

## Appendix B - Extracts and outcomes of complaint investigations

**Q2 - 01 July 2010 till 30 September 2010**

### STAGE 2 & 3 COMPLAINTS - for Adult and Children's Social Care Teams

SERVICE	TOPIC	OUTCOMES	CORRECTIVE ACTIONS
Adults	Communication	Efforts needed to be made in order to re-establish positive working relationship with service user and her mother after contact between the Service and family had broken down.	Positive working relationship has been achieved and intention is to positively build on this with care manger and team manager. Completed in Aug 10 but not previously reported.
Adults	Assessment	Community Care Assessment (CCA) not up-to-date.	The care manager to update the CCA - probably at around the three-month mark of service user's attendance in her placement. But new CCA undertaken due to change of primary carer. Completed in Aug 10 but not previously reported.
Adults	Complaints Handling	Historical aspect: Inappropriate reliance, in the circumstances, on complainant's written agreement for Stage 2 to be progressed. Repeated verbal agreement should have been sufficient in this case given the particular circumstances.	Financial redress of £500 offered in recognition of failings in the historical handling of the complaints. Complaints management has changed since 1.4.09 and the failure to assess complaint appropriately would not reoccur. Completed in Aug 10 but not previously reported.
Adults	Quality of service and decision making	Service performance was below par particularly re timeliness of work; consistent care management input; the emphasis placed on available resources; decisions lacking reasoned analysis or rationale when considering provision to be offered; and finally a reactive approach to offering alternative services.	Apology extended for this catalogue of events.  Redress payment to service user of £1000.  The administrative matters to be brought to the attention of the Adult Social Care Management. Completed in Aug 10 but not previously reported.
Adults	Planning	The Service has recognised that the needs of people with autism need to be planned for in a positive way. As a result of the strategy, the Service has been able to identify the specific group of people with autism coming through to transition. For the past two years work has then been undertaken to identify and develop potential provision within the County for this group.	County Council had developed an Autism strategy. Copy was sent to complainant – for info.  ,SCC is developing with a range of providers suitable accommodation and care options and have set up a team to help take this forward.  The department is also developing its commissioning expertise to ensure that plans continue to be in place on a 3-5 year basis. Completed in Aug 10 but not previously reported.

SERVICE	TOPIC	OUTCOMES	CORRECTIVE ACTIONS
Adults	Guidance Revision		Internal practice guidance has been reviewed (with assistance of legal advice) to ensure greater clarity and consistency regarding the authority's discretion re the backdating of funding for care. Redress payment of £500. Completion TBC.
Children's	Info / Communication revision	Service to add complainants opinion as in italics to the record	completed June 10, but not reported in previous quarter.
Children's	Communication / managing expectations	Team Manager has acknowledged that social worker's actions and lack of visit may have not been clearly explained to complainant.	Apology extended. completed June 10, but not reported in previous quarter.
Children's	Communication	System implemented whereby those on the waiting list receive a letter every 3 months to update them as regards the current status of the referral and to ask whether their circumstances have changed.	completed Jan 10, but not reported in previous quarter.
Children's	Referral process	The Contact Centre has also been reminded to take more care in accepting referrals or requests in writing. They have agreed to this and further to take more care in the completion of the OT referral form to minimise errors of this type recurring in the future.	completed 1 Jan 10, but not reported in previous quarter.
Children's	Local settlement	The Service is agreeable to the proposed local settlement of £2000.00 in acknowledgement of the accepted errors, delays and the time and trouble taken by the complainant in the pursuit of this matter.	completed Jul 10, but not reported in previous quarter.
Children's	Review of decision	The Service placed OT's recommendation, together with private OT report before the Disability Resource Panel for consideration and a final decision.	completed in March 10, but not reported in previous quarter.
Children's	Review of decision	The Service will review the matter of complainant's top up funding giving consideration to complainant's particular circumstances and the underlying reasons for his proposals.	completed in March 10, but not reported in previous quarter.
Children's	Child Interviews	Child interviewed at length and without formal breaks	Key workers to be reminded of need to ensure that child centred interviews are of appropriate length and that formal breaks are introduced and recorded. Completed 13.9.10.

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Children's	Communication	Advice given by the service deemed to be contradictory and unworkable	Staff to be reminded of need to be clear in communicating with families and to check understanding. Further staff to consult families as appropriate as regards content of contact agreements particularly as regards the practicalities of specific guidance contained therein. completed 13.9.10.
Children's	Statutory visits	Regularity of statutory visits not maintained due to staff absence	Managers to ensure that adequate cover provision is made to address periods of absence whether planned leave or otherwise. Much closer monitoring of statutory visits with regular weekly reports to remind managers and ensure compliance by teams. - completed June 10, but not reported in previous quarter.
Children's	Communication	Delays in distribution of minutes	Staff to be reminded of the need to ensure that minutes are an accurate reflection of the meetings / conferences and that these are circulated in a timely manner. This has also been discussed with Safeguarding to ensure that a better and more consistent distribution of minutes is in place. completed June 10, but not reported in previous quarter.
Children's	Communication	Case notes perceived to be inaccurate and misleading	Staff to be reminded of need to ensure records are accurate and true reflection of fact as distinguished from professional opinion. This is ongoing with the regular auditing of staff's files in
Children's	Communication	Poor communication with family during the ongoing CP enquiries	Staff to be reminded to maintain contact with families and updates provided as regards ongoing investigations even if only to state that there is no progress to report. Processes revised to ensure that families are informed with the relevant literature of the processes at a much earlier stage, so that they do not feel confused. completed June 10, but not reported in previous quarter.
Children's	Communication	Lack of explanation as regards changes in key workers	Where appropriate families to be informed of the reasons underpinning changes in key workers this has been well evidenced in the lengthy transfer of cases over the opening 3 months of the new structure (09/10). Social Workers are being very clear as to the team remit and ensuring children and carers are well informed of the need to transfer cases. ongoing
Children's	Communication	Response not received from key staff within the target response date	Customer relations team have updated the acknowledgement letter to indicate that Team Managers will arrange responses at Stage 1 of the process as opposed to be responding in person themselves – this to allow flexibility for ATM's to sign off responses as appropriate. completed May 10, but not reported in previous quarter.

SERVICE	TOPIC	OUTCOMES	CORRECTIVE ACTIONS
Children's	Training/support to family	Provision of awareness training to family in terms of recognising the signs of sexual abuse.	Training provision to be identified by TM and offered to family. Completed Oct 09 but not reported in previous quarter.
Schools & Learning	Home to school transport appeals process	Procedural Changes to Home to school transport appeals process.	Changes to appeals process identified and implemented: a- Proper minuting of panel meetings and a pro-forma to show how key legislative requirements have been considered, b- Training for members in the law, particularly in disability issues, c- Stressing the need to focus on exceptional circumstances rather than simply considering whether the policy has been complied with, d- Using a different panel when a case is heard again. Completed Sept10.
Schools & Learning	Guidance Revision	Guidance in place was inadequate.	Revision of the 'Home to School Transport' guidance: a) ensuring it properly reflects the legislative requirements and that it states that factors other than distance need to be considered. b) ensuring that consideration is given at the initial stage as to whether an applicant living within statutory walking distance might be eligible for home to school transport, c) changing the phrasing of its documents so these do not suggest a higher test needs to be met for transport to be awarded that is in fact the case . Completed Sept 10.
Schools & Learning	Distress caused through incorrect non provision of home to school transport.	Redress payment required.	Payment of total of £2.500 to family.
Schools & Learning	Admissions policy in relation to SEN pupils	Lack of admissions policy for SEN schools admissions that sets out clear guidance in terms of establishing residency in Surrey and thus access to services	Development and publication of policy. Completed Sept 10.