

Complaints Management Workbook

Step by step guide to running complaints management key performance indicators

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1. Introduction

Following consultation with Area Health Services (AHS) in early 2008 regarding the Complaints Management Key Performance Indicators (KPIs), it was agreed that the complaints KPIs do not form part of the 2008/09 AHS Performance Agreements. They are process measures that will be monitored by the Quality and Safety Branch and will continue to be reported within the monthly Finance Risk and Performance Management Committee report. In order to report these KPI consistently across the health system, a well defined methodology and use of a single tool is continue to be used, so that AHS and the Department of Health (DoH) can be confident that complaints reports run at all levels of the health system are robust, reliable and replicable.

The existing Complaints Management Workbook has been revised to incorporate reports on the following complaints management KPIs:

1. Complaints acknowledged within 5 days
2. Complaints resolved within 35 days

This workbook rectifies several issues raised in relation to how the indicators have previously been calculated and ensures that calculation rules accord with the Complaints Management Policy. The workbook also provides a simplified functionality making it an easier tool for the end user.

The workbook is the agreed reporting tool for calculating complaint management KPIs by all AHS and DoH.


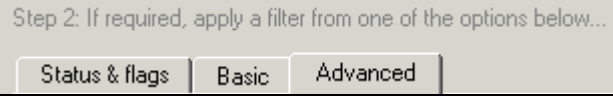
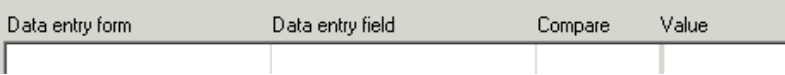
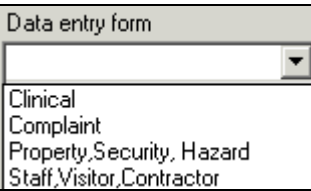

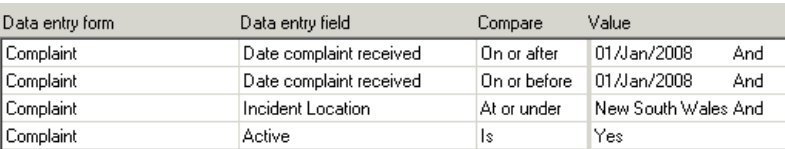
2. Extracting Complaints Data from the Incident Information Management System (IIMS)

Step 1. Logging In

To access the Data Manager module, select the Data Manager icon, click on the Log In button and enter in your username and password.

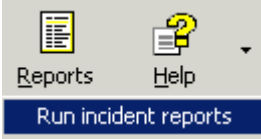
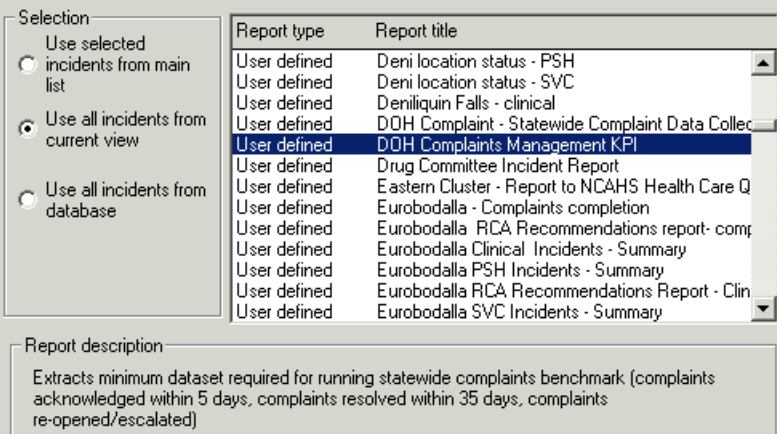

Step 2. Filtering the Data Manager Console

Prior to running a report and extracting data, it is necessary to filter and select incidents that need to be reported on.

Steps	Screen Capture
Select the View button. The Incident View window will display.	
Advanced Criteria - Select the Advanced tab.	
Data Entry Form - The fields must be completed in order from left to right	
Click in the white cell to activate the drop down box. Select the 'Complaint' option from the list.	
Data Entry Field - Clicking in the white cell for the data entry field will open a selection window. Use the + to expand options until the desired field has been selected.	
Value - Depending on the field selected in the data entry field column you will either need to write the value in (for dates) or select from the list (for locations). Click on 'Apply' to complete the requested search	
<i>Note: Run the extract on the time period that you desire, but it MUST be a minimum >35 days past the date complaint received for the period you are interested in.</i>	



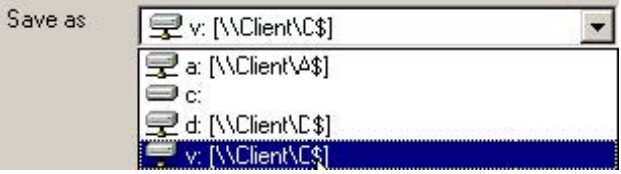
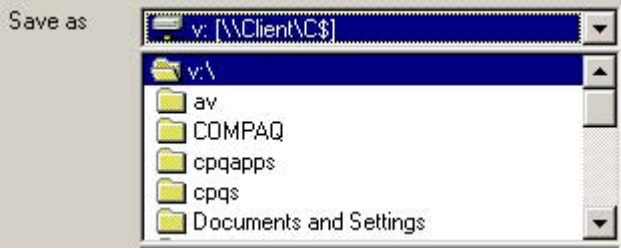

Step 3. Running a report within Data Manager

As the Data Manager console has been filtered with the required data, the information can now be extracted using a predefined Data Manager report.

Steps	Screen Capture
<p>Select the Reports button and click on Run Incidents Report.</p>	
<p>The Run Incident Reports window will open.</p> <p>The list on the right hand side contains all the reports you have access to. Highlight the report titled 'DOH Complaints Management KPI'. Ensure you have selected 'Use all incidents from current view'. This will extract the incidents you have filtered on your Data Manager console.</p>	
<p><i>Note: Please ensure you extract the data using the 'DOH Complaints Management KPI' report. This report contains the minimum datasets required to calculate the three complaints management key performance indicators</i></p>	
<p>To import the data into the Complaints Management Workbook, select the Export option. This will allow the report to be sent to your local hard drive in CSV format to be edited in Excel.</p>	

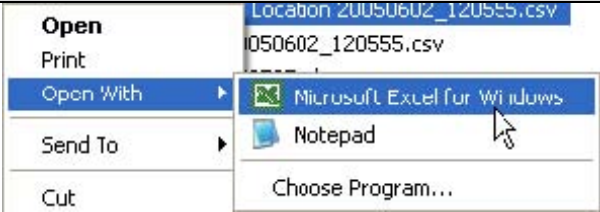
Step 4. Exporting data as a CSV file

When running a report the use of the **Export** button will save the report directly to your hard drive. The report can be saved in a number of different formats but in this case we will be focusing on using the **Comma Separated Values (CSV)** format. This format allows the user to copy data directly into the Complaints Management Workbook to calculate KPI results.

Steps	Screen Capture
When running a report select the Export button.	
Select Data: Comma-separated values (CSV) from the Export Format list.	
Select the relevant drive from the Save As list.	
Once you have selected your relevant drive , the folders of your local hard drive will become visible. Navigate through them by double-clicking to open a folder to find the location you wish to save the file.	
Select OK to export the file. This may take a few minutes depending on the number of incidents being exported.	
Once the file has been exported a message will appear displaying the report name and its location. You will be able to close IIMS and use Windows Explorer or My Computer to locate the file.	

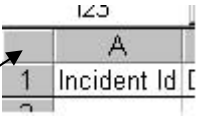
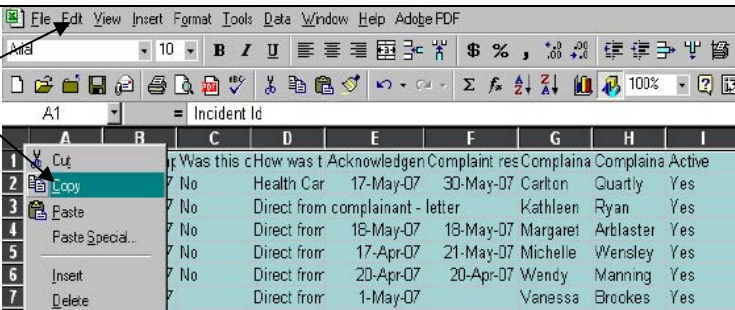
Step 5. Importing the CSV file into the Excel Workbook

Once the report has been exported from IIMS it will be available on your local hard drive. Locate the file by using either Windows Explorer or My Computer from your Desktop. You will need to navigate to the folder you selected to locate the file.

Step	Screen Capture
<p>Click on the file name with the right mouse button (depending on your mouse button configuration). From the menu that appears move the mouse over the Open With option. Select Microsoft Excel.</p> <p>The .CSV data extract will open into an Excel Worksheet.</p>	

Step 6. Copying the CSV file into the Complaints Management Workbook

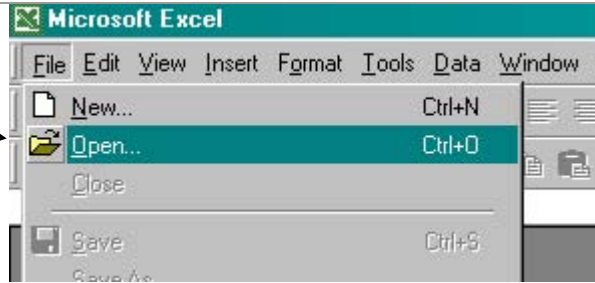
You now need to copy the entire contents of the worksheet and paste them into the Complaints Management Workbook.

Step	Screen Capture
<p>Highlight the entire contents of the worksheet by clicking on the shaded corner above row 1 and to the left of column A. The worksheet will turn blue.</p>	
<p>On the toolbar click on Edit Menu > Copy (or use short cut Control C)</p>	
<p>Note: You will require the Department of Health Complaints Management Workbook to be saved on your computer. The Workbook is available for download at the following location:</p> <p>http://www.health.nsw.gov.au/quality/complaints/resources.html</p>	

Open the Complaints Management Workbook.
 Open the On the **toolbar** click on File Menu and click **Open**.

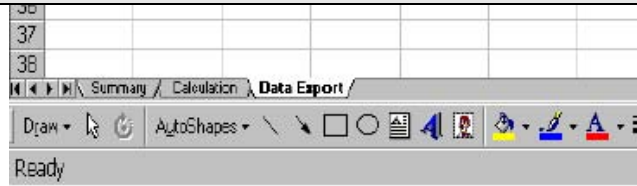
In the **Look in** list, click the drive, folder, or location that contains the workbook and then locate and double-click the folder that contains the workbook.

Double-click the workbook

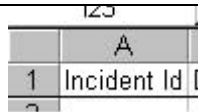


Note: Depending on the speed of your computer the workbook may take a short while to open

Open the **Data Export** worksheet. The names of the worksheets appear on tabs at the bottom of the workbook window. Click the tabs to move from sheet to sheet.

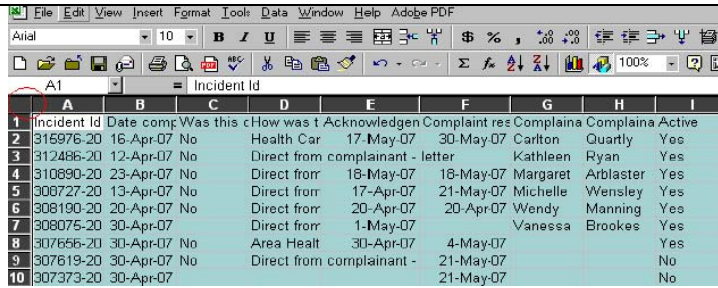


Highlight the entire contents of the worksheet by clicking on the shaded corner above row 1 and to the left of column A. The worksheet will turn blue.



On the **toolbar** click on **Edit Menu > Paste** (or use short cut Control V)

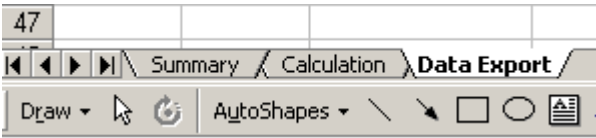
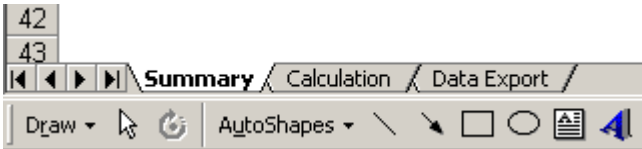
This will paste the .CSV data extract into the Complaints Management data export worksheet



Note: The Workbook will calculate only the first 3000 rows of data.

3. Department of Health Complaints Management Workbook

This section provides an overview of the Complaints Management Workbook that is used to calculate the Complaints Management KPIs.

Step	Screen Shot												
<p>The Workbook has three sheets. The Data export sheet is for the import of the .csv data extract exported from IIMS.</p>													
<p>The Calculations sheet contains formula and functions that performs operations on the imported data to calculate the results for the key performance indicators.</p>	<table border="1" data-bbox="646 783 1370 1020"> <thead> <tr> <th>Complainant first name</th> <th>Complainant last name</th> <th>Active</th> <th>Only exclude if HCCC, Minister of Health</th> <th>Is record in Reporting Date Range?</th> <th>Complete Name of Complainant</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Complainant first name	Complainant last name	Active	Only exclude if HCCC, Minister of Health	Is record in Reporting Date Range?	Complete Name of Complainant						
Complainant first name	Complainant last name	Active	Only exclude if HCCC, Minister of Health	Is record in Reporting Date Range?	Complete Name of Complainant								
<p><i>Note: The formula within each cell must not be amended</i></p>													
<p>The results are displayed in the Summary sheet.</p>													

Calculating Complaints Management KPIs using the Workbook

<p>Click on the Summary worksheet and select the 'from' and 'to' dates using the drop down box to display the results for this particular reporting period.</p>	<p>Select Start and End date for Reporting Period:</p> <p>Start Date =====> 1/03/2007 ▼</p> <p>End Date =====> 31/07/2007 ▼</p> <hr/>				
<p><i>Note: Time period is in monthly intervals only</i></p>					
<p>The results area of the worksheet displays the calculated percentage performance against the two indicators denoting with a cross or tick, whether the target was met. Note: a target for Re-opened/ Escalated Complaints has not been defined.</p>	<p>Percentage of complaints acknowledged in 5 calendar days</p> <p>0% Target 100% <input type="checkbox"/></p> <p>Percentage of complaints resolved within 35 calendar days</p> <p>0% Target 80% <input type="checkbox"/></p>				
<p><i>Note: Indicator performance is expressed as percentage by dividing the numerator by the denominator</i></p>					
<p>If the acknowledgement date or complaint resolution date entered by the notifier is prior to the date complaint received, the Workbook will treat this as an erroneous date and will omit the particular complaint from the calculations. The number of erroneous dates is noted in this section of the summary sheet.</p>	<p>Errors:</p> <table border="0"> <tr> <td>Acknowledgement date invalid</td> <td style="text-align: right;">3</td> </tr> <tr> <td>Complaint resolution date invalid</td> <td style="text-align: right;">3</td> </tr> </table>	Acknowledgement date invalid	3	Complaint resolution date invalid	3
Acknowledgement date invalid	3				
Complaint resolution date invalid	3				
<p><i>Note: All dates in IIMS are entered in the format dd/mm/yyyy. Occasionally a notifier may enter an invalid date e.g. 23/May/1007. Even though the data in the cell appears to be a date, Excel treats this as a text field. Excel compares the dates and determines the text 23/May/1007 is greater than the date value for 21 May 2007. It cannot perform a calculation of a text and value and gives the #VALUE! error.</i></p> <p><i>To rectify this problem, the worksheet will check if the dates specified in the worksheets is greater than 365 days from the selected date range and if true, will omit the complaint from the calculations.</i></p> <p><i>It is advised that dates in the export sheet are checked and any invalid dates amended. Erroneous dates can be revised by changing the relevant cell(s) in the Data Export sheet.</i></p>					

Calculation Rules for the Complaints Management Workbook

Indicator	Percentage of Complaints acknowledged in 5 calendar days
Definition:	The date an acknowledgement was conveyed to a complainant indicating their complaint had been received
Inclusions:	Active Complaints (Active=yes)
Exclusions:	Acknowledgement Date (is recorded) and < Date complaint received (i.e. Invalid date) 'Was the complaint a ministerial' = Yes 'How was complaint received' = Health Care Complaints Commission (HCCC) or = NSW Minister of Health
Numerator:	The number of complaints acknowledged within 5 calendar days and selected date range (Date of acknowledgement (Acknowledgement date) - Date of receipt (date complaint received) <= 5 days)
Denominator:	The total number of complaints received within the specified date range irrespective of whether an acknowledgement date has been entered
Indicator	Percentage of Complaints Resolved within 35 calendar days
Definition:	The date of resolution or closure of this complaint element and/or complaint. This is the date of the final interaction between the organisation handling the complaint and the complainant.
Inclusions:	Active Complaints (Active=yes)
Exclusions:	Completion date (is recorded) and < Date complaint received (i.e. Invalid date) 'Was the complaint a ministerial' = Yes 'How was complaint received' = Health Care Complaints Commission (HCCC) or = NSW Minister of Health
Numerator:	The number of complaints resolved/closed within 35 calendar days and selected date range
Denominator:	The total number of complaints resolved/closed within the specified date range irrespective of whether the complaint has a resolution date

4. Timeline for running Complaints Management KPIs

Reporting Period for Complaints Benchmark ¹	Date Report to be run ²
1/06/09 – 30/06/09	7 August 2009
1/07/09 – 31/07/09	8 September 2009
1/08/09 – 31/08/09	8 October 2009
1/09/09 – 30/09/09	9 November 2009
1/10/09 – 31/10/09	8 December 2009
1/11/09 – 30/11/09	9 January 2010
1/12/09 – 31/12/09	9 February 2010
1/01/10 – 31/01/10	9 March 2010
1/02/10 – 29/02/10	7 April 2010
1/03/10 – 31/03/10	7 May 2010
1/04/10 – 30/04/10	8 June 2010
1/05/10 – 30/05/10	7 July 2010

¹ Report is run at one month intervals. Previous months data will not be re-run, therefore it is critical that all resolved complaints must be closed off before the 'date report to be run' if they are to be included in the analysis.

² Report is run a minimum of 35 days after the last date in the reporting period. If there is any need to run the report prior to the date indicated, AHS will be advised. Data extraction from IIMS will occur on the morning of the given date.