

Annex A: The Data Capture Tool

To ensure the complaint handling was assessed consistently we designed a data capture tool which measured practices against *My expectations*:

1. Your organisation

- Care Quality Commission
 - NHS England
 - Parliamentary and Health Service Ombudsman
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2. Inspection number

3. Case Reference

4. What was the primary reason for the complaint?

5. Briefly describe what happened

6. What, if anything, could have been done differently in the way the complaint was handled (and why)? For example, could steps have been taken to resolve the complaint informally?

7. In what setting was the service being complained about provided?

- In the practice (reception area)
 - In the practice (consultation room)
 - Home visit
 - Out of hours
 - Other (please specify)
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8. Thinking about this case example, please provide the following information:

Who was the complaint about?

Who investigated the complaint?

Who responded to the complaint?

9. In your opinion, how serious was the nature of the complaint?

- Minor / less serious (e.g. no risk of clinical harm to patient)
 - Potentially serious / serious (e.g. risk of clinical harm to patient)
 - Very serious (e.g. clinical harm to patient)
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10. Please expand on your reasons for your selection above

11. What prompted the person to complain initially?

- Failure to treat
- Failure to refer
- Delay to refer
- Failure to diagnose
- Delay to diagnose
- Misdiagnosis
- Treatment plans and care plans
- Removal from register
- Confidentiality
- Access to services
- Staff attitude and/ or behaviour
- Other (specify)

12. Thinking about how the complaint was handled, how would you rate performance against the following:

	Good	Requires Improvement	Inadequate	Not applicable
Taken seriously				
Timely response				
Adequate explanation				
Factual accuracy				
Covered all issues				
Tone of response was appropriate				
Outcome shared in an empathetic manner				
Appropriate acknowledgement of mistakes				
Appropriate apology				
Appropriate financial remedy				
Appropriate personal remedy				
Appropriate remedy to prevent the same thing happening again arose as a result of complaint				
The practice was acting in accordance with law and guidance				

13. Overall, how would you rate the complaint handling for this case?

- Outstanding
 - Good
 - Requires improvement
 - Inadequate
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14. Please expand on your reasons for your selection above, if anything particularly stood out, please explain what

15. Is there any evidence that the complainant was unhappy with the way their complaint was handled?

- Yes – before a written complaint was filed, if there was an informal attempt at resolution
 - Yes – after the written complaint was filed, during the investigation
 - Yes – after a formal response was provided by the practice
 - No
 - Not possible to tell with information available
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16. If there is anything you would like to elaborate upon, please do so below:

17. Would you select this example as a case study for inclusion in the review?

- Yes – it is an example of good practice
 - Yes – it is an example of poor practice
 - No
 - Other (specify)
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18. Is there any other good or bad noteworthy complaints handling practice that we should be aware of contained within this example?

19. It is important that complaints systems take into account the needs of service users. Based on the information in the case, how would you rate the complaint handling against the following *My Expectations* measures?

	Good	Requires Improvement	Inadequate	Not applicable
The complainant would have felt confident making a complaint				
The complaint process was simple and user friendly				
The complainant was kept informed at appropriate times and would have felt listen to and understood				
The organisation learned from the complaint and took appropriate action				
The complainant would feel confident to complain again				

20. Optional Question

Do you have any other comments?