

## Policies and procedures

# Escalation of concerns

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| Created/revised: | July 2019                        |
| Approved by:     | Governance<br>Committee, 17/9/19 |
| Next review due: | May 2022                         |



## How we work in partnership with Healthwatch England and the CQC

Healthwatch Havering is part of a national network of organisations which has Healthwatch England as their strategic and professional body. All Healthwatch set their own local agenda, which is dependent on the challenges that each community faces.

However, we all work within a framework which also enables Healthwatch England to be a successful national influencing body within Government. We all benefit from Healthwatch England's role and its close association with the CQC. Both these national organisations considerably enhance the standing and ability of local Healthwatch to be effective.

This document sets out Healthwatch England Escalation Guidance on four topics:

- Sharing people's views and experiences of care services with Healthwatch England
- Highlighting health and care issues for consideration by Healthwatch England
- Dealing with safeguarding concerns
- Quality and safety issues relating to local services

The important thing about the Escalation Policy is that it provides Healthwatch Havering with the opportunity to raise concerns and issues at a national level. It also provides us with a good understanding of the concerns and issues that face other communities across the country. There is no fixed process for invoking an escalation - each case will be dealt with on its merits at the time.

## Purpose of this document

Healthwatch England understands the importance of acting appropriately on intelligence and service users' feedback to ensure

that individuals are not subjected to poor quality health and care services. This document sets out how the Healthwatch network is expected to work together with the Care Quality Commission (CQC) to ensure that we can develop a comprehensive picture of the state of care. It aims to ensure that we do not miss opportunities to identify poor care or shed light on failings affecting people using health and social care services.

This guidance assumes that each local Healthwatch will be building an effective relationship with their local CQC manager. This will enable the local Healthwatch to routinely share appropriate feedback and for the CQC to inform the local Healthwatch about its inspection findings. Healthwatch England expects the CQC to provide information to local Healthwatch about working with local inspection teams. Healthwatch England would also encourage local Healthwatch to share relevant feedback they have received from the public with local providers and commissioners of services. This should help to resolve any concerns as quickly as possible, reducing the risk of these concerns escalating into significant problems and leading to improved services.

Healthwatch Havering aims to work closely with the CQC teams that cover Havering, obtaining information from them and sharing information we have gathered with them.

### **Sharing people's views and experiences of health and social care with Healthwatch England**

Healthwatch England would like to know about people's views and experiences of health and social care. This intelligence (e.g. individual comments and feedback, local Healthwatch surveys and Enter & View reports, etc.) should be captured by local Healthwatch using the Hub to record the information in a manner in which the service user can not be identified.

Based on this rich source of intelligence provided by local Healthwatch, Healthwatch England will produce special reports, as well as raising areas of concern with the Care Quality Commission (CQC). Where appropriate, Healthwatch England will recommend that the CQC undertake special reviews or investigations.

### **Highlighting health and care issues for consideration by Healthwatch England.**

Local Healthwatch responses to Adult and Children's Safeguarding alerts (Section 3) and safety issues relating to services providing health and care (Section 4) are set out in subsequent sections. This section focuses on how local Healthwatch can raise issues and trends to the attention of Healthwatch England for consideration. It also sets out how Healthwatch England will respond to issues brought to our attention by local Healthwatch:

- 1) The issue or area of concern should be raised with Healthwatch England by email, letter or over the telephone. Local Healthwatch should clearly state that you are escalating an issue which you would like Healthwatch England to consider undertaking a report on. The particular issue which you wish to be investigated and reported on should be clearly identified.
- 2) All issues flagged for consideration will be acknowledged by Healthwatch England within 10 working days of being raised.
- 3) We will develop a set of key principles which will guide us in evaluating each issue. Once fully developed, these principles will be published. Issues, trends or areas of concern identified by this process will be passed on to the Healthwatch England Committee for consideration.
- 4) Topics for Healthwatch England's special reports will be decided by the Healthwatch England Committee quarterly, using

information provided by local Healthwatch and from the Hub, as part of the business planning cycle.

- 5) Healthwatch England will communicate decisions and rationale in writing to the originating local Healthwatch with any recommendations for alternative courses of action, where appropriate.
- 6) Where Healthwatch England has recommended that the CQC undertake a special review or investigation, the CQC will respond in writing stating whether or not they accept Healthwatch England's recommendation and the reason for their decision

### Dealing with safeguarding concerns

There will be times where a local Healthwatch identifies an immediate risk to the safety and wellbeing of people using services whose circumstances make them particularly vulnerable to abuse, neglect or harm. These matters should be referred immediately to the relevant Local Authority's Safeguarding Team and/or the police. This applies to both Adult and Children's Safeguarding concerns.

Local Healthwatch should also share Children's Safeguarding issues or concerns with Ofsted if the issue relates to a social care setting and may share their concern with the Care Quality Commission (CQC) if the issue relates to a health setting.

If Healthwatch England becomes aware of an Adult or Children's Safeguarding issue we will also independently escalate the safeguarding issue to the CQC or the Local Authority's Safeguarding Team as appropriate.

We ask each local Healthwatch to notify Healthwatch England on a quarterly basis a summary of the number of adult and children's safeguarding referrals made to Local Authorities.

If the safeguarding issue is not resolved to your satisfaction we would ask you to escalate them using the process below.

### Quality and safety issues relating to local services

Local Healthwatch may have reason to be concerned about the quality and safety of a service because of feedback from the public including patients. This information may not amount to a safeguarding issue where an immediate risk is posed to an individual but is of sufficient concern that it must be acted on appropriately.

In these instances, as part of their ongoing local CQC relationship, the local Healthwatch must contact their local Care Quality Commission Compliance Manager. The Compliance Manager can then determine if there has been any breach of regulations. Where this information related to children's care services, this information should also be shared with your Local Authority and Ofsted.

Local Healthwatch should also flag these concerns to Healthwatch England by email, letter or over the telephone. Local Healthwatch should state that you are escalating a quality or safety issue related to local services. The particular safety concern and the service provider should be clearly identified in your correspondence. This will enable Healthwatch England to check for relevant information that may be held by other local Healthwatch

### Escalation Process

- 1) First, you should follow up directly with the organisation to which you raised the alert (Local Safeguarding Authority, the police or the Care Quality Commission) setting out your concerns to their initial response.

If the local Healthwatch is not satisfied with the organisation's final response, you should follow their complaints procedure and

flag it with Healthwatch England as a safeguarding issue by email, letter or over the telephone. Local Healthwatch should clearly state that you are escalating a safeguarding concern which you are pursuing under the Local Safeguarding Authority, the police or the Care Quality Commission's complaint procedure. This will enable us to identify problems in the organisation's capacity to respond and act effectively on safeguarding information.

- 2) Please copy Healthwatch England into any further correspondence regarding the escalated safeguarding issue.
- 3) Healthwatch England will evaluate the situation within 3 working days of it being raised with us to determine the best course of action. We will review each case individually.
- 4) When escalating an issue, Healthwatch England will take the issue to the CQC or to your Local Authority (as appropriate) within 3 working days of it being raised with us. The CQC will be obliged to respond as set out in their safeguarding policy. This would involve an acknowledgement and identification of case handler within 3 working days and more detailed response of actions being taken in 15 working days.
- 5) Healthwatch England will write to you to inform you if any or no action is being taken and update you periodically until the actions are closed.
- 6) On occasion, Healthwatch England may be asked to escalate an issue by a neighbouring local Healthwatch. Where Healthwatch England escalates an issue from your local area, we will notify you of this concern and then provide feedback as well as inform you of any actions that have taken place as a result of this.
- 7) All the issues escalated to Healthwatch England will be reviewed by the Healthwatch England Committee or appropriate sub-

Committee at least quarterly so that trends or areas of concern can be identified and monitored.

## What is Healthwatch Havering?

Healthwatch Havering is the local consumer champion for both health and social care in the London Borough of Havering. Our aim is to give local citizens and communities a stronger voice to influence and challenge how health and social care services are provided for all individuals locally.

We are an independent organisation, established by the Health and Social Care Act 2012, and employ our own staff and involve lay people/volunteers so that we can become the influential and effective voice of the public.

Healthwatch Havering is a Community Interest Company Limited by Guarantee, managed by three part-time directors, including the Chairman and the Company Secretary, supported by two part-time staff, and by volunteers, both from professional health and social care backgrounds and lay people who have an interest in health or social care issues.

### Why is this important to you and your family and friends?

Following the public inquiry into the failings at Mid-Staffordshire Hospital, the Francis report reinforced the importance of the voices of patients and their relatives within the health and social care system.

Healthwatch England is the national organisation which enables the collective views of the people who use NHS and social services to influence national policy, advice and guidance.

Healthwatch Havering is your local organisation, enabling you on behalf of yourself, your family and your friends to ensure views and concerns about the local health and social services are understood.

Your contribution is vital in helping to build a picture of where services are doing well and where they need to be improved. This will help and support the Clinical Commissioning Groups, NHS Services and contractors, and the Local Authority to make sure their services really are designed to meet citizens' needs.

***‘You make a living by what you get,  
but you make a life by what you give.’  
Winston Churchill***



## Joining Healthwatch Havering

Local people who have time to spare are welcome to join us as volunteers. We need both people who work in health or social care services, and those who are simply interested in getting the best possible health and social care services for the people of Havering.

Our aim is to develop wide, comprehensive and inclusive involvement in Healthwatch Havering, to allow every individual and organisation of the Havering Community to have a role and a voice at a level they feel appropriate to their personal circumstances.

**We are looking for:**

### Members

This is the key working role. For some, this role will provide an opportunity to help improve an area of health and social care where they, their families or friends have experienced problems or difficulties. Very often a life experience has encouraged people to think about giving something back to the local community or simply personal circumstances now allow individuals to have time to develop themselves. This role will enable people to extend their networks, and can help prepare for college, university or a change in the working life. There is no need for any prior experience in health or social care for this role.

The role provides the face to face contact with the community, listening, helping, signposting, providing advice. It also is part of ensuring the most isolated people within our community have a voice.

Some Members may wish to become **Specialists**, developing and using expertise in a particular area of social care or health services.

### Supporters

Participation as a Supporter is open to every citizen and organisation that lives or operates within the London Borough of Havering. Supporters ensure that Healthwatch is rooted in the community and acts with a view to ensure that Healthwatch Havering represents and promotes community involvement in the commissioning, provision and scrutiny of health and social services.

## Interested? Want to know more?



Call us on **01708 303 300**

email [enquiries@healthwatchhavering.co.uk](mailto:enquiries@healthwatchhavering.co.uk)

Find us on Twitter at [@HWHavering](https://twitter.com/HWHavering)



*Healthwatch Havering is the operating name of  
Havering Healthwatch C.I.C.  
A community interest company limited by guarantee  
Registered in England and Wales  
No. 08416383*

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Telephone: 01708 303300*

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