

**NHS Model Complaints Handling Procedure
Compliance statement and self-assessment**

[NAME OF NHS Board]

[CONTACT DETAILS]

The information on this pro forma must be provided to the Scottish Government by **7 April 2017**. Please send the completed form and a copy of the Board's CHP to Pauline.Bennett@gov.scot

Please provide, at Section 1, confirmation that the Board has adopted both the CHP and the public-facing CHP and has introduced the CHP across all services (if provided after 1 April 2017), or is ready to do so (if provided ahead of this date).

At Section 2 please complete a self-assessment of your Board's CHP, or draft CHP for implementation from 1 April 2017, against the requirements of the revised procedure.

SECTION 1 - Statement from Senior Officer (CEO) of [NAME OF Board].

[please delete as applicable]	Please tick
The Board has adopted both the NHS model CHP and the public-facing CHP and has introduced the CHP across all services from 1 April 2017.	
The Board will adopt both the CHP and the public-facing CHP and will introduce the CHP across all services from 1 April 2017.	

Signed:

Print Name:

Date:

SECTION 2 - [NAME OF Board] Self-assessment of compliance

Requirement of CHP	Met Yes/No	Comment
Does the CHP adopt the text and layout of the published model CHP, subject to necessary amendments, to reflect, for example, the organisational structure, operational processes and corporate style?		
Does the customer facing CHP adopt the text and layout of the published model customer facing CHP, subject to necessary amendments?		
Does the CHP include a an appropriate foreword from the Board's Chief Executive?		
Does the CHP provide an appropriate definition of a complaint?		
Does the CHP explain the types of issues which may be considered as a complaint?		
Does the CHP explain the types of issues which may not be considered through the CHP?		
Does the CHP include sections to help staff to distinguish between feedback, comments, concerns and complaints?		
Where appropriate, does the CHP contain the required references to Primary Care service providers?		
Where appropriate, does the CHP contain the required references to complaints from prisoners?		
Does the CHP include guidance in relation to financial compensation?		
Does the CHP include appropriate guidance on handling anonymous complaints?		
Does the CHP include guidance on Whistleblowing?		
Does the CHP include guidance on significant adverse event reviews?		

Does the CHP include guidance on Patient Opinion?		
Does the CHP clarify who can make a complaint?		
Does the CHP provide guidance in respect of circumstances where the person raising the issue does not want to complain?		
Does the CHP cover complaints involving more than one NHS service or organisation?		
Does the CHP include reference to handling social care complaints?		
Does the CHP include a description of the early resolution stage of the procedure?		
Does the CHP explain how a person may make a complaint?		
Does the CHP explain the issues to be considered on the receipt of a complaint?		
Does the CHP include the correct timeline at early resolution?		
Does the CHP explain the basis for an extension to the timeline at early resolution?		
Does the CHP explain the action to take in closing the complaint at the frontline resolution stage?		
Does the CHP explain when to escalate a complaint to the investigation stage?		
Does the CHP include a description of the investigation stage of the procedure?		
Does the CHP explain what to do when a complaint is received at the investigation stage?		
Does the CHP include reference to making contact with the person making the complaint at the start of the investigation?		
Does the CHP explain the requirement to acknowledge the complaint within three working days at the investigation stage?		

Does the CHP explain the requirement to provide a full response to complaints within 20 working days at the investigation stage?		
Does the CHP detail the information to be provided when acknowledging a complaint?		
Does the CHP include reference to meeting with the person making the complaint during the investigation?		
Does the CHP explain the basis for an extension to the timeline at the investigation stage?		
Does the CHP explain the required action when closing the complaint at the investigation stage?		
Does the CHP include guidance in relation to meetings and post decision correspondence with the person making the complaint?		
Does the CHP explain the requirement to provide information about the SPSO at the conclusion of the investigation?		
Does the CHP explain the roles and responsibilities of all staff involved in complaints handling?		
Does the CHP cover complaints about senior staff?		
Does the CHP include the requirement to record all appropriate details in relation to the complaint?		
Does the CHP include the arrangements in place to monitor complaints?		
Does the CHP commit to reporting complaints as is documented in the model CHP?		
Does the CHP include the requirement for senior management to review the information gathered from complaints regularly, and consider how services could be improved or internal policies and procedures updated?		
Does the CHP include the requirement to		

learn from complaints?		
Does the CHP include the requirement to publish performance in handling complaints annually?		
Does the CHP include arrangements for the National Monitoring of complaints?		
Does the CHP include arrangements for performance reporting by Primary Care service providers?		
Does the CHP refer to legal requirements in relation to confidentiality issues?		
Does the CHP reference the data Protection Act 1998?		
Does the CHP refer to dealing with problem behaviour?		
Does the CHP refer to supporting the person making the complaint?		
Does the CHP refer to the Patient Advice and Support Service?		
Does the CHP set a time limit of six months to consider the complaint, unless there are special circumstances for considering complaints beyond this time?		

1. Primary Care service providers

Primary Care service providers include General Medical Practitioners, General Dental Practitioners, General Ophthalmic Practitioners, Ophthalmic Medical Practitioners and Community Pharmacists. All are included in references to health service providers throughout this model Complaints Handling Procedure, and the requirements of this procedure apply to all Primary Care service providers.

Most, but not all, Primary Care service providers are independent contractors who provide NHS health services on behalf of NHS Health Boards. However, Boards are required by law to ensure that each of their service providers have adequate arrangements in place for handling and responding to patient feedback and comments, concerns and complaints.

Boards are therefore required to ensure that each of their service providers have self-assessed their compliance with the revised procedure, and reported this to the Board. The CSA can provide additional advice and assistance to Boards, to help them to do this as straightforwardly as possible.