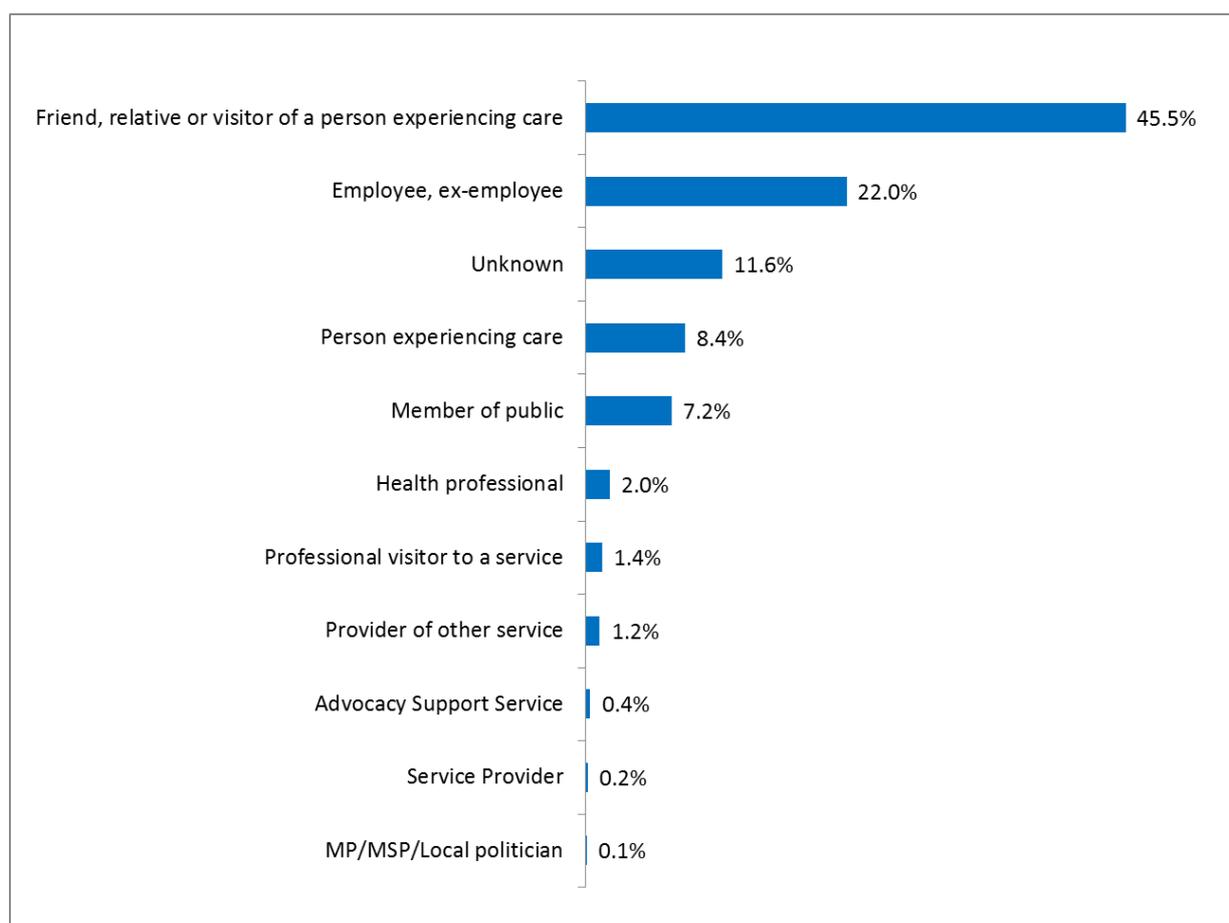
**Figure 2.1: The number of complaints about a care service**



## 5. Who makes complaints?

Between 2015/16 and 2018/19, just under half of all the complaints we received (46%) were made by friends, relatives or visitors of a person experiencing care. A further 22% 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 2015/16 and 2018/19, the percentage of complaints received from each category of complainant has remained fairly constant.

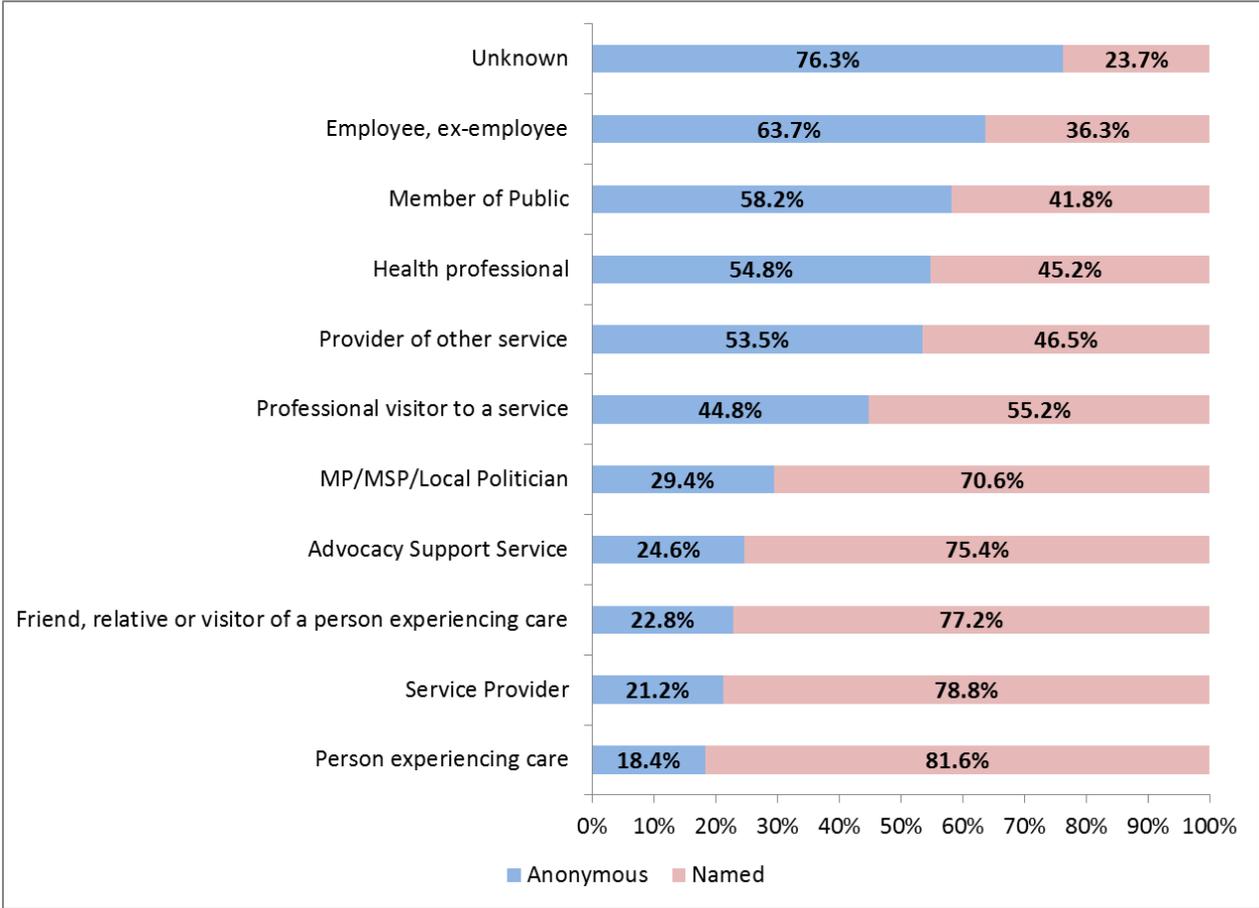
**Figure 3.1: Complaints received 2015/16 to 2018/19, by relationship to service**



When someone makes a complaint, they can choose to remain completely anonymous. The proportion of complaints received that were made anonymously in 2018/19 remained the same as reported in 2017/18 (44%) after having fallen in both 2015/16 and in 2016/17 to 39%.

Based on all the complaints received over this four-year period, complainants whose relationship to the service was not known were the most likely to remain anonymous – 77% did not wish to be named. Over half of employees (or former employees) (64%) members of the public (58%) health professionals (55%) or providers of other services (54%) also did not wish to be named.

**Figure 3.2: Complaints received 2015/16 to 2018/19 that were anonymous, by relationship to service**

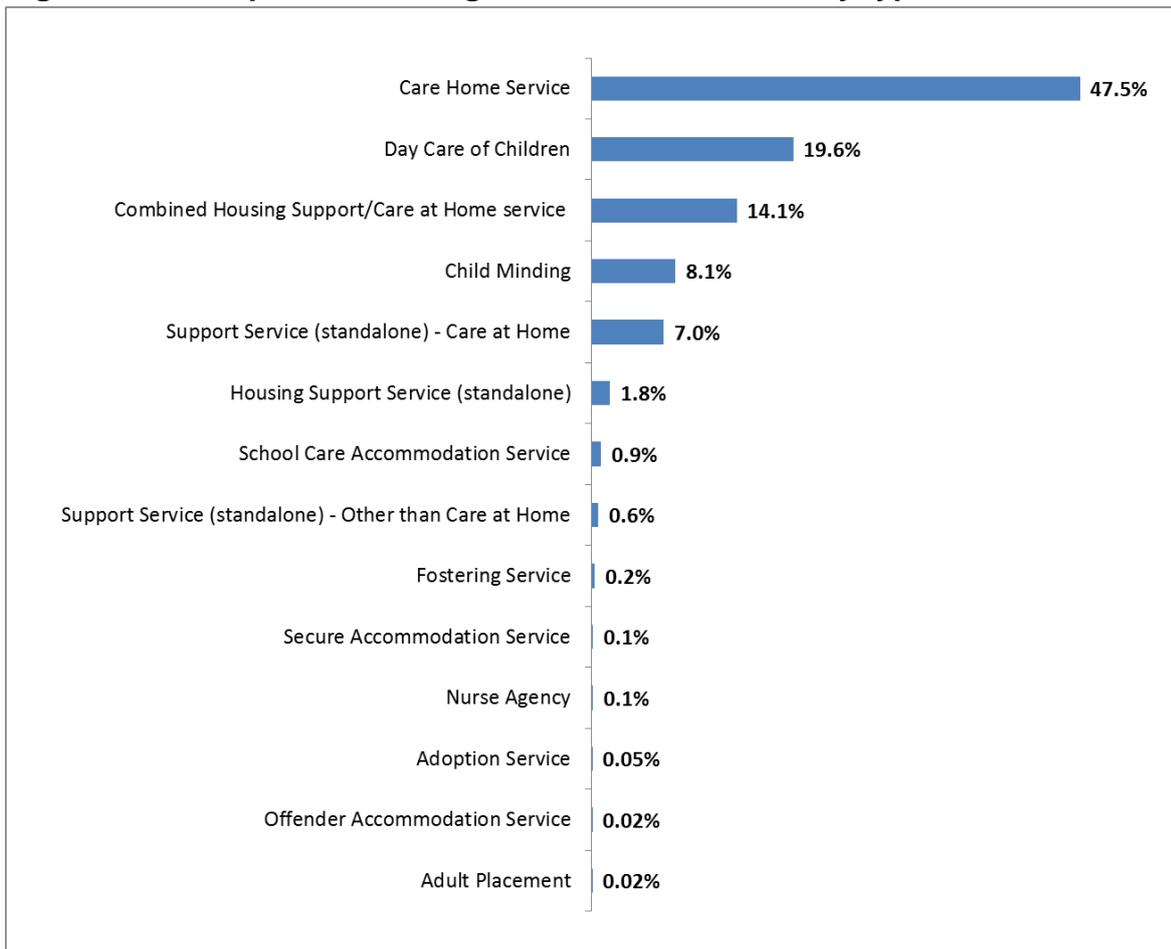


## 6. What type of care services do people complain about?

The largest number of complaints we investigated over the four-year period involved care homes. Although making up only around 11% of the 12,900 or so registered services, care homes account for 48% of the total number of complaints investigated – a total of 2,963 completed investigations over the last four years.

Over the four years, 21% of the complaints we investigated were about either a combined housing support and care at home service or a standalone care at home service, 20% were about daycare of children services and 8% were about childminders.

**Figure 4.1: Complaints investigated 2015/16-2018/19, by type of service**



## 7. 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 2018/19, 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 (for example medication, nutrition or hydration), and a further 16% 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 2018/19

Note: each overall complaint can have several areas of complaint – this table only includes those areas that were upheld. These categories are limited, but our new complaints recording application will link these to our new self-evaluation frameworks and provide better information moving forward.

| Summary area of complaint         | Number of areas of complaint upheld | % of all upheld areas of complaint |
|-----------------------------------|-------------------------------------|------------------------------------|
| General health and welfare        | 372                                 | 23.4%                              |
| Healthcare concerns               | 278                                 | 17.5%                              |
| Staffing concerns                 | 255                                 | 16.1%                              |
| Communication                     | 208                                 | 13.1%                              |
| Choice                            | 127                                 | 8.0%                               |
| Record keeping                    | 81                                  | 5.1%                               |
| Environment                       | 79                                  | 5.0%                               |
| Policies and procedures           | 57                                  | 3.6%                               |
| Protection of people              | 33                                  | 2.1%                               |
| Personal property                 | 23                                  | 1.4%                               |
| Food                              | 17                                  | 1.1%                               |
| Condition of registration         | 16                                  | 1.0%                               |
| Privacy and dignity               | 12                                  | 0.8%                               |
| User participation                | 9                                   | 0.6%                               |
| Death and dying                   | 7                                   | 0.4%                               |
| Financial issues                  | 5                                   | 0.3%                               |
| Care Inspectorate - communication | 3                                   | 0.2%                               |
| Issue with access to services     | 3                                   | 0.2%                               |
| Equality                          | 2                                   | 0.1%                               |

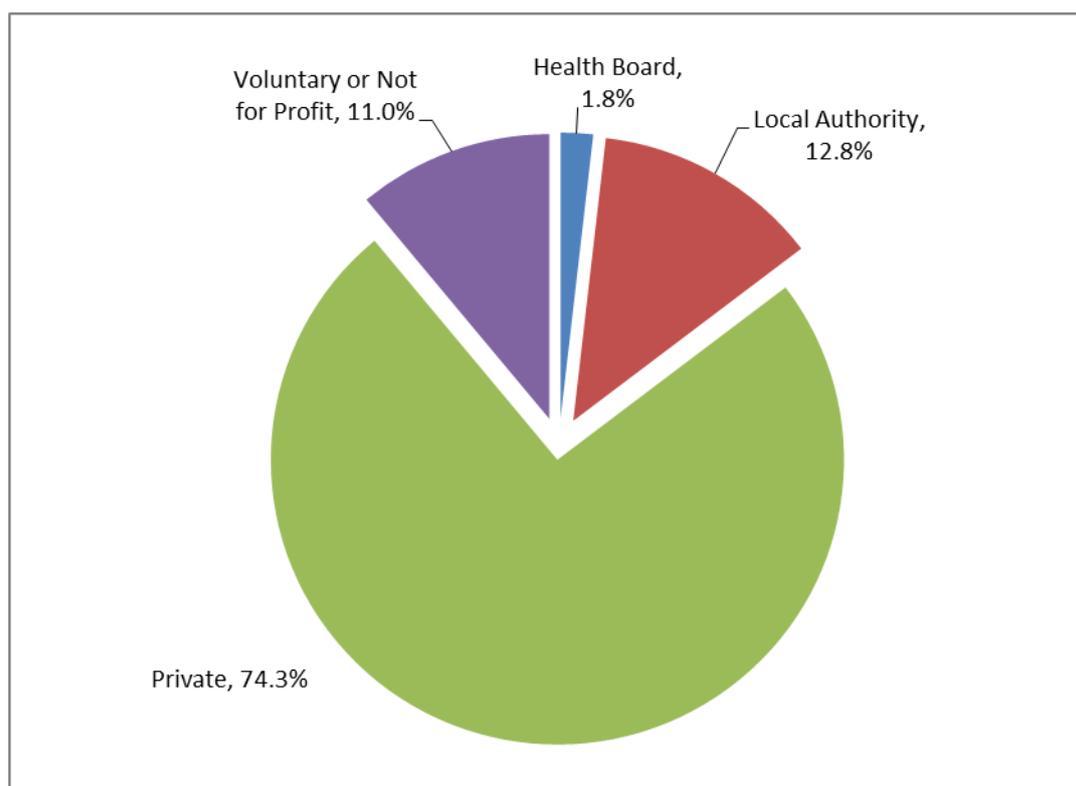
## 8. Complaints about care homes for older people

Almost half of all the complaints we investigated in 2018/19 were about care homes and of these, the vast majority (91%) were about care homes for older people. At 31 March 2019, there were 826 care homes for older people registered. During 2018/19, we received at least one complaint in 68% of care homes for older people; we investigated a complaint about 41% and upheld a complaint about 27% of them.

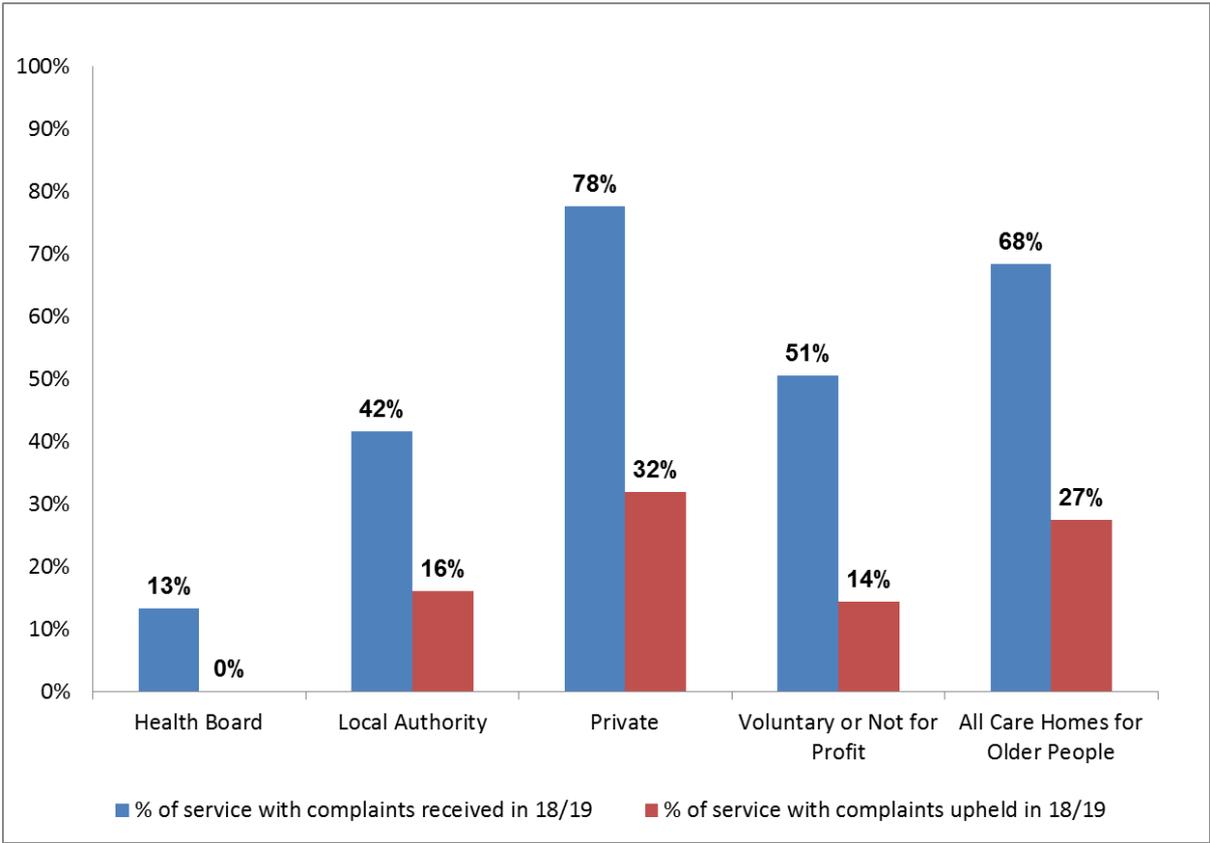
Of the services that had a complaint investigated and upheld in 2018/19, 60% had only one upheld complaint, 23% had two upheld complaints, and the remainder had between three and six upheld complaints during the year.

Most care homes for older people are operated by the private sector (74%) with local authorities providing 13%, voluntary organisations 11% and the remaining 2% provided by an NHS Board (NHS Highland) (see Figure 6.1). In 2018/19, we received at least one complaint in 78% of private sector care homes for older people and upheld a complaint in 32% 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 2019 – by sector**



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



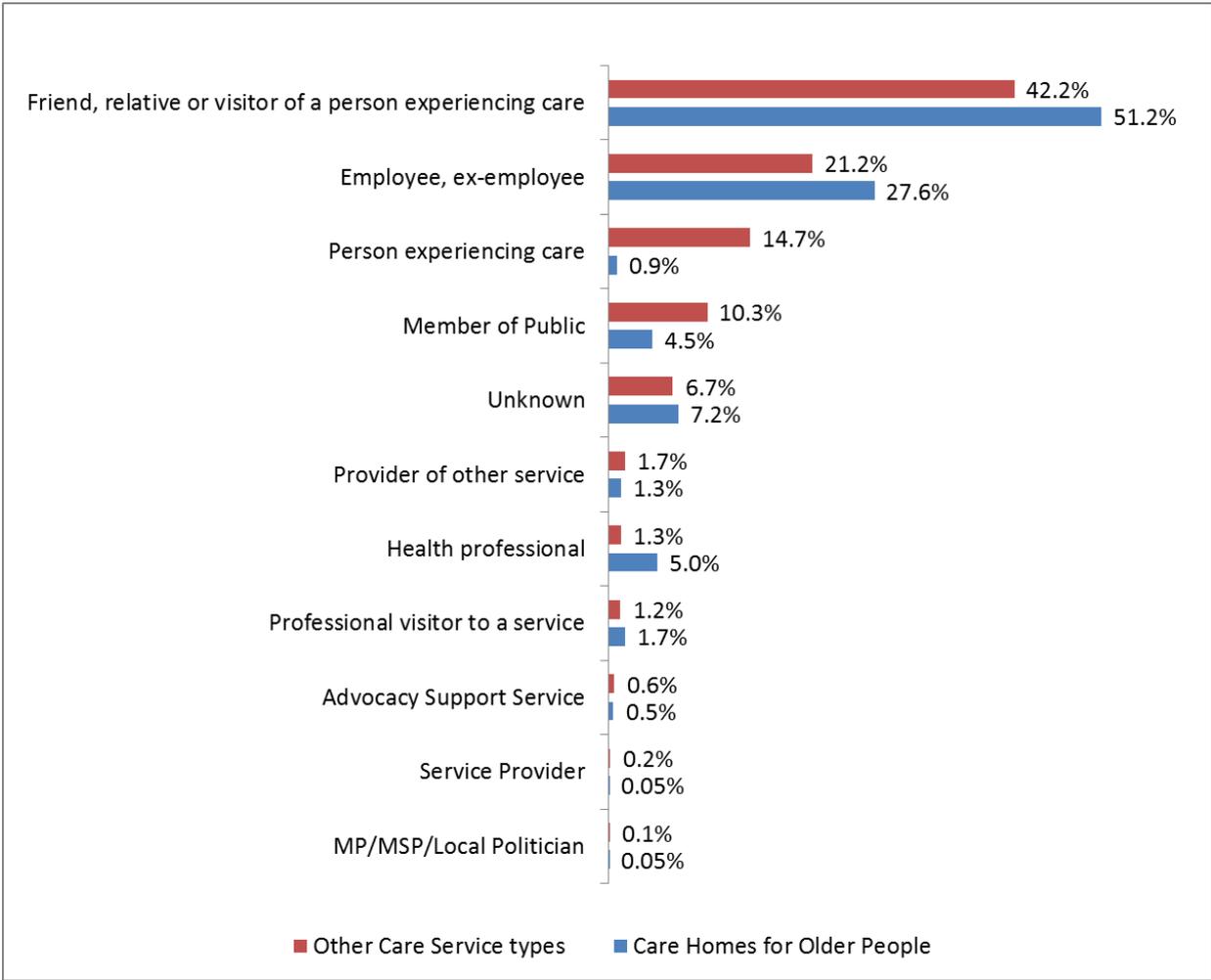
Further breakdown of areas of complaint for care homes for older people (figure 6.3) shows that specific healthcare issues formed the largest group of complaints (25%). This includes problems with medication, continence care, tissue viability, nutrition, hydration and inadequate care and treatment. Full details of this breakdown are in Appendix 1, (Table E).

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

| <b>Summary area of complaint</b>                 | <b>Number of areas of complaint upheld</b> | <b>% of all upheld areas of complaint</b> |
|--|--|---|
| Healthcare                                       | 190  | 24.7%                                     |
| General health and welfare                       | 179  | 23.3%                                     |
| Staffing   | 109  | 14.2%                                     |
| Communication                                    | 72   | 9.4%                                      |
| Environment                                      | 57   | 7.4%                                      |
| Choice   | 55   | 7.2%                                      |
| Property   | 23   | 3.0%                                      |
| Record keeping                                   | 23   | 3.0%                                      |
| Policy and procedure                             | 16   | 2.1%                                      |
| Protection of people                             | 14   | 1.8%                                      |
| Food   | 11   | 1.4%                                      |
| Death and dying                                  | 7  | 0.9%                                      |
| Privacy and dignity                              | 6  | 0.8%                                      |
| Access   | 3  | 0.4%                                      |
| Conditions of registration                       | 2  | 0.3%                                      |
| Participation (for the person experiencing care) | 1  | 0.1%                                      |
| Financial  | 1  | 0.1%                                      |

Just over half of all complaints received in 2018/19 about care homes for older people were from relatives and friends of people living in the service – nine 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 six percentage points. People experiencing care made around 1% of all complaints about care homes for older people – compared with almost 15% for all other types of service.

**Figure 6.4: Complaints received 2018/19 by relationship of complainant – care homes for older people compared with all other complaints received**



## 7. Complaints about childminders

Childminders are exempt from provider resolution as they are sole providers so, where we receive a complaint about a childminder, most are investigated. At 31 March 2019 there were 4,973 registered childminders. Although this is the largest single category of registered services, during 2018/19 we had received a complaint about only 3.4% of childminders. We upheld a complaint about 0.8% of these childminders.

Of the childminders with an upheld complaint, all (100%) had only one upheld complaint during the year.

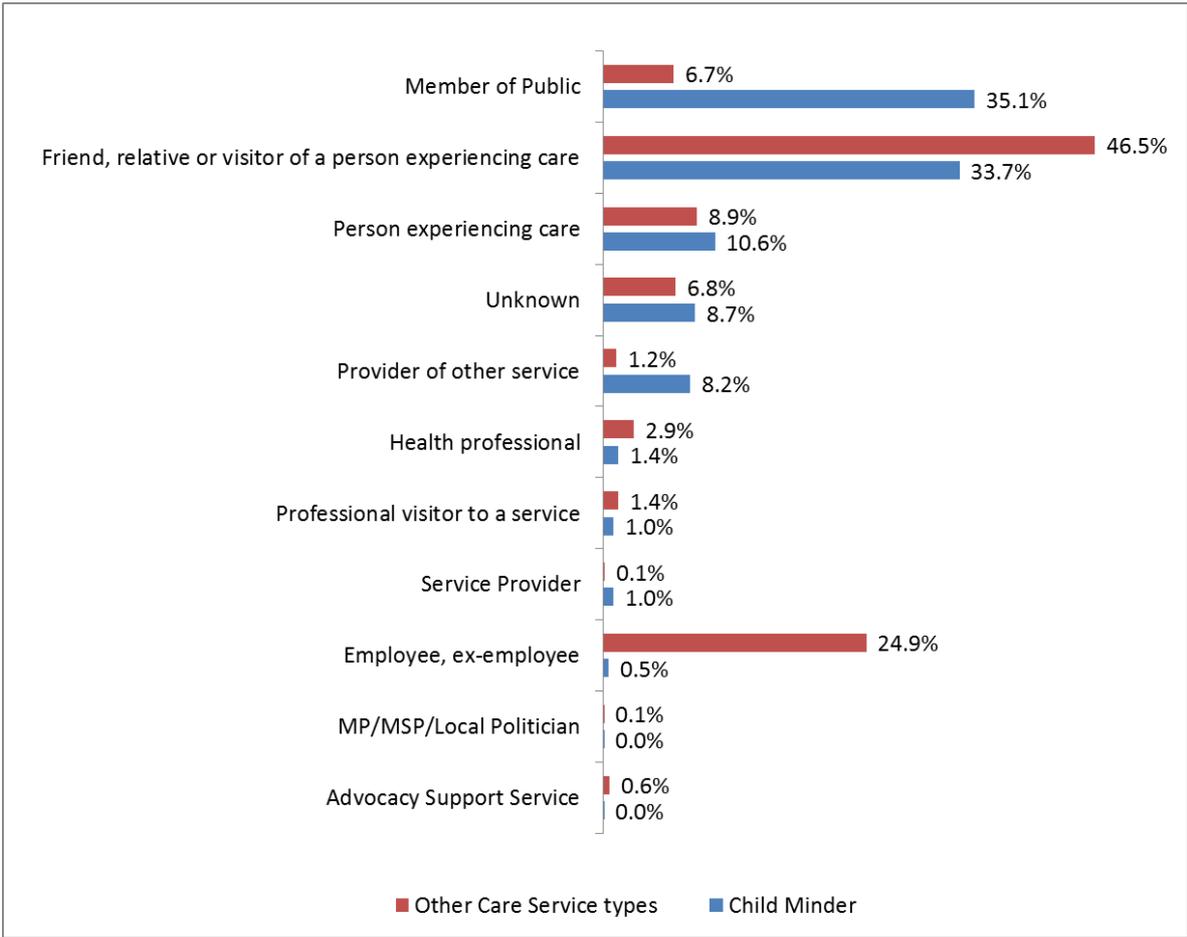
Further breakdown of areas of complaint about childminders (figure 7.1) shows that general health and welfare was the most frequent area of complaint, followed by communication issues then issues about conditions of registration (in particular exceeding the maximum permitted capacity).

**Figure 7.1: Childminders – by area of complaint 2018/19**

| <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                                  | 21   | 31.3%                                     |
| Communication   | 12   | 17.9%                                     |
| Conditions of registration                                  | 7  | 10.4%                                     |
| Record keeping  | 5  | 7.5%                                      |
| Staffing  | 5  | 7.5%                                      |
| Policy and procedure  | 3  | 4.5%                                      |
| Protection of people  | 3  | 4.5%                                      |
| Healthcare  | 3  | 4.5%                                      |
| Privacy and dignity   | 2  | 3.0%                                      |
| Food  | 2  | 3.0%                                      |
| Environment   | 2  | 3.0%                                      |
| Participation (for the person purchasing/experiencing care) | 1  | 1.5%                                      |
| Choice  | 1  | 1.5%                                      |

The proportion of complaints about childminders that came from friends, relatives or visitors of a person experiencing care is considerably lower (by almost 13 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 – 35% of complaints about childminders came from the public compared to only 7% about other types of service.

**Figure 7.2: Complaints received 2018/19 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 areas for improvement that 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 2018/19 we upheld 58% of the 1,397 complaints completed, which is a slight increase from 56% in 2017/18. This may be due to our new procedure as only those complaints that were high-risk were taken forward for investigation.

The percentage of complaints upheld varies by type of service. In 2018/19, 58% of the 696 complaints investigations completed about care home services, 71% of the 202 complaints completed about combined housing support and care at home services, and 81% of the 109 complaints completed about standalone care at home services were upheld. This compares to less than half (45%) of the 229 complaints investigated about daycare of children services and 37% of the 104 complaints investigated about childminders upheld.

**Table 8.1: The number of completed complaint investigations by complaint outcome, 2015/16 – 2018/19**

| Complaint outcome | Year investigation completed |         |         |         |
|-------------------|------------------------------|---------|---------|---------|
|                   | 2015/16                      | 2016/17 | 2017/18 | 2018/19 |
| Upheld            | 59%                          | 57%     | 56%     | 58%     |
| Not upheld        | 41%                          | 43%     | 44%     | 42%     |

**Table 8.2: Percentage of complaints upheld by service type, 2018/19**

| Care service type                                      | Number of complaints completed | Number of complaints upheld | % of all complaints upheld |
|--|--------------------------------|-----------------------------|----------------------------|
| Adoption   | 1                              | 0                           | 0.0%                       |
| Adult placement  | 1                              | 0                           | 0.0%                       |
| Care home  | 696                            | 405                         | 58.2%                      |
| of which, care home for older people                   | 636                            | 379                         | 59.6%                      |
| Childminding   | 104                            | 38                          | 36.5%                      |
| Daycare of children                                    | 229                            | 102                         | 44.5%                      |
| Fostering  | 1                              | 0                           | 0.0%                       |
| Housing support (standalone service)                   | 31                             | 20                          | 64.5%                      |
| Nurse agency   | 2                              | 2                           | 100.0%                     |
| School care accommodation                              | 12                             | 4                           | 33.3%                      |
| Secure accommodation                                   | 5                              | 1                           | 20.0%                      |
| Support service (standalone) – care at home            | 109                            | 89                          | 81.7%                      |
| Support service (standalone) – other than care at home | 4                              | 4                           | 100.0%                     |
| Combined housing support and care at home service      | 202                            | 144                         | 71.3%                      |
| <b>All care service types</b>                          | <b>1397</b>                    | <b>809</b>                  | <b>57.9%</b>               |

## 9. Supporting improvement following complaints

Complaints give 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 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 we may look at the issues raised during the service's next inspection. Alternatively, we may attempt frontline resolution, where we communicate with the service and facilitate resolution that the complainant is satisfied with. Or we may pass the complaint to the service provider for them to investigate. Some issues raised with us 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 we are clear how their concerns will be best addressed.

Where we do investigate formally, the purpose is not just to establish the facts and determine whether the care provided was good enough but to also 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 that provide positive outcomes for 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 good practice; advising an area for improvement; or making a requirement setting out what the service must do to improve and by when. Progress against areas for improvement and requirements is reported on 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 that 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 work with services and providers collaboratively to support improvement. Our inspectors and our improvement support team may spend time with care services and providers to build capacity and capability for improvement and help to make sure the experiences and outcomes for people are the best they can be.

Where we see a number of complaints about the same issue we will meet with the service, support them to identify what changes will lead to improvement and support them to make the improvements. Currently, we have two improvement projects in place as a result of intelligence following complaints; one of these will support better care planning and the other one is focused on reducing medication errors.

## 10. Conclusions

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

The volume of complaints received over the past four years has increased from 4,089 received in 2015/16 to 4,940 in 2018/19. Over the same period, the quality of care overall has remained consistent with the percentage of services with grades of good or better for all quality themes, remaining at 88%.

We upheld the majority of the complaints we investigated – 58% of 1,397 complaint investigations completed were upheld in 2018/19. This varies by type of service, with 58% of the 696 complaints investigations completed about care home services and 71% of the 202 complaints about combined housing support and care at home services upheld, while 37% of the 104 complaints investigations completed about childminders, were upheld.

We receive, investigate and uphold more complaints about care homes for older people than for any other type of service – 68% of care homes for older people had at least one complaint upheld during 2018/19. Specific healthcare issues such as medication, continence care, inadequate care and treatment, tissue viability, nutrition and hydration 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 experience care services. We do this both in the course of the investigation and in using intelligence from complaint investigations to help us focus our scrutiny, assurance and improvement support resources.

The new complaints recording system introduced this year will enable us to fully report on all complaint work and the different methods used to resolve complaints. It will provide better intelligence on the nature of complaints, the links to our new self-evaluation frameworks and Health and Social Care Standards. Having better intelligence on the nature of complaints will enable us to identify where, as an organisation, we need to support improvement for better outcomes for people who experience care services.

## Appendix 1

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

### Complaints received

| Relationship of complainant                               | 2015/16                    |                          | 2016/17                    |                          | 2017/18                    |                          | 2018/19                    |                          | 4 year total               |                          | % change comparing 15/16 to 18/19 |
|---|----------------------------|--------------------------|----------------------------|--------------------------|----------------------------|--------------------------|----------------------------|--------------------------|----------------------------|--------------------------|-----------------------------------|
|   | 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                                  | 12                         | 0.3%                     | 16                         | 0.4%                     | 14                         | 0.3%                     | 27                         | 0.5%                     | 69                         | 0.4%                     | 125.0%                            |
| Employee, ex-employee                                     | 825                        | 20.2%                    | 905                        | 21.2%                    | 1057                       | 22.5%                    | 1178                       | 23.8%                    | 3965                       | 22.0%                    | 42.8%                             |
| Friend, relative or visitor of a person experiencing care | 1784                       | 43.6%                    | 1932                       | 45.2%                    | 2214                       | 47.1%                    | 2269                       | 45.9%                    | 8199                       | 45.5%                    | 27.2%                             |
| Health professional                                       | 55                         | 1.3%                     | 62                         | 1.4%                     | 108                        | 2.3%                     | 140                        | 2.8%                     | 365                        | 2.0%                     | 154.5%                            |
| Member of public  | 229                        | 5.6%                     | 313                        | 7.3%                     | 374                        | 8.0%                     | 389                        | 7.9%                     | 1305                       | 7.2%                     | 69.9%                             |
| MP/MSP/local politician                                   | 4                          | 0.1%                     | 3                          | 0.1%                     | 7                          | 0.1%                     | 3                          | 0.1%                     | 17                         | 1.7%                     | -25.0%                            |
| Professional visitor to a service                         | 53                         | 1.3%                     | 42                         | 1.0%                     | 83                         | 1.8%                     | 70                         | 1.4%                     | 248                        | 1.4%                     | 32.1%                             |
| Provider of other service                                 | 27                         | 0.7%                     | 36                         | 0.8%                     | 75                         | 1.6%                     | 75                         | 1.5%                     | 213                        | 1.2%                     | 177.8%                            |
| Service provider  | 12                         | 0.3%                     | 7                          | 0.2%                     | 8                          | 0.2%                     | 6                          | 0.1%                     | 33                         | 0.2%                     | -50.0%                            |
| Person experiencing care                                  | 312                        | 7.6%                     | 363                        | 8.5%                     | 391                        | 8.3%                     | 442                        | 8.9%                     | 1508                       | 8.4%                     | 41.7%                             |
| Unknown   | 776                        | 19.0%                    | 598                        | 14.0%                    | 365                        | 7.8%                     | 341                        | 6.9%                     | 2080                       | 11.6%                    | -56.1%                            |
| <b>All complainant categories</b>                         | <b>4089</b>                | <b>100.0%</b>            | <b>4277</b>                | <b>100.0%</b>            | <b>4696</b>                | <b>100.0%</b>            | <b>4940</b>                | <b>100.0%</b>            | <b>18002</b>               | <b>100.0%</b>            | <b>20.8%</b>                      |

## Complaint investigations completed

| Relationship of complainant                               | 2015/16                     |                           | 2016/17                     |                           | 2017/18                     |                           | 2018/19                     |                           | 4 year total                |                           | % change comparing 15/16 to 18/19 |
|---|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------------|
|   | 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%                      | 8                           | 0.5%                      | 1                           | 0.1%                      | 5                           | 0.4%                      | 18                          | 0.3%                      | 25.0%                             |
| Employee, ex-employee                                     | 314                         | 18.0%                     | 288                         | 17.3%                     | 256                         | 17.9%                     | 290                         | 20.8%                     | 1148                        | 18.4%                     | -7.6%                             |
| Friend, relative or visitor of a person experiencing care | 895                         | 51.2%                     | 870                         | 52.4%                     | 798                         | 55.6%                     | 784                         | 56.1%                     | 3347                        | 53.6%                     | -12.4%                            |
| Health professional                                       | 19                          | 1.1%                      | 23                          | 1.4%                      | 23                          | 1.6%                      | 38                          | 2.7%                      | 103                         | 1.7%                      | 100.0%                            |
| Member of public  | 99                          | 5.7%                      | 118                         | 7.1%                      | 104                         | 7.3%                      | 87                          | 6.2%                      | 408                         | 6.5%                      | -12.1%                            |
| MP/MSP/local politician                                   | 2                           | 0.1%                      | 1                           | 0.1%                      | 3                           | 0.2%                      | 0                           | 0.0%                      | 6                           | 0.1%                      | -100.0%                           |
| Professional visitor to a service                         | 19                          | 1.1%                      | 13                          | 0.8%                      | 21                          | 1.5%                      | 14                          | 1.0%                      | 67                          | 1.1%                      | -26.3%                            |
| Provider of other service                                 | 11                          | 0.6%                      | 16                          | 1.0%                      | 24                          | 1.7%                      | 19                          | 1.4%                      | 70                          | 1.1%                      | 72.7%                             |
| Service provider  | 7                           | 0.4%                      | 4                           | 0.2%                      | 5                           | 0.4%                      | 1                           | 0.1%                      | 17                          | 0.3%                      | -85.7%                            |
| Person experiencing care                                  | 132                         | 7.6%                      | 113                         | 6.8%                      | 87                          | 6.1%                      | 82                          | 5.9%                      | 414                         | 6.6%                      | -37.9%                            |
| Unknown   | 246                         | 14.1%                     | 208                         | 12.5%                     | 113                         | 7.9%                      | 77                          | 5.5%                      | 644                         | 10.3%                     | -68.7%                            |
| <b>All complainant categories</b>                         | <b>1748</b>                 | <b>100.0%</b>             | <b>1662</b>                 | <b>100.0%</b>             | <b>1435</b>                 | <b>100.0%</b>             | <b>1397</b>                 | <b>100.0%</b>             | <b>6242</b>                 | <b>100.0%</b>             | <b>-20.1%</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                                      | 2015/16                     |                           | 2016/17                     |                           | 2017/18                     |                           | 2018/19                     |                           | 4 year total                |                           | % change comparing 15/16 to 18/19 |
|--|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------|---------------------------|-----------------------------------|
|  | 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   | 2                           | 0.1%                      | 0                           | 0.0%                      | 0                           | 0.0%                      | 1                           | 0.1%                      | 3                           | 0.05%                     | -50.0%                            |
| Adult placement  | 0                           | 0.0%                      | 0                           | 0.0%                      | 0                           | 0.0%                      | 1                           | 0.1%                      | 1                           | 0.02%                     | 100.0%                            |
| Care home  | 864                         | 49.4%                     | 768                         | 46.2%                     | 635                         | 44.3%                     | 696                         | 49.8%                     | 2963                        | 47.5%                     | -19.4%                            |
| Childminding   | 145                         | 8.3%                      | 132                         | 7.9%                      | 126                         | 8.8%                      | 104                         | 7.4%                      | 507                         | 8.1%                      | -28.3%                            |
| Daycare of children                                    | 336                         | 19.2%                     | 365                         | 22.0%                     | 294                         | 20.5%                     | 229                         | 16.4%                     | 1224                        | 19.6%                     | -31.8%                            |
| Fostering  | 4                           | 0.2%                      | 4                           | 0.2%                      | 5                           | 0.3%                      | 1                           | 0.1%                      | 14                          | 0.2%                      | -75.0%                            |
| Housing support (standalone service)                   | 30                          | 1.7%                      | 29                          | 1.7%                      | 21                          | 1.5%                      | 31                          | 2.2%                      | 111                         | 1.8%                      | 3.3%                              |
| Nurse agency   | 2                           | 0.1%                      | 0                           | 0.0%                      | 0                           | 0.0%                      | 2                           | 0.1%                      | 4                           | 0.1%                      | 0.0%                              |
| Offender accommodation                                 | 1                           | 0.1%                      | 0                           | 0.0%                      | 0                           | 0.0%                      | 0                           | 0.0%                      | 1                           | 0.02%                     | -100.0%                           |
| School care accommodation                              | 15                          | 0.9%                      | 9                           | 0.5%                      | 18                          | 1.3%                      | 12                          | 0.9%                      | 54                          | 0.9%                      | -20.0%                            |
| Secure accommodation                                   | 0                           | 0.0%                      | 0                           | 0.0%                      | 1                           | 0.1%                      | 5                           | 0.4%                      | 6                           | 0.1%                      | 500.0%                            |
| Support service (standalone) - care at home            | 114                         | 6.5%                      | 107                         | 6.4%                      | 104                         | 7.2%                      | 109                         | 7.8%                      | 434                         | 7.0%                      | -4.4%                             |
| Support service (standalone) – other than care at home | 10                          | 0.6%                      | 13                          | 0.8%                      | 12                          | 0.8%                      | 4                           | 0.3%                      | 39                          | 0.6%                      | -60.0%                            |
| Combined housing support and care at home service      | 225                         | 12.9%                     | 235                         | 14.1%                     | 219                         | 15.3%                     | 202                         | 14.5%                     | 881                         | 14.1%                     | -10.2%                            |
| <b>All care service types</b>                          | <b>1748</b>                 | <b>100.0%</b>             | <b>1662</b>                 | <b>100.0%</b>             | <b>1435</b>                 | <b>100.0%</b>             | <b>1397</b>                 | <b>100.0%</b>             | <b>6242</b>                 | <b>100.0%</b>             | <b>-20.1%</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 2018/19**

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 complaint | % of all upheld areas of complaint |
|---------------------------------|--|----------------------------------|------------------------------------|
| General health and welfare      | General health and welfare   | 372                              | 23.4%                              |
| Healthcare                      | Healthcare - medication issues   | 105                              | 6.6%                               |
|                                 | Healthcare - Inadequate Healthcare or Healthcare Treatment                             | 33                               | 2.1%                               |
|                                 | Healthcare - continence care   | 32                               | 2.0%                               |
|                                 | Healthcare - nutrition   | 27                               | 1.7%                               |
|                                 | Healthcare - tissue viability  | 25                               | 1.6%                               |
|                                 | Healthcare - hydration   | 24                               | 1.5%                               |
|                                 | Healthcare - infection control   | 12                               | 0.8%                               |
|                                 | Healthcare - oral health   | 11                               | 0.7%                               |
|                                 | Healthcare - clinical governance   | 6                                | 0.4%                               |
|                                 | Healthcare - palliative care   | 2                                | 0.1%                               |
| Healthcare - mental health care | 1  | 0.1%                             |                                    |
| Staffing or staffing concerns   | Staff - levels   | 115                              | 7.2%                               |
|                                 | Staff - training/qualifications  | 56                               | 3.5%                               |
|                                 | Staff - other  | 55                               | 3.5%                               |
|                                 | Staff - recruitment procedures (including disclosure checks)                           | 13                               | 0.8%                               |
|                                 | Staff - other fitness issues   | 10                               | 0.6%                               |
|                                 | Staff - registration with professional bodies  | 4                                | 0.3%                               |
|                                 | Staff - unfit to work with vulnerable people   | 2                                | 0.1%                               |
| Communication                   | Communication - between staff and people experiencing care, their relatives and carers | 132                              | 8.3%                               |
|                                 | Communication - other  | 51                               | 3.2%                               |
|                                 | Communication - information about the service  | 25                               | 1.6%                               |
| Choice                          | Choice - care and treatment  | 42                               | 2.6%                               |
|                                 | Choice - dignity and privacy   | 33                               | 2.1%                               |
|                                 | Choice - other   | 26                               | 1.6%                               |
|                                 | Choice - activities  | 26                               | 1.6%                               |
| Record keeping                  | Record keeping - personal plans/ agreements  | 49                               | 3.1%                               |
|                                 | Record keeping - other   | 32                               | 2.0%                               |
| Environment                     | Environment - other  | 44                               | 2.8%                               |
|                                 | Environment - fitness of premises / environment  | 20                               | 1.3%                               |
|                                 | Environment - inadequate facilities  | 10                               | 0.6%                               |
|                                 | Environment - security   | 5                                | 0.3%                               |
| Policies and procedures         | Policies and procedures - complaints procedure   | 38                               | 2.4%                               |
|                                 | Policies and procedures - other  | 19                               | 1.2%                               |
| Protection of people            | Protection of people - adults  | 17                               | 1.1%                               |
|                                 | Protection of people - other   | 7                                | 0.4%                               |
|                                 | Protection of people - children  | 6                                | 0.4%                               |
|                                 | Protection of people - restraint   | 2                                | 0.1%                               |
|                                 | Protection of people - policies and procedures   | 1                                | 0.1%                               |
| Property                        | Property - loss of/missing   | 16                               | 1.0%                               |
|                                 | Property - care of   | 6                                | 0.4%                               |
|                                 | Property - other   | 1                                | 0.1%                               |

**Table C: All service types by area of complaint, complaints upheld in 2018/19  
(continued)**

| Area of complaint                  | Detailed area of complaint                                 | No. of upheld areas of complaints | % of all upheld areas of complaint |
|------------------------------------|--|-----------------------------------|------------------------------------|
| Food                               | Food - quality   | 6                                 | 0.4%                               |
|                                    | Food - other   | 5                                 | 0.3%                               |
|                                    | Food - choice  | 4                                 | 0.3%                               |
|                                    | Food - availability  | 2                                 | 0.1%                               |
| Conditions of registration         | Conditions of registration - exceeding capacity            | 9                                 | 0.6%                               |
|                                    | Conditions of registration - other                         | 6                                 | 0.4%                               |
|                                    | Conditions of registration - type of service provided      | 1                                 | 0.1%                               |
| Privacy and dignity                | Privacy and dignity  | 12                                | 0.8%                               |
| Participation of people using care | User participation - in managing/developing the service    | 7                                 | 0.4%                               |
|                                    | User participation - other                                 | 2                                 | 0.1%                               |
| Death and dying                    | Death and dying  | 7                                 | 0.4%                               |
| Financial                          | Financial issues   | 5                                 | 0.3%                               |
| Care Inspectorate - communication  | Care Inspectorate - communication                          | 3                                 | 0.2%                               |
| Access                             | Access - to other services for example, advocacy or health | 3                                 | 0.2%                               |
| Equality                           | Equality issues  | 2                                 | 0.1%                               |

**Table D: Areas of complaint upheld, by type of care service 2018/19**

| Detailed area of complaint                                       | Care home service |       | Childminding |      | Daycare of children |      | Housing support service (standalone) |      | Nurse agency |      | School care accommodation service |      | Secure accommodation service |      | Support service (standalone) - care at home |      | Support service (standalone) - other than care at home |      | Combined housing support/care at home service |      |
|--|-------------------|-------|--------------|------|---------------------|------|--------------------------------------|------|--------------|------|-----------------------------------|------|------------------------------|------|---|------|--|------|---|------|
|  | No                | %     | No           | %    | No                  | %    | No                                   | %    | No           | %    | No                                | %    | No                           | %    | No  | %    | No   | %    | No  | %    |
| General health and welfare                                       | 191               | 12.0% | 21           | 1.3% | 44                  | 2.8% | 9                                    | 0.6% | 0            | 0.0% | 3                                 | 0.2% | 0                            | 0.0% | 32  | 2.0% | 3  | 0.2% | 69  | 4.3% |
| Staff - levels   | 77                | 4.9%  | 0            | 0.0% | 14                  | 0.9% | 2                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 11  | 0.7% | 2  | 0.1% | 9   | 0.6% |
| Staff - other  | 14                | 0.9%  | 3            | 0.2% | 7                   | 0.4% | 1                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 9   | 0.6% | 0  | 0.0% | 21  | 1.3% |
| Staff - other fitness issues                                     | 3                 | 0.2%  | 2            | 0.1% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 2   | 0.1% | 0  | 0.0% | 2   | 0.1% |
| Staff - recruitment procedures (including disclosure checks)     | 4                 | 0.3%  | 0            | 0.0% | 3                   | 0.2% | 0                                    | 0.0% | 1            | 0.1% | 0                                 | 0.0% | 0                            | 0.0% | 3   | 0.2% | 0  | 0.0% | 2   | 0.1% |
| Staff - registration with professional bodies                    | 1                 | 0.1%  | 0            | 0.0% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 2   | 0.1% |
| Staff - training / qualifications                                | 20                | 1.3%  | 0            | 0.0% | 2                   | 0.1% | 2                                    | 0.1% | 1            | 0.1% | 0                                 | 0.0% | 0                            | 0.0% | 10  | 0.6% | 3  | 0.2% | 18  | 1.1% |
| Staff - unfit to work with vulnerable people                     | 0                 | 0.0%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 2   | 0.1% | 0  | 0.0% | 0   | 0.0% |
| Healthcare - clinical governance                                 | 4                 | 0.3%  | 0            | 0.0% | 0                   | 0.0% | 1                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 0   | 0.0% |
| Healthcare - continence care                                     | 28                | 1.8%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 1  | 0.1% | 2   | 0.1% |
| Healthcare - hydration   | 21                | 1.3%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 2   | 0.1% | 0  | 0.0% | 1   | 0.1% |
| Healthcare - inadequate healthcare or healthcare treatment       | 26                | 1.6%  | 0            | 0.0% | 0                   | 0.0% | 1                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 5   | 0.3% |
| Healthcare - infection control issues                            | 7                 | 0.4%  | 1            | 0.1% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 2   | 0.1% |
| Healthcare - medication issues                                   | 55                | 3.5%  | 2            | 0.1% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 15  | 0.9% | 0  | 0.0% | 33  | 2.1% |
| Healthcare - mental health care                                  | 1                 | 0.1%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% |
| Healthcare - nutrition   | 24                | 1.5%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 2   | 0.1% | 0  | 0.0% | 1   | 0.1% |
| Healthcare - Oral health   | 11                | 0.7%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% |
| Healthcare - palliative 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% | 0  | 0.0% | 0   | 0.0% |
| Healthcare - tissue viability                                    | 23                | 1.4%  | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 2   | 0.1% |
| Communication - between staff and service users/relatives/carers | 59                | 3.7%  | 4            | 0.3% | 10                  | 0.6% | 4                                    | 0.3% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 31  | 2.0% | 0  | 0.0% | 24  | 1.5% |
| Communication - information about the service                    | 7                 | 0.4%  | 1            | 0.1% | 5                   | 0.3% | 1                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 6   | 0.4% | 0  | 0.0% | 5   | 0.3% |
| Communication - other  | 12                | 0.8%  | 7            | 0.4% | 6                   | 0.4% | 1                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 15  | 0.9% | 0  | 0.0% | 10  | 0.6% |
| Choice - activities  | 16                | 1.0%  | 1            | 0.1% | 4                   | 0.3% | 1                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 4   | 0.3% |
| Choice - care and treatment                                      | 17                | 1.1%  | 0            | 0.0% | 0                   | 0.0% | 3                                    | 0.2% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 14  | 0.9% | 0  | 0.0% | 8   | 0.5% |
| Choice - dignity and privacy                                     | 14                | 0.9%  | 0            | 0.0% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 12  | 0.8% | 0  | 0.0% | 6   | 0.4% |
| Choice - other   | 10                | 0.6%  | 0            | 0.0% | 2                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 12  | 0.8% | 0  | 0.0% | 2   | 0.1% |

**Table D: Areas of complaint upheld, by type of care service 2018/19 (continued)**

| Detailed area of complaint                            | Care home service |      | Childminding |      | Daycare of children |      | Housing support service (standalone) |      | Nurse agency |      | School care accommodation service |      | Secure accommodation service |      | Support service (standalone) - care at home |      | Support service (standalone) - other than care at home |      | Combined housing support/care at home service |      |   |      |
|---|-------------------|------|--------------|------|---------------------|------|--------------------------------------|------|--------------|------|-----------------------------------|------|------------------------------|------|---|------|--|------|---|------|---|------|
|   | No                | %    | No           | %    | No                  | %    | No                                   | %    | No           | %    | No                                | %    | No                           | %    | No  | %    | No   | %    | No  | %    |   |      |
| Environment - fitness of premises / environment       | 17                | 1.1% | 0            | 0.0% | 3                   | 0.2% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Environment - inadequate facilities                   | 8                 | 0.5% | 0            | 0.0% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 1  | 0.1% | 0   | 0.0% | 0 | 0.0% |
| Environment - other                                   | 32                | 2.0% | 2            | 0.1% | 6                   | 0.4% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 1  | 0.1% | 3   | 0.2% | 0 | 0.0% |
| Environment - security                                | 3                 | 0.2% | 0            | 0.0% | 2                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Record keeping - other                                | 12                | 0.8% | 2            | 0.1% | 8                   | 0.5% | 0                                    | 0.0% | 0            | 0.0% | 1                                 | 0.1% | 0                            | 0.0% | 6   | 0.4% | 0  | 0.0% | 3   | 0.2% | 0 | 0.0% |
| Record keeping - personal plans/ agreements           | 12                | 0.8% | 3            | 0.2% | 4                   | 0.3% | 2                                    | 0.1% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 9   | 0.6% | 0  | 0.0% | 19  | 1.2% | 0 | 0.0% |
| Policies and procedures - complaints procedure        | 12                | 0.8% | 0            | 0.0% | 6                   | 0.4% | 4                                    | 0.3% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 6   | 0.4% | 0  | 0.0% | 10  | 0.6% | 0 | 0.0% |
| Policies and procedures - other                       | 4                 | 0.3% | 3            | 0.2% | 9                   | 0.6% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 2   | 0.1% | 0 | 0.0% |
| Protection of people - adults                         | 12                | 0.8% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 1  | 0.1% | 4   | 0.3% | 0 | 0.0% |
| Protection of people - children                       | 0                 | 0.0% | 3            | 0.2% | 3                   | 0.2% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Protection of people - other                          | 1                 | 0.1% | 0            | 0.0% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 1                            | 0.1% | 1   | 0.1% | 0  | 0.0% | 3   | 0.2% | 0 | 0.0% |
| Protection of people - policies and procedures        | 0                 | 0.0% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Protection of people - restraint                      | 2                 | 0.1% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Food - availability                                   | 2                 | 0.1% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Food - choice   | 2                 | 0.1% | 1            | 0.1% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Food - other  | 3                 | 0.2% | 0            | 0.0% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 1   | 0.1% | 0 | 0.0% |
| Food - quality  | 4                 | 0.3% | 1            | 0.1% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 1   | 0.1% | 0 | 0.0% |
| Conditions of registration - exceeding capacity       | 0                 | 0.0% | 5            | 0.3% | 4                   | 0.3% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Conditions of registration - other                    | 2                 | 0.1% | 2            | 0.1% | 2                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Conditions of registration - type of service provided | 0                 | 0.0% | 0            | 0.0% | 1                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Property - care of                                    | 6                 | 0.4% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Property - loss of/missing                            | 16                | 1.0% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Property - other                                      | 1                 | 0.1% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% | 0 | 0.0% |
| Privacy and dignity                                   | 6                 | 0.4% | 2            | 0.1% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 3   | 0.2% | 0  | 0.0% | 1   | 0.1% | 0 | 0.0% |

**Table D: Areas of complaint upheld, by type of care service 2018/19 (continued)**

| Detailed area of complaint  | Care home service |      | Childminding |      | Daycare of children |      | Housing support service (standalone) |      | Nurse agency |      | School care accommodation service |      | Secure accommodation service |      | Support service (standalone) - care at home |      | Support service (standalone) - other than care at home |      | Combined housing support/care at home service |      |
|---|-------------------|------|--------------|------|---------------------|------|--------------------------------------|------|--------------|------|-----------------------------------|------|------------------------------|------|---|------|--|------|---|------|
|   | No                | %    | No           | %    | No                  | %    | No                                   | %    | No           | %    | No                                | %    | No                           | %    | No  | %    | No   | %    | No  | %    |
| Participation (of those using the service) - in managing/developing the service | 0                 | 0.0% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 6   | 0.4% |
| Participation (of those using the service) - other                              | 1                 | 0.1% | 1            | 0.1% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% |
| Death and dying   | 7                 | 0.4% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% |
| Financial   | 1                 | 0.1% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 1   | 0.1% | 0  | 0.0% | 3   | 0.2% |
| Access to other services for example, advocacy and health                       | 3                 | 0.2% | 0            | 0.0% | 0                   | 0.0% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% |
| Equality  | 0                 | 0.0% | 0            | 0.0% | 2                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 0   | 0.0% |
| Care Inspectorate - communication   | 0                 | 0.0% | 0            | 0.0% | 2                   | 0.1% | 0                                    | 0.0% | 0            | 0.0% | 0                                 | 0.0% | 0                            | 0.0% | 0   | 0.0% | 0  | 0.0% | 1   | 0.1% |

**Table E: Care homes for older people, complaints upheld in 2018/19 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   | 50                       | 6.5%                   |
|                                 | Healthcare - continence care   | 26                       | 3.4%                   |
|                                 | Healthcare - inadequate healthcare or healthcare treatment                           | 26                       | 3.4%                   |
|                                 | Healthcare - tissue viability  | 23                       | 3.0%                   |
|                                 | Healthcare - hydration   | 21                       | 2.7%                   |
|                                 | Healthcare - nutrition   | 21                       | 2.7%                   |
|                                 | Healthcare - Oral health   | 10                       | 1.3%                   |
|                                 | Healthcare - infection control issues  | 7                        | 0.9%                   |
|                                 | Healthcare - clinical governance   | 3                        | 0.4%                   |
|                                 | Healthcare - palliative care   | 2                        | 0.3%                   |
| Healthcare - mental health care | 1  | 0.1%                     |                        |
| General health and welfare      | General health and welfare   | 179                      | 23.3%                  |
| Staffing                        | Staff - levels   | 69                       | 9.0%                   |
|                                 | Staff - training/qualifications  | 20                       | 2.6%                   |
|                                 | Staff - other  | 12                       | 1.6%                   |
|                                 | Staff - recruitment procedures (including disclosure checks)                         | 4                        | 0.5%                   |
|                                 | Staff - other fitness issues   | 3                        | 0.4%                   |
|                                 | Staff - registration with professional bodies  | 1                        | 0.1%                   |
| Communication                   | Communication - between staff and people using the service or their relatives/carers | 55                       | 7.2%                   |
|                                 | Communication - other  | 11                       | 1.4%                   |
|                                 | Communication - information about the service  | 6                        | 0.8%                   |
| Environment                     | Environment - other  | 30                       | 3.9%                   |
|                                 | Environment - fitness of premises/environment  | 17                       | 2.2%                   |
|                                 | Environment - inadequate facilities  | 7                        | 0.9%                   |
|                                 | Environment - security   | 3                        | 0.4%                   |
| Choice                          | Choice - care and treatment  | 16                       | 2.1%                   |
|                                 | Choice - activities  | 15                       | 2.0%                   |
|                                 | Choice - dignity and privacy   | 14                       | 1.8%                   |
|                                 | Choice - other   | 10                       | 1.3%                   |
| Property                        | Property - loss of/missing   | 16                       | 2.1%                   |
|                                 | Property - care of   | 6                        | 0.8%                   |
|                                 | Property - other   | 1                        | 0.1%                   |
| Record keeping                  | Record keeping - other   | 12                       | 1.6%                   |
|                                 | Record keeping - personal plans/ agreements  | 11                       | 1.4%                   |
| Policy and procedure            | Policies and procedures - complaints procedure                                       | 12                       | 1.6%                   |
|                                 | Policies and procedures - other  | 4                        | 0.5%                   |

**Table E: Care homes for older people, complaints upheld in 2018/19 by area of complaint (continued)**

| Area of complaint                          | Detailed area of complaint                                | No. of upheld complaints | % of upheld complaints |
|--|---|--------------------------|------------------------|
| Protection of people                       | Protection of people - adults                             | 12                       | 1.6%                   |
|  | Protection of people - other                              | 1                        | 0.1%                   |
|  | Protection of people - restraint                          | 1                        | 0.1%                   |
| Food                                       | Food - quality  | 4                        | 0.5%                   |
|  | Food - other  | 3                        | 0.4%                   |
|  | Food - availability                                       | 2                        | 0.3%                   |
|  | Food - choice   | 2                        | 0.3%                   |
| Death and dying                            | Death and dying   | 7                        | 0.9%                   |
| Privacy and dignity                        | Privacy and dignity                                       | 6                        | 0.8%                   |
| Access                                     | Access to other services for example, advocacy and health | 3                        | 0.4%                   |
| Conditions of registration                 | Conditions of registration - other                        | 2                        | 0.3%                   |
| Participation (of those using the service) | Participation (of those using the service) - other        | 1                        | 0.1%                   |
| Financial                                  | Financial issues  | 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 |
| 2015/16                      | 1,027                | 58.8%                         | 720                  | 41.2%                         |
| 2016/17                      | 951                  | 57.3%                         | 710                  | 42.7%                         |
| 2017/18                      | 805                  | 56.1%                         | 630                  | 43.9%                         |
| 2018/19                      | 809                  | 58.0%                         | 588                  | 42.0%                         |
| <b>All years</b>             | <b>3,592</b>         | <b>57.6%</b>                  | <b>2,648</b>         | <b>42.4%</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   | 1                    | 33.3%                         | 2                    | 66.7%                         | 3            |
| Adult placement  | 0                    | 0.0%                          | 1                    | 100.0%                        | 1            |
| Care home  | 1737                 | 58.6%                         | 1225                 | 41.4%                         | 2962         |
| Childminding   | 212                  | 41.8%                         | 295                  | 58.2%                         | 507          |
| Daycare of children                                    | 573                  | 46.9%                         | 650                  | 53.1%                         | 1223         |
| Fostering  | 8                    | 57.1%                         | 6                    | 42.9%                         | 14           |
| Housing Support (standalone service)                   | 64                   | 65.6%                         | 47                   | 34.4%                         | 111          |
| Nurse agency   | 4                    | 100.0%                        | 0                    | 0.0%                          | 4            |
| Offender accommodation                                 | 0                    | 0.0%                          | 1                    | 100.0%                        | 1            |
| School care accommodation                              | 33                   | 61.1%                         | 21                   | 38.9%                         | 54           |
| Secure accommodation                                   | 2                    | 33.3%                         | 4                    | 66.7%                         | 6            |
| Support service (standalone) – care at home            | 328                  | 75.6%                         | 106                  | 24.4%                         | 434          |
| Support service (standalone) – other than care at home | 17                   | 43.6%                         | 22                   | 56.4%                         | 39           |
| Combined housing support and care at home service      | 613                  | 69.6%                         | 268                  | 30.4%                         | 881          |
| <b>All care service types</b>                          | <b>3592</b>          | <b>57.6%</b>                  | <b>2648</b>          | <b>42.4%</b>                  | <b>6240</b>  |

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

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ਬੇਨਤੀ 'ਤੇ ਇਹ ਪ੍ਰਕਾਸ਼ਨ ਹੋਰ ਰੂਪਾਂ ਅਤੇ ਹੋਰਨਾਂ ਭਾਸ਼ਾਵਾਂ ਵਿਚ ਉਪਲਬਧ ਹੈ।

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