

A guide to completing the Dental section of the NHS written complaints collection

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Contents

Background	3
Completing the return	4
General guidance	4
Submitting data using the NHSBSA online form	5
1. Access the online form and check the contract number	5
2. How to complete the form	6
3. Complaints received	6
4. Complaints resolved	7
5. Complaints Unresolved	8
6. Age of patient making complaint	9
7. Status of person making complaint	10
8. Number of complaints by service area	10
9. Subject of complaint	11
10. About who the complaint was made	13
12. Additional information	14
13. Submit your completed form	15
14. Submit your completed form	16
NHS Digital data download	16
Contacts	16

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Background

The NHS has a statutory responsibility to collect service wide data on patient complaints so trends can be identified and we can demonstrate that the service is being responsive to patient feedback. The information obtained from the KO41b collection monitors written General Practice (including Dental) complaints (by service, area and subject) received by the NHS each year. It also supports the commitment given in Equity and Excellence to improve the Patient Experience by listening to the public voice.

This information is published annually in a statistical bulletin. The latest bulletin can be found at the following link: [Data on written complaints in the NHS](#)

For the 2016-17 complaints collection the KO41b is split into two areas (Dental and GP). The NHS Business Services Authority (NHSBSA) will be collecting information from Dental practices and NHS England will collect data from the GP practices. This will be done via two online tools, one for Dental returns run by the NHSBSA and the other for GP returns run by NHS England. This guidance is specifically aimed at the Dental collection. Information on how to access the online form is included within this guidance. This information will then be supplied to NHS Digital and published in September.

This collection refers to complaints received between 1 April 2016 and 31 March 2017. It is a statutory requirement to declare complaints information and it remains a contractual requirement, detailed in the 2009 complaints regulations.

If you are having problems with the online form, please contact the NHSBSA at NHSBSA.DentalKO41bReturn@nhs.net

If you have any queries regarding definitions, please contact NHS Digital at nhs.comp@nhs.net

Completing the return

General guidance

- 1) The KO41b should be completed with information about written complaints about dental health services made by, or on behalf of, patients in the period 1 April to 31 March.
- 2) For the purposes of this return a written complaint is one that is made in writing to any member of staff, or is originally made orally and subsequently recorded in writing. Once it is so recorded, it should be treated as though it was made in writing from the outset. Oral complaints and comments/suggestions that do not require investigation should not be included.
- 3) If a written communication contains more than one complaint that requires separate investigation then each should be recorded separately. However, where a single complaint covers several aspects of care/treatment received, the complaint should be recorded under each cause of complaint.
- 4) Complaints forwarded to the Ombudsman are to be excluded because a complaint could span several reporting years and could corrupt data returns.
- 5) If the complaint is transferred to another organisation, the organisation that deals with the complaint should record it.
- 6) If the organisation investigates a complaint made about another organisation, the complaint should be recorded against the organisation being complained about and not the organisation conducting the investigation.
- 7) If your practice merged with another organisation after 1 April 2017 and the other organisation has since closed, the closed practice is not required to make a submission, the organisation which is open and currently exists as a merged organisation should submit KO41b inclusive of complaints received from the previous closed practice. If the practice prefers to submit as two separate organisations this is also possible, however the practice which has merged should state in the supporting information section the data submission is made as separated practices.
- 8) **DO NOT INCLUDE** investigations instigated by outside agencies, for example the Police, Health Service Commissioner or Coroners Court.
- 9) Local resolution (LR) is the first stage of the complaints procedure when front-line

staff should aim to provide the fullest possible opportunity for investigation and resolution of the complaint, as quickly as is sensible in the circumstances.

- 10) Returns on the total number of written complaints against pharmacists and opticians are not required.

Further information on the current NHS complaints procedures can be obtained from the NHS Choices website:

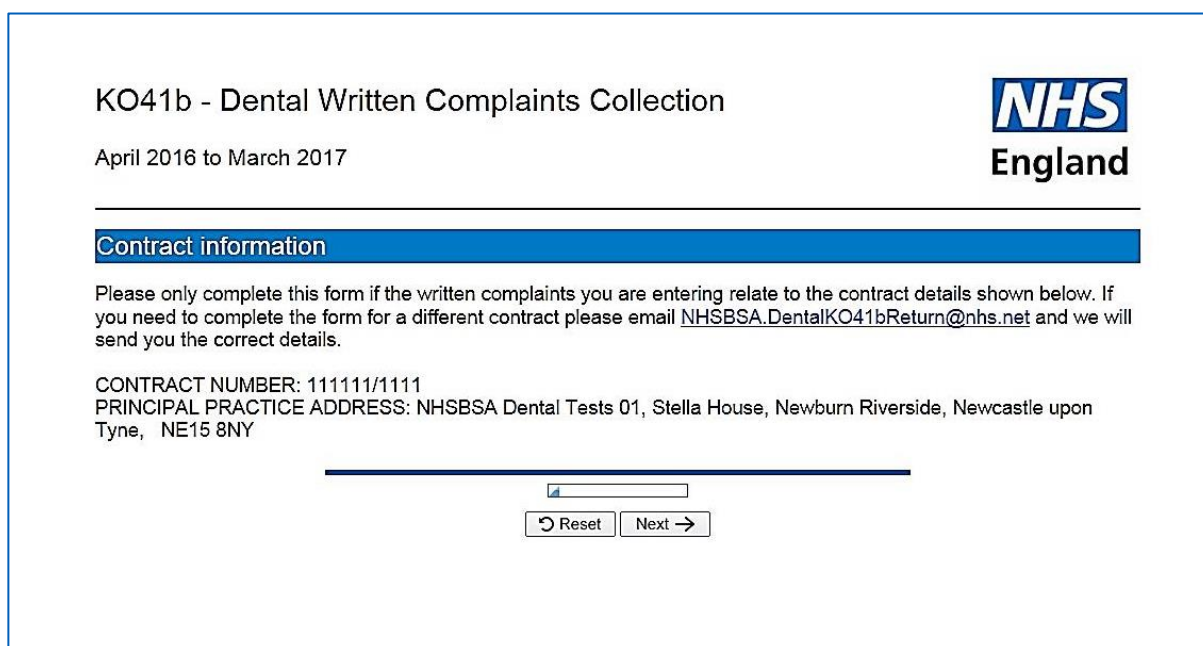
<http://www.nhs.uk/NHSEngland/complaints-and-feedback/Pages/nhs-complaints.aspx>

Submitting data using the NHSBSA online form

(Please note the screen shots below were taken from a Return that had 5 complaints)

1. Access the online form and check the contract number

You will receive an email from the NHSBSA through SnapSurveys. Select the custom hyperlink in the email, which will take you to a form relating to your practice contract number(s). The first page of the form will open as follows:



The screenshot shows the NHSBSA online form for KO41b - Dental Written Complaints Collection. The form is titled 'KO41b - Dental Written Complaints Collection' and 'April 2016 to March 2017'. The NHS England logo is in the top right corner. Below the title, there is a blue bar with the text 'Contract information'. The main text of the form reads: 'Please only complete this form if the written complaints you are entering relate to the contract details shown below. If you need to complete the form for a different contract please email NHSBSA.DentalKO41bReturn@nhs.net and we will send you the correct details.' Below this, the contract details are listed: 'CONTRACT NUMBER: 111111/1111' and 'PRINCIPAL PRACTICE ADDRESS: NHSBSA Dental Tests 01, Stella House, Newburn Riverside, Newcastle upon Tyne, NE15 8NY'. At the bottom of the form, there is a horizontal line with a small blue icon on the left, and two buttons: 'Reset' and 'Next →'.

You should check the contract information shown is the one you are entering the complaints for. DO NOT proceed if the information does not match the contract you want to submit complaints for. If you need to complete the form for a different contract, email the NHSBSA (NHSBSA.DentalKO41bReturn@nhs.net) for the correct details.


If the contract details are correct select the 'Next' button to continue.

2. How to complete the form

The next section will tell you how to use the online form and the closing date for submitting your return.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



How to complete the form

The NHS Business Services Authority (NHSBSA) is carrying out the KO41b collection of dental complaints on behalf of NHS England.

Please complete this form by providing details of the number of written complaints received for your contract between 1 April 2016 and 31 March 2017. If you haven't received any written complaints you still need to complete the form to submit a nil return.

You need to complete the return for your contract(s) by **7 June 2017**.

Please read the 'KO41b Guide to completing the Dental section of the NHS written complaints collection' document before completing this form which can be accessed at <http://content.digital.nhs.uk/datacollections/ko41b>. If you do not complete the form in one sitting the information you enter will be stored. You can return later by clicking the link in the email invite you received and you will return to the form at the point you left it.

Please use the 'Next' and 'Back' buttons at the bottom of each screen to navigate through the form and ensure you click the submit button to complete the return or we will not receive the information you have entered. Do not use the Back button on your web browser to navigate through the form. The Reset button will clear all information entered on the current page of the form.

← Back
↺ Reset
💾 Save
Next →

To continue and complete the form select the 'Next' button.


3. Complaints received

The summary of complaints received refers to **new complaints** received during the reporting period **and** open complaints **brought forward** from the previous reporting period.

In the first box enter the total number of written complaints which remained unresolved at the end of 2015/16 and which have been brought forward. In the second box enter the total number of new written complaints received during 2016/17. Only positive whole numbers should be entered. If there were no complaints in the given years you should enter a zero (0) in the appropriate box.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017




Complaints received

Please enter the number of written complaints received for contract 111111/1111.

- The information required refers to **new complaints** received between 1 April 2016 and 31 March 2017 **and complaints brought forward** from the last reporting period.
- If no complaints have been received please enter 0 in the appropriate box.

	Number of complaints received
Total brought forward from 2015/16	<input type="text"/>
Total new in 2016/17	<input type="text"/>



← Back
↺ Reset
💾 Save
Next →


Once you have completed this page select the 'Next' button to continue.

4. Complaints resolved

For the total of **new** complaints in 2016/17 **and** complaints **brought forward** from 2015/16, enter the number of those investigated and resolved in this reporting period. Resolved complaints should be recorded as either upheld, partially upheld or not upheld. Only positive whole numbers should be entered. If there were no complaints upheld, partially upheld or not upheld you must enter a zero (0) in the appropriate box.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017




Complaints resolved

Please enter details of the number of complaints resolved during the reporting period.

- The information required refers to the total of **new complaints and complaints brought forward** that have been resolved during the reporting period.
- If no complaints have been resolved please enter 0 in the appropriate box.
- Total resolved is calculated automatically please check that this matches your total number of complaints resolved.

	Number of complaints resolved
Number of complaints upheld	<input type="text"/>
Number of complaints partially upheld	<input type="text"/>
Number of complaints not upheld	<input type="text"/>
Total resolved	<input type="text"/> <small>Maximum of 5</small>



← Back
↺ Reset
💾 Save
Next →

The Total resolved will be completed automatically. Make sure the sum of the individual

boxes matches your total of complaints resolved.

Note:

Number Upheld: If a complaint is received which relates to one specific issue, and substantive evidence is found to support the complaint, then the complaint should be recorded as upheld.

Number Partially Upheld: Where a complaint is made about several issues, if one or more of these, (but not all), are upheld then the complaint should be recorded as partially upheld.

Number Not Upheld: Where there is no evidence to support any aspects of a complaint made, the complaint should be recorded as not upheld.


Once you have completed this page select the 'Next' button to continue.

5. Complaints Unresolved

The number of unresolved complaints carried forward to the next reporting period is calculated from the information you have entered on the previous pages (Step 3 and 4). Please check that this matches your total number of complaints unresolved and carried forward.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



Complaints unresolved

The number of unresolved complaints carried forward to the next the reporting period is calculated from the information you have entered above. Please check that this matches your total number of complaints carried forward. (If you need to amend your figures, please click the 'Back' button below.)

Total carried forward to 2017/18: 0

← Back

↺ Reset

💾 Save

Next →


When you have checked the total of complaints carried forward shown on this page select the 'Next' button to continue.

If you received new complaints in 2016/17 you will be asked next to enter detailed information on these complaints, including age of the patient, status of the complainant, and the service area(s), subject(s) and professional area(s) of the complaint.

If you received no new complaints in 2016/17 you will be asked to confirm your response (Step 11).

KO41b - Dental Written Complaints Collection


April 2016 to March 2017



No new complaints received?

You have stated that you have not received any new complaints during the reporting period 1 April 2016 to 31 March 2017 for contract **111111/1111**.

- If this is correct click the next button.
- If you have received any new complaints click the Back button and amend your response.



← Back
Reset
Next →


If the information is correct and you select the 'Next' button you will be directed to the final page to submit your form (see point 11).

6. Age of patient making complaint

For **new complaints** only, enter the number of complaints received by the age of patients by or on behalf of whom the complaint is made. Only positive whole numbers should be entered. Any age category left blank will be counted as a zero (0) response.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017




Age of patient making complaint

For the number of **new complaints** received during the reporting period please enter the breakdown of the age of patients by or on behalf of whom the complaint is made.

- **The total number of complaints by age must equal the total number of new complaints received (5).**
- If no complaints have been received within a category leave the appropriate box blank.
- Total complaints by age is calculated automatically please check that this matches your total.

	Number of complaints
Age 0-5	<input type="text"/>
Age 6-17	<input type="text"/>
Age 18-25	<input type="text"/>
Age 26-55	<input type="text"/>
Age 56-64	<input type="text"/>
Age 65-74	<input type="text"/>
Age 75 and over	<input type="text"/>
Age unknown	<input type="text"/>
Total complaints by age	<input type="text"/> Must equal 5.



← Back
↺ Reset
Save
Next →

The Total complaints by age box will be completed automatically. Make sure the sum of the

individual boxes matches your total of complaints by patient age.

NOTE: The Total complaints by age box must also equal the total number of new complaints received in 2016/17 as in Step 3 or you will be unable to continue.


Once you have completed this page select the 'Next' button to continue.

7. Status of person making complaint

For **new complaints** only, enter the breakdown of complaints received by who the complaint is made by (the complainant). Only positive whole numbers should be entered. Any complainant category left blank will be counted as a zero (0) response.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017




Status of person making complaint

For the number of **new complaints** received during the reporting period please enter the breakdown of who the complaint is made by (the complainant).

- The total number of complainants must equal the total number of new complaints received (5).
- If no complaints have been received with a category leave the appropriate box blank.
- Total complainants is calculated automatically please check that this matches your total.

	Number of complainants
Patient	<input style="width: 60px;" type="text"/>
Parent	<input style="width: 60px;" type="text"/>
Guardian	<input style="width: 60px;" type="text"/>
Carer	<input style="width: 60px;" type="text"/>
Other	<input style="width: 60px;" type="text"/>
Total complainants	<input style="width: 60px;" type="text"/> Must equal 5.



← Back
↺ Reset
💾 Save
Next →

The Total complainants box will be completed automatically. Make sure the sum of the individual boxes matches your total of complaints by complainant.

NOTE: The Total complainants box must also equal the total number of new complaints received in 2016/17 as in Step 3 or you will be unable to continue.

Once you have completed this page select the 'Next' button to continue.

8. Number of complaints by service area

For **new complaints** only, enter the breakdown of complaints received by the service areas. Only positive whole numbers should be entered. Any service area category left blank will be counted as a zero (0) response.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



Service area of complaint

For the number of **new complaints** received during the reporting period please enter the service area(s) of the complaints.

- A complaint can be made concerning more than one service area. Where this has occurred, record a complaint under each service area contained within the complaint letter received. **Therefore the total number of complaints received by service area must be greater than or equal to the total number of new complaints received (5).**
- If no complaints have been received within a category leave the appropriate box blank.
- Total complaints by service area is calculated automatically please check that this matches your total.

	Number of complaints
Dental surgery	<input type="text"/>
GP surgery	<input type="text"/>
Health centre/clinic	<input type="text"/>
NHS 111	<input type="text"/>
Patient's home	<input type="text"/>
Prison, detention or similar	<input type="text"/>
Residential/care home	<input type="text"/>
Other community setting	<input type="text"/>
Total complaints by service area	<input type="text"/> Minimum of 5.

The Total complaints by service area box will be completed automatically. Make sure the sum of the individual boxes matches your total of complaints by service area.

NOTE: A complaint can be made concerning more than one service area. Where this has occurred, record a complaint under each service area contained within the written complaint received. Therefore the Total complaints by service area box must be equal to or greater than the total number of new complaints received in 2016/17 as in Step 3 or you will be unable to continue.

Once you have completed this page select the 'Next' button to continue

9. Subject of complaint

For **new complaints** only, enter the breakdown of complaints received by the subject areas. Only positive whole numbers should be entered. Any subject area category left blank will be counted as a zero (0) response.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



Subject of complaint

For the number of **new complaints** received during the reporting period please enter the subject(s) of the complaints.

- A complaint can be made concerning more than one subject area. Where this has occurred, record a complaint under each subject area contained within the complaint letter received. **Therefore the total number of complaints received by subject must be greater than or equal to the total number of new complaints received (5).**
- If no complaints have been received within a category leave the appropriate box blank.
- Total complaints by subject is calculated automatically please check that this matches your total.

	Number of complaints
Anaesthesia	<input type="text"/>
Appointment (obtaining including use of 0844 number)	<input type="text"/>
Appointment availability/length	<input type="text"/>
Care planning	<input type="text"/>
Charging/costs	<input type="text"/>
Clinical treatment (including errors)	<input type="text"/>
Communications	<input type="text"/>
Confidentiality (breach etc.)	<input type="text"/>
Consent to treatment	<input type="text"/>
Delay in diagnosis	<input type="text"/>
Delay in failure to refer	<input type="text"/>
Disability issues (access etc.)	<input type="text"/>
End of life care	<input type="text"/>
Equipment (quality)	<input type="text"/>
Failure to diagnose	<input type="text"/>
Follow-up care	<input type="text"/>
Hygiene (equipment)	<input type="text"/>
Hygiene (hand etc.)	<input type="text"/>
Inaccurate/incorrect records	<input type="text"/>
Loss of records	<input type="text"/>
Loss of/failure to send sample	<input type="text"/>
Misdiagnosis	<input type="text"/>
Out of hours and other 'remote' service provision	<input type="text"/>
Practice management	<input type="text"/>
Premises (including cleanliness, condition)	<input type="text"/>
Prescribing error	<input type="text"/>
Prescription issues	<input type="text"/>
Privacy and dignity	<input type="text"/>
Refusal to allow access to records	<input type="text"/>
Refusal to prescribe	<input type="text"/>
Refusal to refer	<input type="text"/>
Refusal to visit	<input type="text"/>
Removal from list	<input type="text"/>
Repeat prescription process	<input type="text"/>
Staff attitude/behaviour/values	<input type="text"/>
Surgery hours	<input type="text"/>
Treatment not available	<input type="text"/>
Waiting time for appointment	<input type="text"/>
Total complaints by subject	<input type="text"/> Minimum of 5.

The Total complaints by subject box will be completed automatically. Make sure the sum of the individual boxes matches your total of complaints by subject.

NOTE: A complaint can be made concerning more than one subject area. Where this has occurred, record a complaint under each subject area contained within the written complaint received. Therefore the Total complaints by subject box must be equal to or greater than the total number of new complaints received in 2016/17 as in Step 3 or you will be unable to continue.


Once you have completed this page select the 'Next' button to continue

10. About who the complaint was made

For **new complaints** only, enter the breakdown of complaints received by the staff group about who the complaint was made. Only positive whole numbers should be entered. Any staff group category left blank will be counted as a zero (0) response.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017




About who the complaint was made

For the number of **new complaints** received during the reporting period please enter the staff group about who the complaint was made.

- A complaint can be made concerning more than one staff group. Where this has occurred, record a complaint under each staff group concerned. **Therefore the total number of complaints by staff group must be greater than or equal to the total number of new complaints received (5).**
- If no complaints have been received within a category leave the appropriate box blank.
- Total complaints by staff group is calculated automatically please check that this matches your total.

	Number of complaints
Admin staff including receptionist	<input type="text"/>
Healthcare assistant	<input type="text"/>
Locum practitioner	<input type="text"/>
Other care professional	<input type="text"/>
Pharmacist	<input type="text"/>
Podiatrist	<input type="text"/>
Practice manager	<input type="text"/>
Practice nurse	<input type="text"/>
Practitioner	<input type="text"/>
Therapist	<input type="text"/>
Total complaints by staff group	<input type="text"/> Minimum of 5.



← Back
↺ Reset
💾 Save
Next →

The Total complaints by staff group box will be completed automatically. Make sure the sum of the individual boxes matches your total of complaints by staff group.

NOTE: A complaint can be made concerning more than one staff group. Where this has occurred, record a complaint under each staff group contained within the written complaint received. Therefore the Total complaints by staff group box must be equal to or greater than the total number of new complaints received in 2016/17 as in Step 3 or you will be

unable to continue.


Once you have completed this page select the 'Next' button to continue.

11. No new complaints received?

If you have had no written complaints within the year and Total new in 2016/17 is entered as zero (0), you will be asked to confirm your response.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



No new complaints received?

You have stated that you have not received any new complaints during the reporting period 1 April 2016 to 31 March 2017 for contract 111111/1111.

- If this is correct click the next button.
- If you have received any new complaints click the Back button and amend your response.

← Back

↺ Reset

💾 Save

Next →


If the information is correct select the 'Next' button to continue. You will be able to include additional information on your figures on the next page before submitting your form.

12. Additional information

If you want to include any additional information to explain your figures you can use the text box provided in this section. You should not include any information that would allow patients or other individuals to be identified.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



Additional information

If you would like to include any additional information on the figures provided, please use the box below. Do not enter any personally identifiable information (such as patient or practice staff names).

← Back

↺ Reset

💾 Save

Next →

Once you have completed this page select the 'Next' button to continue.

13. Submit your completed form


The final page asks you to confirm the information you have entered in your form, you should review the entries on the previous pages.

Before you submit the form you will have the option to provide an additional email address to receive confirmation of your submission. Select 'Yes' and provide a valid email address to take up this option.

NOTE: A confirmation email will automatically be sent to the same email address your invitation was sent to when you submit your return.

KO41b - Dental Written Complaints Collection

April 2016 to March 2017



Submit

After submitting, a confirmation email summarising details of your return will be automatically sent to the email address the invite was sent to.

Would you like the confirmation message to be sent to another email address as well?

☐ Yes
☐ No

(You should receive an email confirming your return has been submitted within 2 hours)

By submitting this form you are confirming that it is complete, accurate and contains no data that allows patients or other individuals to be identified. Inclusion of personal data may constitute a breach of the Data Protection Act and/or duties of confidence owed to the individual.

You need to complete a KO41b return for each of the NHS Dental Contracts you hold, if you have other contracts you should have received access details via email. If you have not please email NHSBSA.DentalKO41bReturn@nhs.net, include the contract number and practice name and address in your message.

Please press the submit button to complete the return.

← Back

↺ Reset

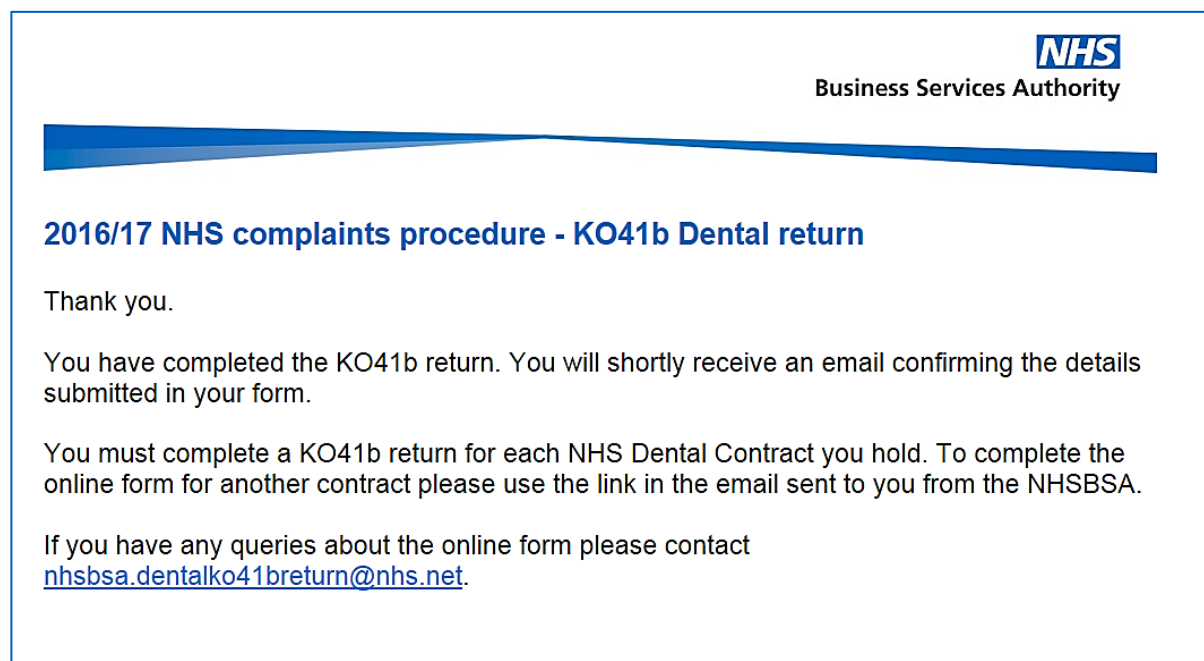
💾 Save

Submit ✓

Select 'Submit' to complete the form and submit the information for this contract.

14. Submit your completed form

Once submitted you should see the following thank you message.



You should receive your confirmation email with a summary of your return within 2 hours. If you don't receive your confirmation it may have gone to your email junk or spam folder.

You must complete a KO41b return for each NHS Dental Contract you held between the dates of 1 April 2016 and 31 March 2017. To complete the online form for another contract please use the custom hyperlink(s) in the email(s) sent to you from the NHSBSA.

NHS Digital data download

Shortly after the deadline NHS Digital will download the information which will be published in September 2017 (for more information on publication dates please see NHS Digital's publication calendar [here](#)).

Contacts

The online form is available by following the link in the email sent to you from the NHSBSA using SNAP surveys.

If you have any problems with the online form please contact the NHSBSA at NHSBSA.DentalKO41bReturn@nhs.net

This guidance is available online here <http://content.digital.nhs.uk/datacollections/ko41b>

For queries on definitions regarding complaints, please contact nhs.comp@nhs.net