

Local Government & Social Care OMBUDSMAN

21 July 2021

By email

Mr Sinnott
Chief Executive
Leicestershire County Council

Dear Mr Sinnott

Annual Review letter 2021

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2021. At the end of a challenging year, we maintain that good public administration is more important than ever and I hope this feedback provides you with both the opportunity to reflect on your Council's performance and plan for the future.

You will be aware that, at the end of March 2020 we took the unprecedented step of temporarily stopping our casework, in the wider public interest, to allow authorities to concentrate efforts on vital frontline services during the first wave of the Covid-19 outbreak. We restarted casework in late June 2020, after a three month pause.

We listened to your feedback and decided it was unnecessary to pause our casework again during further waves of the pandemic. Instead, we have encouraged authorities to talk to us on an individual basis about difficulties responding to any stage of an investigation, including implementing our recommendations. We continue this approach and urge you to maintain clear communication with us.

Complaint statistics

This year, we continue to focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have focused statistics on three key areas:

Complaints upheld - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated.

Compliance with recommendations - We recommend ways for authorities to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

Satisfactory remedy provided by the authority - In these cases, the authority upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and credit authorities that accept fault and find appropriate ways to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 28 July 2021. This useful tool places all our data and information about councils in one place. You can find the decisions we have made about your Council, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the resource with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

As you would expect, data has been impacted by the pause to casework in the first quarter of the year. This should be considered when making comparisons with previous year's data.

During the year, we investigated a complaint from a father about your Council's failure to safeguard his child from their mother. We found the Council failed to follow safeguarding legislation and guidance, leaving the child at risk of significant harm. In this case, we were particularly concerned about the Council's response to our findings. In reply to a draft decision, the Council said it tried to work in partnership and seek compromises in the best interest of the child and it did not accept there was poor practice. Not only was the Council's practice poor, but it put a child at risk of harm. The Council's response minimised its faults and indicated it could not reflect on its actions or take learning from the case. If it had not been for the need to protect the anonymity of the child, it is likely we would have issued a public report. Instead, we suggested the Serious Case Review into the death of the child's sister also considered the actions the Council took to safeguard this child.

This year, we issued two public reports about your Council. The first reported failings in the administration of Free Early Education Entitlement. Our investigation found the Council failed to ensure customers at a nursery in Market Harborough received their entitlement free of charge, as the nursery charged a top-up fee. It is disappointing the Council dismissed the concerns of a parent who complained about the nursery's charges, failed to spot problems when it audited the nursery, and that it rejected our draft findings.

However, I am pleased to note the Council accepted our findings after a further review of the evidence. The Council has refunded the complainant and is working with the provider to ensure families of a further 79 children who attended the same nursery are refunded charges for nursery care that should have been free. We also recommended the Council should review the charging arrangements of all other nursery providers to ensure compliance with law and guidance. I understand the Council does not intend to comply with this recommendation. We recognise this is an issue that has the potential to affect councils nationally and are satisfied with the steps your Council has taken to remedy the parent in this case and the further 79 families affected.

The second public report detailed our investigation into the Council's failure to provide suitable full-time education for a young person after they moved into the local area. We found several examples of fault; the Council delayed in dealing with the family's school application, did not promptly refer the case to its Fair Access team to help identify a placement, and failed to consider using its powers to apply for a direction from the Secretary of State to admit the pupil to the

catchment school. As a result, the pupil missed education provision at a critical point in their secondary education, causing long-term disadvantage. The Council agreed to make a total payment of £7,500 and undertake a range of service improvements.

I welcome the Council's prompt acknowledgement of fault in this case and its proposal to undertake service improvements at an early stage in our investigation. I also acknowledge the Council's cooperation with our investigation and its acceptance of our recommendations.

Supporting complaint and service improvement

I am increasingly concerned about the evidence I see of the erosion of effective complaint functions in local authorities. While no doubt the result of considerable and prolonged budget and demand pressures, the Covid-19 pandemic appears to have amplified the problems and my concerns. With much greater frequency, we find poor local complaint handling practices when investigating substantive service issues and see evidence of reductions in the overall capacity, status and visibility of local redress systems.

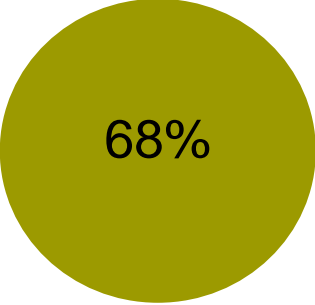
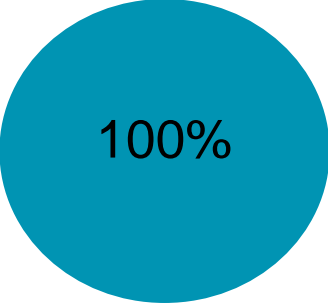
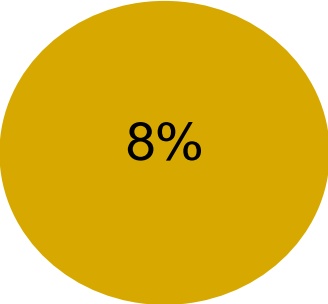
With this context in mind, we are developing a new programme of work that will utilise complaints to drive improvements in both local complaint systems and services. We want to use the rich evidence of our casework to better identify authorities that need support to improve their complaint handling and target specific support to them. We are at the start of this ambitious work and there will be opportunities for local authorities to shape it over the coming months and years.

An already established tool we have for supporting improvements in local complaint handling is our successful training programme. During the year, we successfully adapted our face-to-face courses for online delivery. We provided 79 online workshops during the year, reaching more than 1,100 people. To find out more visit www.lgo.org.uk/training.

Yours sincerely,



Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Complaints upheld		
	<p>68% of complaints we investigated were upheld.</p> <p>This compares to an average of 71% in similar authorities.</p>	<p>13 upheld decisions</p> <p>Statistics are based on a total of 19 detailed investigations for the period between 1 April 2020 to 31 March 2021</p>
Compliance with Ombudsman recommendations		
	<p>In 100% of cases we were satisfied the authority had successfully implemented our recommendations.</p> <p>This compares to an average of 100% in similar authorities.</p>	<p>Statistics are based on a total of 7 compliance outcomes for the period between 1 April 2020 to 31 March 2021</p>
<ul style="list-style-type: none">• Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.		
Satisfactory remedy provided by the authority		
	<p>In 8% of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.</p> <p>This compares to an average of 8% in similar authorities.</p>	<p>1 satisfactory remedy decision</p> <p>Statistics are based on a total of 19 detailed investigations for the period between 1 April 2020 to 31 March 2021</p>

NOTE: To allow authorities to respond to the Covid-19 pandemic, we did not accept new complaints and stopped investigating existing cases between March and June 2020. This reduced the number of complaints we received and decided in the 20-21 year. Please consider this when comparing data from previous years.