

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

Published May 2017

Information and technology
for better health and care

Contents

Background	3
Completing the return	3
General guidance	3
Submission of data to NHS England online web tool	5
NHS Digital data download	19
Contacts	19

Background

The information obtained from the KO41b collection monitors written General Practice (including Dental) complaints 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](#)

The KO41b complaints collection is split into two areas, Dental and GP. The NHS Business Services Authority (BSA) will be collecting data from Dental practices using a purpose built web tool and NHS England will collect data from the GP practices using the Primary Care Web Tool (PCWT).

This guidance is specifically aimed at the GP collection and includes guidance on how to access the web tool. The data will then be supplied to NHS Digital for analysis. The final results will be published in September.

The survey should not take long to complete. If you have any issues please see the links below:

- If you are unable to view the K041b module and wish to request access to complete the K041b please contact your NHS England regional team. For all general enquiries regarding the primary care web tool please email info.primarycareweb@nhs.net .

for queries regarding definitions please email nhs.comp@nhs.net

Completing the return

General guidance

- 1) The KO41b should be completed with numbers of written complaints about GP services made by, or on behalf of, patients in the period 1st April to 31st 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- 2) For the purposes of this return a written complaint is one that is made in writing to any member of staff, or is originally made orally and subsequently recorded in writing.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 and counted 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 it should record it.
- 6) If the organisation investigates a complaint made about another organisation, the complaint should be recorded by the organisation being complained about and not the organisation conducting the investigation.

DO NOT INCLUDE investigations instigated by outside agencies, for example the Police, Health Service Commissioner or Coroners Court.

- 7) 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.
- 8) Returns on the total number of written complaints against pharmacists and opticians are not required.
- 9) Complaints regarding GP Out of Hours Services
- 10) Complaints received regarding GP practices that provide out of Hours services (OOHs) under the new General Medical Services (GMS) contract should be recorded on the KO41b return.
- 11) Where CCGs directly employ doctors (or others) to provide OOHs then these complaints should be recorded on the KO41a so do not need to be included on the KO41b.

Further information on the current NHS complaints procedures can be obtained from the Department of Health Website:

<https://www.gov.uk/government/organisations/department-of-health/about/complaints-procedure>

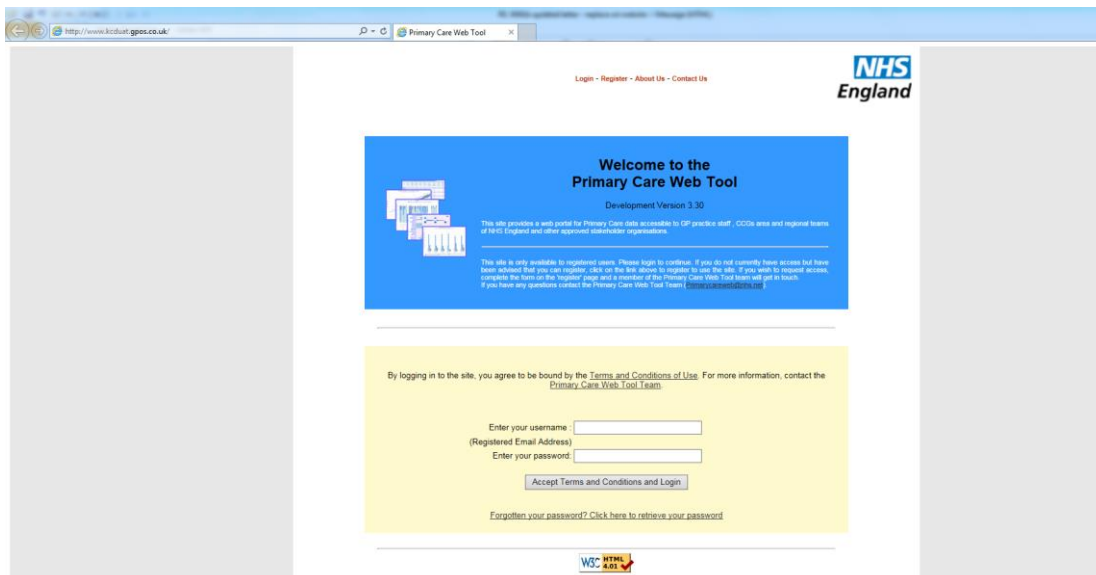
Submission of data to NHS England online web tool

Follow the link below and carefully answer all the questions.

<http://www.primarycare.nhs.uk/>

Page 1:

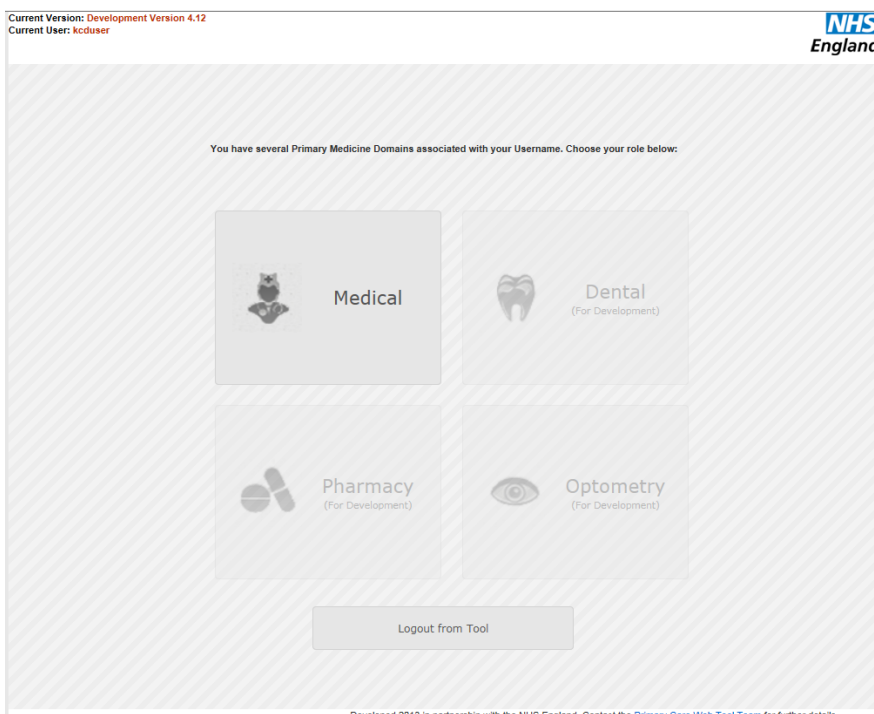
Log into the NHS England KO41b complaints with your login ID & password – then click on “Accept terms and conditions and login” button.



This takes you to:

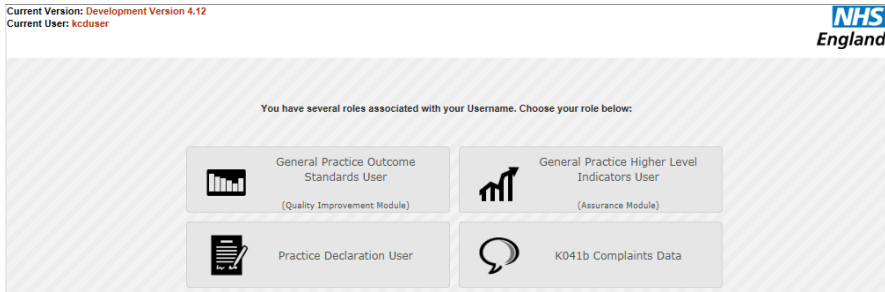
Page 2.

Select the Medical button



Page 3:

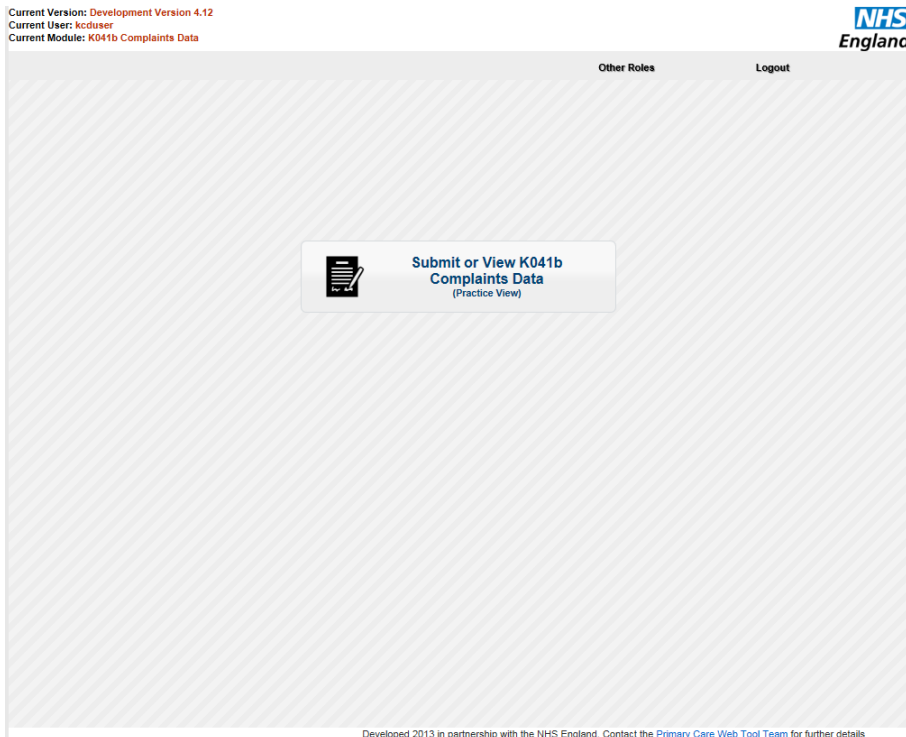
Click on the “KO41b Complaints Data” button



NB. If you cannot see the K041b complaints data button it means the user account you are logging into the website with does not have the required access, please contact your NHS England regional team to request access to complete the practice K041b return.

Page 4:

Click on the “Submit or View KO41b Complaints Data” button

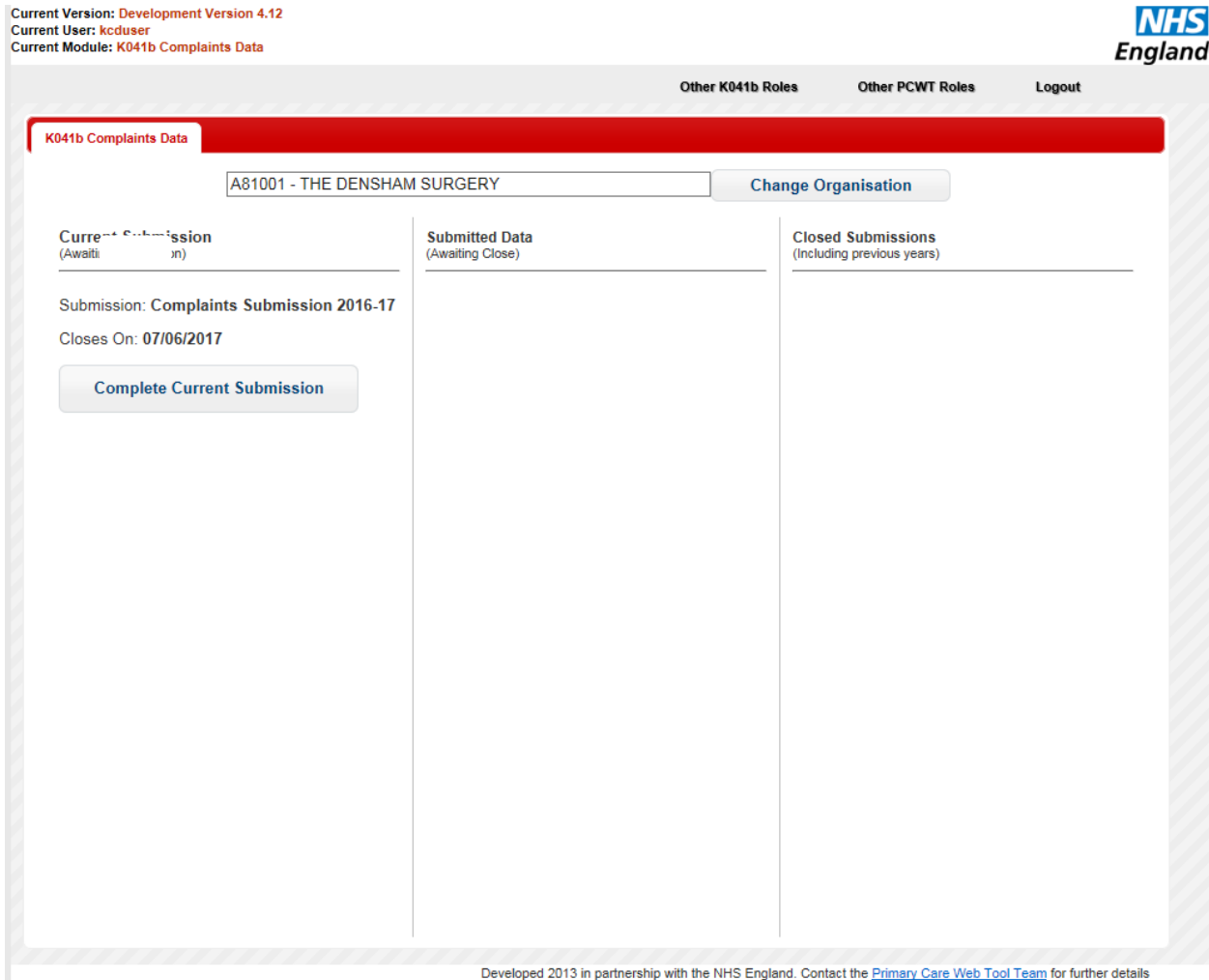


Page 5:

Note this page will display only for those providing a return for more than one practice (others will be directed to page 6).

Choose your organisation in the top box (click on “Change organisation” button to change selection).

Then click on “Complete Current submission” button



Page 6: This is where you enter the data and is split into 10 parts;

- Introduction - general introduction to the complaints collection
- Overview - records total number of complaints
- Demographics - number of complainants by age group
- Complainant - status of complainant
- Service Area - service area that a complaint relates to
- Subject Area (i) - service area that a complaint relates to
- Subject Area (ii) - service area that a complaint relates to
- Staff Group - staff group that a complaint relates to
- Comments (as necessary)
- Submit data

Introduction tab: The first page is an introductory page with some background information and a link to this guidance

Choose to enter data “Click here to enter data” button to continue or you can choose the return to practice overview button which takes you back to the previous page

To Move on to the next section each time click on the next tab along or click on the right hand ‘Go to...’ button at the bottom

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: KO41b Complaints Data

NHS England

Other KO41b Roles Other PCWT Roles Logout

Introduction Overview Demographics Complainant Service Area Subject Area (i) Subject Area (ii) Staff Group Comments Submit Data

Complaints Data for A81001 - THE DENSHAM SURGERY

Data on Written Complaints
KO41 b, Family Health Services (GP practices)

The annual data collection is a count of written complaints made by (or on behalf of) patients, received between 1st April and 31st March the following year. These data sets relate to the complaints arrangements introduced in April 2009. This data is published annually in late summer by the Health and Social Care Information Centre.

There are currently two areas collected in respect of NHS written complaints:

- Hospital and Community Health Services (HCHS) collected via KO41 a;
- Family Health Services (GP including dental) (FHS) collected via KO41 b.

This submission relates specifically to KO41b GP practice services. KO41a (HCHS) and KO41b Dental services are collected separately elsewhere. Please note this submission is per 'organisation' as referenced against the practice organisation code. If a GP practice has a main surgery and several branch practices (who all operate under the same organisation code), then the submission is a sum total of all complaints for all practices who are part of the same organisation.

[Click here for guidance on completing the KO41b Collection](#)

Return to Practice Overview Click here to Enter Data

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Overview tab:

If your organisation has no complaints over the relevant period then just click on the top “Click here” button.

This will populate all of the cells, in every tab, as zero and you will get a message telling you that you are about to enter a zero number of complaints, click continue if you are happy with this (or return if you need to enter a number of complaints)

If your organisation does have a number of complaints please enter your complaint numbers in the relevant boxes, (hover over the “?” beside each title to see a brief description of each field).

New complaints – this is the total number of new complaints received over the period.

Complaints brought forward – enter the number of complaints brought forward from the previous period

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.

Total complaints will automatically be calculated. Only positive integer numbers should be entered.

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: K041b Complaints Data

**NHS
England**

Other K041b Roles Other PCWT Roles Logout

Introduction Overview **Age of Patient** Complainant Service Area Subject Area (i) Subject Area (ii) Staff Group Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 1 - Written Complaints by Practice Details and Summary Information

Description	Total Number of Complaints
Practice Name	THE DENSHAM SURGERY
Practice Code	A81001
New Complaints	<input type="text" value="0"/>
<input checked="" type="checkbox"/> Complaints Brought Forward	<input type="text" value="0"/>
<input checked="" type="checkbox"/> Number Upheld	<input type="text" value="0"/>
<input checked="" type="checkbox"/> Number Partially Upheld	<input type="text" value="0"/>
<input checked="" type="checkbox"/> Number Not Upheld	<input type="text" value="0"/>
Total Resolved	<input type="text" value="0"/>
Total Carried Forward	<input type="text" value="0"/>

The total number of Resolved Complaints must not be more than the number of New Complaints plus the number of Complaints Brought Forward.

[Return to Practice Overview](#) [Go to Introduction](#) [Go to Age of Patient](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Demographics tab: Enter the number of complainants in each age group (hover over the “?” beside each title to see a brief description of each field). The total must equal the number of New Complaints in the Overview section

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: K041b Complaints Data

NHS England

Other K041b Roles Other PCWT Roles Logout

Introduction Overview **Age of Patient** Complainant Service Area Subject Area (i) Subject Area (ii) Staff Group Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 2 - Age of patient by or on behalf of whom the complaint is made

Description	Total Number of Complaints
Age 0-5	<input type="text" value="0"/>
Age 6-17	<input type="text" value="0"/>
Age 18-25	<input type="text" value="0"/>
Age 26-55	<input type="text" value="0"/>
Age 56-64	<input type="text" value="0"/>
Age 65-74	<input type="text" value="0"/>
Age 75 and over	<input type="text" value="0"/>
Age Unknown	<input type="text" value="0"/>
Total all ages	<input type="text" value="0"/>

[Return to Practice Overview](#) [Go to Overview](#) [Go to Complainant](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Complainant tab: Enter the number of new complainants in each complainant type group (hover over the “?” beside each title to see a brief description of each field). The total must equal the number of New Complaints in the Overview section

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: KO41b Complaints Data

NHS
England

Other KO41b Roles Other PCWT Roles Logout

Introduction Overview Age of Patient **Complainant** Service Area Subject Area (i) Subject Area (ii) Staff Group Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 3 - Complainant

Description	Total Number of Complaints
Patient	<input type="text" value="0"/>
Parent	<input type="text" value="0"/>
Guardian	<input type="text" value="0"/>
Carer	<input type="text" value="0"/>
Other	<input type="text" value="0"/>
Total	<input type="text" value="0"/>

[Return to Practice Overview](#) [Go to Age of Patient](#) [Go to Service Area](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Service Area tab: Enter the number of new complaints relating to Service Area (hover over the “?” beside each title to see a brief description of each field).

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 complaint letter received. Therefore the complaints service area total should be equal to or greater than the total new complaints in the Overview section.

Current Version: **Development Version 4.12**
 Current User: **kcduser**
 Current Module: **K041b Complaints Data**

NHS England

Other K041b Roles Other PCWT Roles Logout

Introduction Overview Age of Patient Complainant Service Area Subject Area (i) Subject Area (ii) Staff Group Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 4 - Service Area

Description	Total Number of Complaints
Dental Surgery	0
GP Surgery	0
Health Centre/Clinic	0
NHS 111	0
Patient's Home	0
Prison, Detention or similar	0
Residential/Care Home	0
Other Community Setting	0
Total	0

[Return to Practice Overview](#) [Go to Complainant](#) [Go to Subject Area \(i\)](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Subject Area (i) tab: Enter the number of new complaints relating to each Subject Area (hover over the “?” beside each title to see a brief description of each field).

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 complaint letter received. Therefore the complaints subject area total should be equal to or greater than the total new complaints in the Overview section.

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: KO41b Complaints Data

NHS
England

Other KO41b Roles Other PCWT Roles Logout

Introduction Overview Age of Patient Complainant Service Area **Subject Area (i)** Subject Area (ii) Staff Group Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 5 - Subject Area

Description	Total No. of Complaints	Description	Total No. of Complaints
Anaesthesia	<input type="text" value="0"/>	Appointment	<input type="text" value="0"/>
Appointment Availability/Length	<input type="text" value="0"/>	Care Planning	<input type="text" value="0"/>
Charging/ Costs	<input type="text" value="0"/>	Clinical Treatment (inc Errors)	<input type="text" value="0"/>
Communications	<input type="text" value="0"/>	Confidentiality (Breach etc.)	<input type="text" value="0"/>
Consent to Treatment	<input type="text" value="0"/>	Delay in Diagnosis	<input type="text" value="0"/>
Delay in Failure to Refer	<input type="text" value="0"/>	Disability Issues (Access etc)	<input type="text" value="0"/>
End of Life Care	<input type="text" value="0"/>	Equipment (Quality)	<input type="text" value="0"/>
Failure to Diagnose	<input type="text" value="0"/>	Follow-up Care	<input type="text" value="0"/>
Hygiene (Equipment)	<input type="text" value="0"/>	Hygiene (Hand etc.)	<input type="text" value="0"/>
Inaccurate/Incorrect Records	<input type="text" value="0"/>		

Total for Subject Area (including (i) and (ii))

[Return to Practice Overview](#) [Go to Service Area](#) [Go to Subject Area \(ii\)](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Subject Area (ii) tab: Enter the number of new complaints relating to each Subject Area (hover over the “?” beside each title to see a brief description of each field).

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 complaint letter received. Therefore the complaints subject area total should be equal to or greater than the total new complaints in the Overview section.

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: K041b Complaints Data

NHS England

Other K041b Roles Other PCWT Roles Logout

Introduction Overview Age of Patient Complainant Service Area Subject Area (i) **Subject Area (ii)** Staff Group Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 5 -Subject Area

Description	Total No. of Complaints	Description	Total No. of Complaints
Loss of Records	0	Loss of/Failure to Send Sample	0
Misdiagnosis	0	Out of Hours/ Remote service Provision	0
Practice Management	0	Premises (inc. Cleanliness, Condition)	0
Prescribing Error	0	Prescription Issues	0
Privacy and dignity	0	Refusal to Allow Access to Records	0
Refusal to Prescribe	0	Refusal to Refer	0
Refusal to Visit	0	Removal from List	0
Repeat Prescription Process	0	Staff Attitude/Behaviour/Values	0
Surgery Hours	0	Treatment Not Available	0
Waiting Time for Appointment	0		

Total for Subject Area (including (i) and (ii))

[Return to Practice Overview](#) [Go to Subject Area \(i\)](#) [Go to Staff Group](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

Staff Group tab: Enter the number of new complaints relating to each Staff Group (hover over the “?” beside each title to see a brief description of each field).

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 complaint letter received. Therefore the complaints staff group total should be equal to or greater than the total new complaints in the Overview section.

Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: K041b Complaints Data

NHS England

Other K041b Roles Other PCWT Roles Logout

Introduction Overview **Age of Patient** Complainant Service Area Subject Area (i) Subject Area (ii) **Staff Group** Comments Submit Data

Complaints Data for A81001-THE DENSHAM SURGERY

If your practice has received no complaints in the period 1st April 2016 to 31st March 2017 [Click Here](#)

PART 6 - Staff Group

Description	Total Number of Complaints
Admin Staff inc Receptionist	0
Healthcare Assistant	0
Locum Practitioner	0
Other / No staff involved	0
Pharmacist	0
Podiatrist	0
Practice Manager	0
Practice Nurse	0
Practitioner	0
Therapist	0
Total	0

[Return to Practice Overview](#) [Go to Subject Area \(ii\)](#) [Go to Comments](#)

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

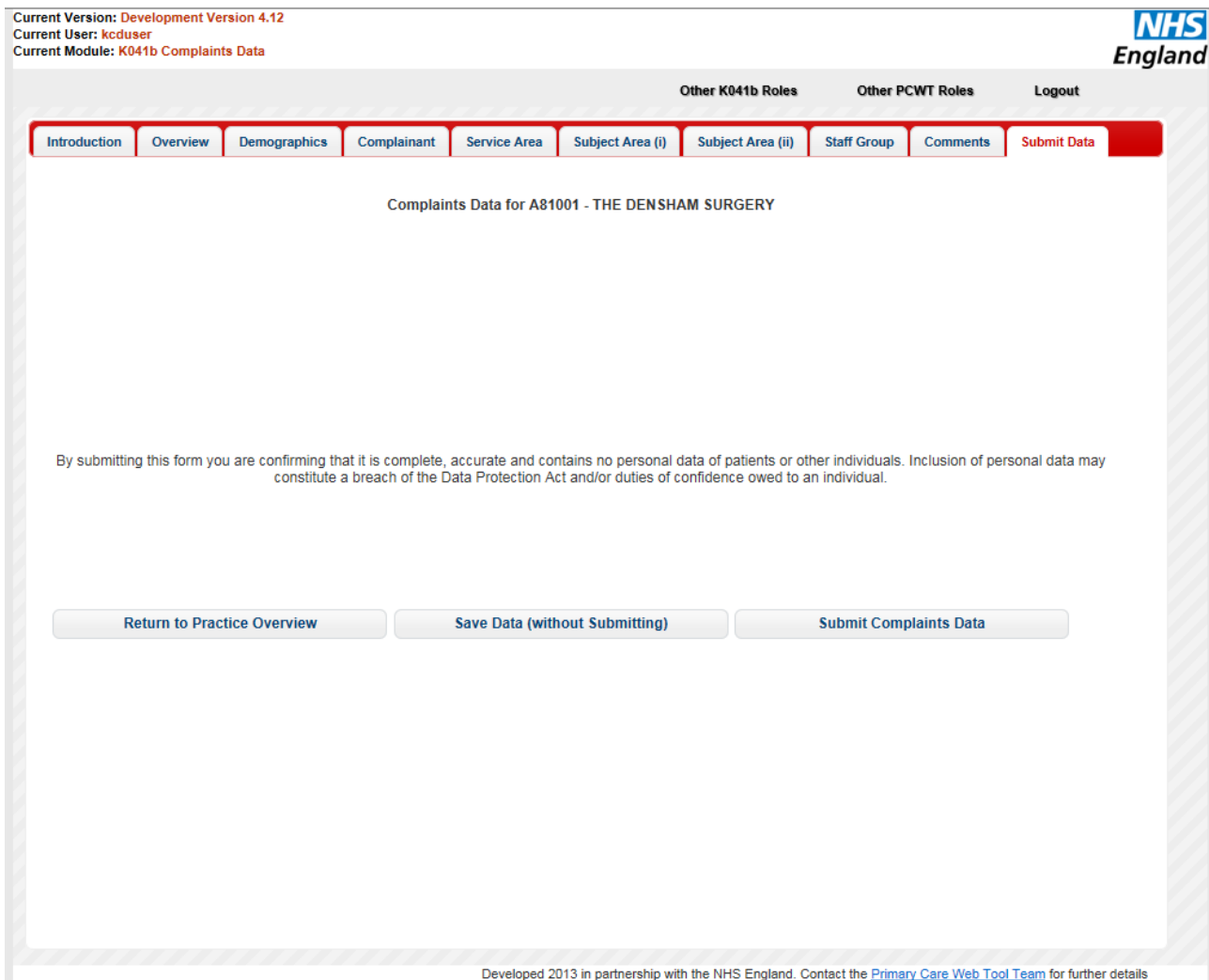
Comments tab: It is not necessary to enter anything into the comments box however if there are any issues you wish to highlight then please enter these here.

The screenshot shows the 'Comments' tab of the 'KO41b Complaints Data' system. At the top left, it displays: 'Current Version: Development Version 4.12', 'Current User: kcduser', and 'Current Module: KO41b Complaints Data'. The NHS England logo is in the top right. A navigation bar contains tabs: 'Introduction', 'Overview', 'Demographics', 'Complainant', 'Service Area', 'Subject Area (i)', 'Subject Area (ii)', 'Staff Group', 'Comments' (highlighted), and 'Submit Data'. Below the tabs, the page title is 'Complaints Data for A81001 - THE DENSHAM SURGERY'. A warning message reads: 'Practices are reminded that no personal information should be included in this section which would identify any patients, members of staff or third parties.' A large text area contains the comment: 'it was perfect - no complaints'. At the bottom, there are three buttons: 'Return to Practice Overview', 'Go to Staff Group', and 'Save or Submit Data'. A footer note states: 'Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details'.

Submit Data tab:

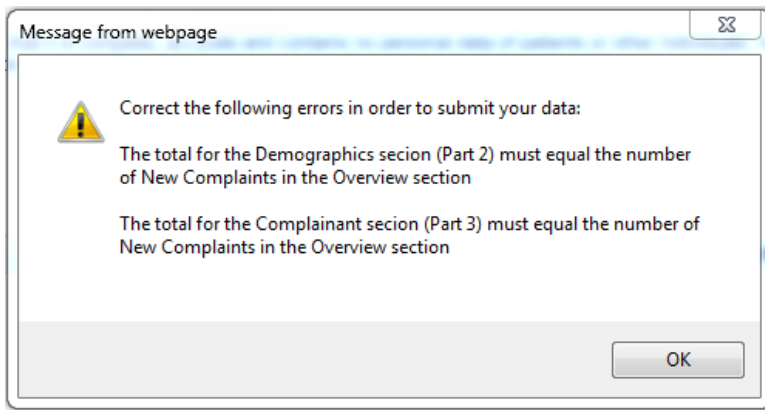
Once you have selected the save or submit tab you are taken to a page giving you 3 option buttons, please select the relevant one:

- i) Return to practice overview - this will lose any entered data unless you click on save data first (see next note)
- ii) Save Data (without submitting) – as described your data is saved but not submitted and will take you back to the Practice Overview tab (with data saved)
- iii) Submit complaints data – this will submit your data (note: data cannot be modified once you have submitted it unless you request this to be done)

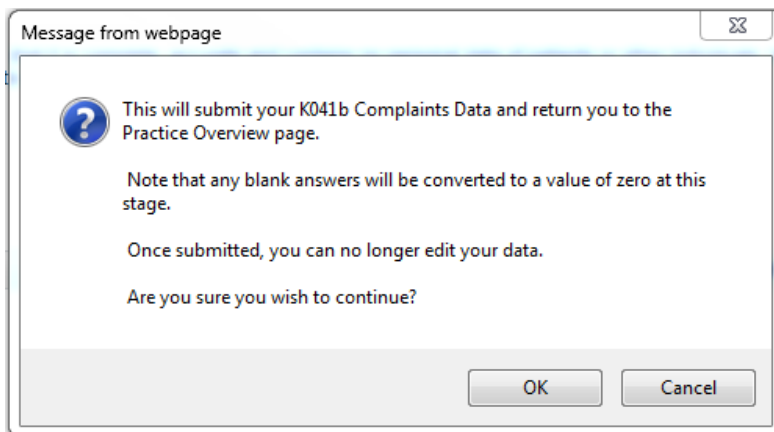


When you submit the data you will see one of the following pop up boxes

If your data contains any validation errors these will appear in a pop up box. Please make a note of these and correct the relevant tabs and resubmit.



If your data contains no validation errors



When you click ok you will see the following screen


Current Version: Development Version 4.12
 Current User: kcduser
 Current Module: K041b Complaints Data

**NHS
England**

Other K041b Roles Other PCWT Roles Logout

K041b Complaints Data

A81001 - THE DENSHAM SURGERY [Change Organisation](#)

Current Submission (Awaiting Submission)	Submitted Data (Awaiting Close)	Closed Submissions (Including previous years)
	Submission: Complaints Submission 2016-17 Submitted On: 5/8/2017 11:57:00 AM  Submission Certificate Request Submission ReOpen (If you re-open your Complaints Submission you will need to re-submit)	

Developed 2013 in partnership with the NHS England. Contact the [Primary Care Web Tool Team](#) for further details

You can now log out and we thank you for completing the complaints collection!

NHS Digital data download

Shortly after the deadline NHS Digital will download the information to prepare for publication, data will be published in September (for more information on publication dates please see the NHS Digital publication calendar [here](#)).

Contacts

The NHS England web tool is available here: <http://www.primarycare.nhs.uk/>

If you are unable to view the K041b module and wish to request access to complete the K041b please contact your NHS England regional team.

For all general enquiries on the primary care web tool please email info.primarycareweb@nhs.net.

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

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