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**Subject:** Response to your information request (FDN-232281)  
**Date:** 21 September 2015 16:04  
**To:** minhalexander@aol.com

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Dear Dr Minh Alexander

### Your information request (FDN-232281)

I am writing further to your information request of 22 August 2015, in which you asked for the number of complaints PHSO has received about the Care Quality Commission (CQC). In particular you wanted information on the number of complaints made since CQC's inception in 2009, the nature of the complaints and the outcomes of the complaints.

Please note that the information has been broken down on a calendar year basis. The figures for 2015 include those for April-August which have been generated from live, uncleaned data and may not be entirely accurate. The figures for September 2015 have been excluded as they are incomplete.

Since CQC's inception in 2009 we have received a total of 354 enquiries about CQC. Of these, 17 complaints have been accepted for investigation. 11 investigations have been concluded and the remaining six are still ongoing. All of the 11 concluded complaints were not upheld.

Please see below for a summary of the enquiries/complaints we have received about CQC since its inception in 2009, including the nature and outcomes of the concluded investigations.

## 1. Enquiries Received about CQC and Outcomes

### a) Enquiries Received

Year / Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
2009	0	0	0	2	3	5	3	3	5	0	2	1	24
2010	6	7	4	3	1	4	9	4	2	5	0	2	47
2011	6	4	5	8	5	9	5	6	6	3	4	4	65
2012	6	3	10	7	3	2	5	6	5	8	4	1	60
2013	6	2	8	5	4	4	5	4	9	5	5	0	57
2014	2	6	4	7	4	6	4	6	3	7	8	4	61
2015	8	6	7	4	2	3	4	6					40
<b>Total</b>	<b>34</b>	<b>28</b>	<b>38</b>	<b>36</b>	<b>22</b>	<b>33</b>	<b>35</b>	<b>35</b>	<b>30</b>	<b>28</b>	<b>23</b>	<b>12</b>	<b>354</b>

### b) Enquiry/Assessment Outcomes

Year	Not properly made	Out of remit	Premature	General discretion	Specific discretion	Withdrawn	Total
2009	16	0	0	3	0	1	20
2010	20	2	9	13	0	6	50
2011	39	0	5	11	1	7	63
2012	28	1	10	15	2	2	58
2013	36	1	3	4	2	8	54
2014	32	1	8	1	1	8	51
2015	22	0	11	1	2	0	36
<b>Total</b>	<b>193</b>	<b>5</b>	<b>46</b>	<b>48</b>	<b>8</b>	<b>32</b>	<b>332</b>

Please note that the majority of complaints recorded as ‘not properly made’ were classified as such because they were not referred to us by an MP, a requirement under the Parliamentary Commissioner Act 1967.

## 2. Complaints Received about CQC and Investigation Outcomes

### a) Complaints Accepted for Investigation

Year	Total
2009	0
2010	0
2011	0
2012	0
2013	1
2014	10
2015	6
<b>Total</b>	<b>17</b>

Please note that these figures reflect the recent changes in PHSO’s casework processes and the decision to accept many more cases for formal investigation. Please see the press release from 2013 [‘More investigations for more people’](#) for further information.

### b) Investigation Outcomes

Year	Upheld	Partly Upheld	Not upheld	Resolved without a finding	Discontinued	Total
2009	0	0	0	0	0	0
2010	0	0	0	0	0	0
2011	0	0	0	0	0	0
2012	0	0	0	0	0	0
2013	0	0	0	0	0	0
2014	0	0	4	0	0	4
2015	0	0	7	0	0	7
<b>Total</b>	<b>0</b>	<b>0</b>	<b>11</b>	<b>0</b>	<b>0</b>	<b>11</b>

## 3. Nature of the Complaints about CQC

Please see below for a summary of the nature of complaints about CQC.

Year	2014	2015	Total
Appeals	0	1	1
Assessments	1	0	1
Communication	0	1	1
Confidentiality	0	1	1
Decision incorrect/ miscalculated	2	0	2
Delay	0	1	1
Enforcement - inappropriate action	0	2	2
Enforcement - lack of	1	2	3
Evidence	0	1	1
Inadequate official information	0	1	1

Inadequate Official Information	0	1	2
Online services	0	1	1
Report - inaccurate	0	2	2

We categorise the nature of complaints through the use of keywords. Common themes such as the category of the complaint or the type of service being complained about are captured by keywords which are added to cases when they are closed. When a case is closed, caseworkers enter keywords into our casework management system. Therefore we only provide keywords for complaints concluded as investigations. As a consequence we are only able to provide information on the nature of the complaints about CQC for the 11 investigations concluded during the relevant period.

I hope the information I have provided is helpful. If you have any further queries, or would like to ask for a review of my decision, you can do so by writing to [foiofficer@ombudsman.org.uk](mailto:foiofficer@ombudsman.org.uk).

If you still have concerns after that, you can ask the Information Commissioner's Office to look into your case. Their contact details are available on their website at: [www.ico.org.uk](http://www.ico.org.uk)

Yours sincerely

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