

Agenda Item

FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

14 October 2021

Report of the Director of Legal & Democratic Services and Monitoring Officer

Annual Review Letter of the Local Government & Social Care Ombudsman (LGSCO) 2020-21

(Corporate Services and Budget)

1. Divisions Affected

1.1 County Wide

2. Key Decision

2.1 This is not a key decision

3. Purpose

3.1 The purpose of this report is to inform Cabinet of the Local Government and Social Care Ombudsman's (LGSCO) Annual Review Letter for the year ended 31 March 2021.

4. Information and Analysis

4.1 The LGSCO's Annual Review Letter 2020/21, giving details of the total number of complaints for Derbyshire County Council for the year ending

31 March 2021, is attached as Appendix 2 for consideration. All of the LGSCO's annual review letters are published on their website.

- 4.2 The aim of the Annual Review Letter is to provide councils with information which will help them assess their performance in handling complaints.
- 4.3 For the period ending 31 March 2021, the LGSCO received 81 complaints and enquiries relating to Derbyshire County Council. The 81 complaints compares to 122 complaints for Derbyshire in the period 2019/20 (a decrease of 34%). The decrease was in some part due to the Covid-19 pandemic; the LGSCO did not accept new complaints and stopped investigating existing cases between March and June 2020. This reduced the number of complaints the LGSCO received and made decisions on in the 2020/21 year and should be taken into consideration when comparing previous statistics.
- 4.4 Looking specifically at the decisions made by the LGSCO for the period ending 31 March 2021, there were 19 detailed investigations carried out, of which 6 were not upheld and 13 were upheld. This gives an upheld rate of 68%, against an average of 71% in similar authorities. By way of comparison in 2019/20 the LGSCO upheld 19 cases following investigation this represents a decrease in cases where there were findings against the Council of 31%.
- 4.5 The LGSCO's Annual Report also noted that there were 2 upheld cases (15%) where the Authority had provided a satisfactory response before the complaint reached the LGSCO. This compares to an average of 8% in similar authorities.
- 4.6 In respect of the 13 complaints upheld by the LGSCO in 2020/21 the LGSCO found fault and suggested a remedy in respect of each case and the remedies were acceptable to the Council. There was one formal investigation report issued against the Council concerning Childrens Services which was reported separately to Cabinet on 17 June 2021 and to the Governance Ethics & Standards Committee on 1 July 2021.
- 4.7 In terms of the 13 complaints upheld by the LGSCO these can be identified in relation to the following County Council departments:

Department	Number of decisions against the Council
Adult Care	1
Children's Services	12

Details of the 13 complaints and the remedies are set out in Appendix 3.

- 4.8 In respect of compliance with the LGSCO's recommendations which is a relatively new statistic now recorded by the LGSCO, of the 13 complaints where compliance with the recommended remedy was recorded during the year, the Council complied with all the recommended remedies giving a compliance rate of 100%.
- 4.9 The LGSCO is increasingly concerned about the evidence he sees 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 his concerns. With much greater frequency, they 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, they are developing a new programme of work that will utilise complaints to drive improvements in both local complaint systems and services. He wants 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. They 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 they have for supporting improvements in local complaint handling is their successful training programme. During the year, they successfully adapted our face-to-face courses for online delivery. They provided 79 online workshops during the year, reaching more than 1,100 people. To find out more visit www.lgo.org.uk/training.

5. Consultation

5.1 No consultation is necessary.

6. Alternative Options Considered

6.1 Not to inform Cabinet of the LGSCO's Annual Review Letter for the period ending 31 March 2021; however considerate is considered important that the Executive are informed of the Annual letter to enable proper oversight of complaints..

7. Implications

7.1 Appendix 1 sets out the relevant implications considered in the preparation of the report.

8. Background Papers

8.1 None identified

9. Appendices

- 9.1 Appendix 1 Implications
- 9.2 Appendix 2 Annual Review Letter
- 9.3 Appendix 3 Details of the 13 upheld cases

10. Recommendation(s)

10.1 That Cabinet notes the Annual Review Letter of the Local Government and Social Care Ombudsman for the year ending 31 March 2021.

11. Reasons for Recommendation(s)

11.1 To ensure that the Executive is aware of the contents of the LGSCO Annual Review letter and has oversight of complaints made.

12. Is it necessary to waive the call-in period?

No

Report Author: Paul Peat **Contact details:** Paul.Peat@derbyshire.gov.uk.

Implications

Financial

1.1 Payments have already been made to the complainants in accordance with the recommendations of the LGSCO.

Legal

- 2.1 The Local Government and Social Care Ombudsman's powers are defined by the Local Government Act 1974 as amended by the Local Government and Public Involvement in Health Act 2007.
- 2.2 The LGSCO cannot question whether a Council's decisions are right or wrong simply because the complainant disagrees with them. He must consider whether there was fault in the way the decision was reached. (Local Government Act 1974, section 34(3)).
- 2.3 The LGSCO will generally only investigate a complaint where the complainant has exhausted the council's corporate complaints process. It is therefore important that the council maintains a robust complaints procedure.
- 2.4 The LGSCO has the power to make recommendations to a public authority following a complaint, however the recommendations are not mandatory. Findings and recommendations are however published by the LGSCO.
- 2.5 Section 31 of the Local Government Act 1974 requires a report to be submitted to "the authority" when a report on maladministration is received from the Local Government and Social Care Ombudsman. The specific requirement is that the report to "the authority" is made to the "executive" i.e. Cabinet (s.25(4ZA) Local Government Act 1974) where the matter relates to executive functions and Council or a Committee where the matter relates to non-executive functions. A formal investigation report was issued in respect of one of the complaints referred to in the Annual Letter which was formally reported to Cabinet by the Monitoring Officer in accordance with statutory obligations in s.5A Local Government and Housing Act 1989.
- 2.5 The Council's Constitution provides that one of the roles and function of the Governance, Ethics and Standards Committee is '11.To receive

regular reports on the of the Corporate Complaints process, Local Government Ombudsman referrals and to recommend revisions to related policies and procedures as appropriate'. A report will therefore also be prepared for the Committee.

Human Resources

3.1 None directly arising from this report.

Information Technology

4.1 None directly arising from this report.

Equalities Impact

5.1 As this is a statutory report in response to the findings of the Local Government and Social Care Ombudsman no equality impact assessment has been prepared.

Corporate objectives and priorities for change

6.1 None directly arising from this report.

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

7.1 None directly arising from this report.

Local Government & Social Care OMBUDSMAN

21 July 2021

By email

Ms Alexander Executive Director Derbyshire County Council

Dear Ms Alexander

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, <u>Your council's performance</u>, 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 issued a public report about your Council because of significant delays issuing a revised Education, Health and Care Plan for a child. The delayed review led to the child having to remain for an additional year in primary school instead of transferring to secondary school with his cohort. Our investigation also found fault in how you handled the original complaint, including a failure to acknowledge the full scope of delay and taking too long to respond to the complainant.

More positively, I am pleased to note that you accepted our findings and have agreed to our recommendations to remedy the personal injustice to the complainant and to make service improvements, which we hope will help prevent a re-occurrence of the faults we identified in your processes.

I would like to credit your Council for its completion of recommendations we made to remedy a complaint about the Council's failure to arrange suitable alternative education for a child out of school. I was pleased to see the Council carried out comprehensive reviews into its oversight of services for children and young people out of school to ensure alternative provision is provided, and to ensure prompt assessments are carried out for those who have been absent from school for more than 15 days. The Council's willingness to learn from this complaint is commendable; I hope the steps taken result in an improved service for other children and young people.

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.

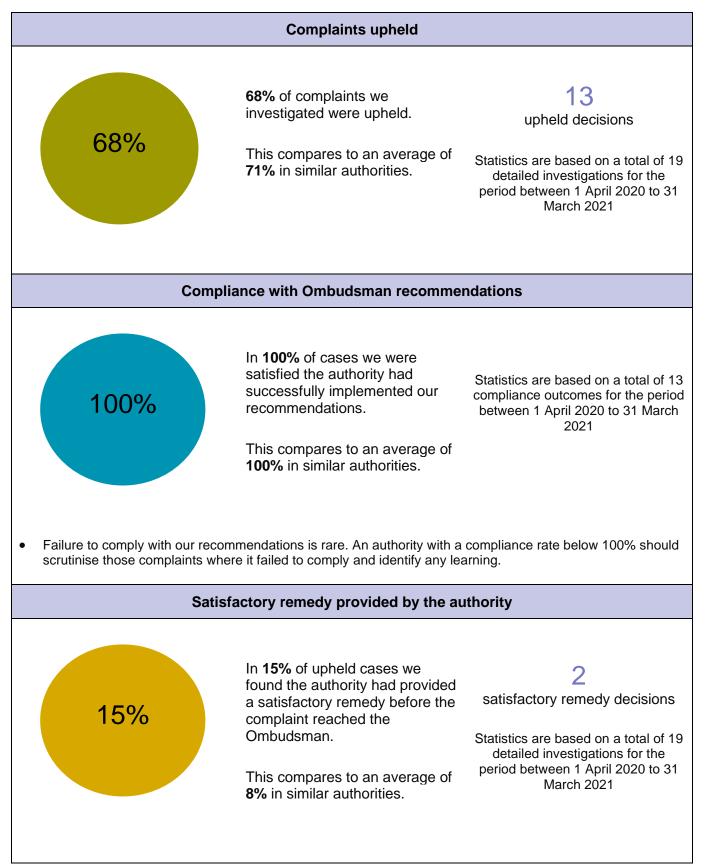
With this context in mind, we are developing a new programme of work that will utilise complaints to drive improvements in both local complaint systems and services. We want to use the rich evidence of our casework to better identify authorities that need support to improve their complaint handling and 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 <u>www.lgo.org.uk/training</u>.

Yours sincerely,

M

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



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.

Complaint Reference	Details of complaint	Findings and Remedy
18/ 015 /573	Mr Z who was represented by his mother complained of delay and other fault by the Council in meeting his special educational needs in 2017	
CS	and 2018, causing him to lose provision. The Council delayed issuing an EHC Plan in 2017 and failed to deal properly with his mother, Ms X's complaint.	Z between April and November 2017 as a result
19/016/781	The complainant, Miss X, complained of fault by the Council when it issued an Education Health and Care (EHC) Plan for her son Z. She said this related	
CS	 to: a) Failing to obtain advice from a neuro-psychologist; b) The poor quality, content and advice in a report on Z's Special Educational Needs (SEN); c) Failing to include transport in the EHC Plan; d) The attitude of a Council officer in emails sent on 7 and 15 February 2019; e) Taking too long to issue the final EHC Plan; and f) Taking too long to deal with her complaint about 	final EHC Plan; and pay Miss X £450, comprising £300 on Z's behalf for the unnecessary anxiety caused by the delayed issue of the EHC Plan and £150 for Miss X's time and trouble in pursuing her complaint.
	this.	The Ombudsman did not investigate complaints a), b) and c) as they are matters for a SEND Tribunal.

19/006/673 CS	 The complainant, Mrs C, was represented by her representative, Ms R. Ms R said the Council was at fault for a delay in providing information about the education, health and care plan (EHCP) the Council prepared for Mrs C's son, who I have called Mr X. She said the Council: a) Delayed in processing Mr X's application for direct payments for 19 months; b) Communicated poorly with Ms R and Mrs C by: 1. Initially refusing to correspond with Ms R even though she had attended meetings with Mrs C; 2. Failed to answer to Ms R's first letter about Mr X's EHCP adequately; and 3. Delayed in responding to Ms R's second letter about the EHCP; and 2. Mrs C said this caused injustice because Mr X did not receive social care payments for 19 months and Mrs C and Ms R spent time pursuing the Council. 5. She also said the Council paid for social care at too low a rate. 	The Ombudsman upheld the complaint and recommended the Council should write to Mrs C and apologise to her for the fault found; and pay Mrs C £4,425,42.
19/007/198 CS	 The complainants referred to as Mr and Mrs X complained that the Council failed to: Properly assess their daughter Y's educational needs; Issue an Education, Health and Care Plan (EHC Plan) within the statutory timescales; 	The Ombudsman upheld the complaint and recommended that the Council should apologise to Mr and Mrs X and pay the costs of the independent repots commissioned by Mr and Mrs X to a total cost of £1,400 to gain information the Council should have gathered.

	 Properly adhere to the Council's complaints procedure by failing to respond to their complaints. Mr and Mrs X said this delayed Y's receipt of the educational provision and support she needed as set out in the EHC Plan. This has had an impact on Y's educational progress. Mr and Mrs X said they had to commission reports and seek repayment for the costs of those reports. 	The Council should also pay Mr and Mrs X £200 in recognition of the inconvenience and distress caused by the failures identified in this statement. Additionally, the Council should share with officers the view taken in this decision; and review guidance to staff, ensuring they consider carrying out a social care assessment if a child is not known to children's social care services when gathering information for an EHC Plan.
20/002/690 CS	 Mrs B complained on behalf of her son, Mr C about the Council's refusal of a Disabled Facilities Grant (DFG) for Mr C between 2012 and 2017. She also complained that the Council refused to take her complaint at stage two of the statutory complaint's procedure. Mrs B said the grant refusal left the family without the correct facilities to meet Mr C's needs. 	The Ombudsman upheld the complaint and recommended that the Council should pay Mrs B £150 for her time and trouble pursuing her complaint. It should also appoint an Investigating Officer and Independent Person to investigate Mrs B's complaint at stage two of the statutory complaint procedure.
	the correct facilities to meet wir C s needs.	Further, the Council should remind all staff dealing with statutory complaints of the parts of the Children Act 1989 and associated legislation that can be subject to a statutory complaint and of the process of escalating a complaint through the statutory procedure, and the limited circumstances in which the Council is not required to investigate a complaint, or can refer a complaint early to the Ombudsman.
19 /003/ 959	Mrs X complained that the Council failed to provide her son, F, who had an Education,	The Ombudsman upheld the complaint and recommended the Council should pay Mrs X £5,900 to recognise the failure to deliver the

	Health and Care (EHC) Plan with a suitable	provision set out in F's EHC Plan and the loss of a
	education in line with his special educational	suitable education between April 2017 and March
	needs (SEN) between 2016 and 2019.	2019. Mrs X should use the payment for F's educational benefit as she saw best.
	Mrs X said the Council identified fault in its stage 2	educational benefit as she saw best.
	complaints investigation into the matter but did not	The Council should also pay Mrs X £1,000 to
CS	adequately remedy the injustice.	recognise the failure to deliver the provision set
		out in F's EHC Plan between April 2019 and
	Mrs X said F had not achieved his academic	November 2019 during the period Mrs X
	potential as a result. She said the matter had	appealed to the SEND tribunal. Mrs X should use
	caused F, her and the wider family significant	the payment for F's educational benefit as she
	distress, uncertainty and time and trouble.	saw best.
		The Council should further pay Mrs X £500 to
		recognise the distress, uncertainty and frustration
		caused by the Council's poor handling of F's education, its failure and delays to amend
		F's EHC Plan and the time and trouble spent
		pursuing her complaint.
		The Council also agreed to provide to the
		Ombudsman, within 3 months, evidence of how it
		had carried out the service improvements
		identified at the conclusion of its stage 2
		investigation. This to include:
		• how it will ensure going forward that referrals of
		young people to IPT are appropriateensuring how the SEN panel will consider all
		relevant information and assessments when
		considering alternative placements and
		amendments to EHC Plans.

		 ensuring the SEN panel communicates with parents during and following the panel process about its decisions. a review of how its IPT service ensures young people receive their entitlement to a full-time education. The review should include how it uses qualified teachers, how it will ensure young people receive provision in line with their EHC Plans and how it will monitor and mark work completed by the young person.
		The Council has also agreed, within 6 months, to carry out an audit of 10% of all children with EHC Plans ensuring there has been an up to date review, or whether there are any significant delays in issuing a final amended EHC Plan. The sample must include a number of children with EHC Plans who are receiving alternative provision because of exclusion, illness or otherwise.
19 /015/ 368 CS	Mr X complained that the Council took too long to reach a decision about a child protection investigation into unfounded claims against him. He also complained that he was not given an opportunity to comment. Mr X complained the matter affected his mental health and he lost out on earnings during the period he was suspended	The Ombudsman upheld the complaint and recommended that the Council should apologise to Mr X for the lack of review and monitoring of the investigations being conducted and for the inappropriate referral to a neighbouring council about the delay.
	from work.	The Council should also consider what steps it needed to take to ensure that LADO investigations were reviewed and monitored in future in accordance with the Derbyshire Safeguarding Board's policies.

18/014/369 CS	The complainant, Mrs B complained that the Council had failed to provide an appropriate school place for her son, C since 2016. Mrs B had to give up her job to educate him and the situation had a significant adverse impact on the family	The Ombudsman upheld the complaint and in recognition of the injustice caused to Mrs B by the delay in the complaints process, the Council agreed to pay her £150.
	finances.	
19/ 018 /918	The complainant, Mrs C, said the Council was at fault for its refusal to fund transport to college for her daughter X. She said that she and X had suffered injustice as a result. Mrs C had to pay	The Ombudsman upheld the complaint and recommended that the Council should write to Mrs C and X to apologise for the fault found.
CS	£45 per week transport fees and X had not gained the independence she would have done had she taken a bus to college.	The Council agreed to hold a new appeal hearing. It agreed to first allow Mrs C the opportunity to provide any evidence it required, and to then consider:-
		 a) The Ombudsman's findings set out in this decision. b) The actual cost of the transport requested; c) Whether the Council was providing a reasonable opportunity to choose between the courses available; and d) X's specific needs and requirements, including reference to doctor's evidence about X's difficulty in taking public transport.
		Should the Council decide X was eligible for transport, it agreed it would backdate any payment that it made as a result of the finding.
		Within a week of the appeal decision, the Council agreed that X would be eligible to join the ITT programme.

		The Council agreed it would also reconsider its policy in the relevant area and report back to the Ombudsman. The Council also agreed to amend any affected online and other materials.
20/ 002 /545 CS	Mr X complained the Council failed to provide the speech and language therapy (SaLT) specified in his daughter, Miss D's, Education, Health and Care (EHC) Plan from 6 December 2019. Mr X says that as a result of this, the Council had disadvantaged an already vulnerable child during her GCSE years. In addition, Mr X said he had been caused distress, anxiety and unnecessary time and trouble dealing with this matter and having to come again to the Ombudsman. He believed the £2,000 already offered by the Council was insufficient.	The Ombudsman found fault which the Council accepted. It had provided a suitable remedy to address the injustice caused to Miss D and Mr X and said it would make service changes to prevent a reoccurrence in future.
20/ 002 /225 CS	Mr X complained that the Council failed to carry out his daughter, Miss D's, annual review in January 2020. As a result, he said this had caused the family uncertainty because they did not know if Miss D was receiving the support she needed. He said this uncertainty was compounded by the fact Miss D did not have an annual review in 2018 and her latest Education, Health and Care (EHC) Plan was based on information from 2018.	The Ombudsman found fault, but this did not cause an injustice. The Council had arranged for Miss D to have an annual review and she would be able to provide comments to ensure Section A is updated. It also said it had started the process to review the files of other young people to ensure they had not been refused an annual review because of similar circumstances.
20 000 611 CS	The complainant, Ms X complained the Council failed to: • carry out her son, Z's, annual review in line with the statutory timescales;	The Ombudsman found fault and issued a report against the Council which the Council considered at Cabinet on 17 June.

	 consult with secondary schools in a timely manner; issue Z's final amended Education, Health and Care (EHC) Plan within the statutory timescales when he transitioned to secondary school; ensure Z received a suitable education from September 2019 to June 2020 when she appealed to the Tribunal; communicate appropriately with her; and deal with her complaints in a timely manner. As a result, Z had to remain at primary school for an additional school year and Ms Z says that during this time only received part of the Year 7 curriculum. Ms X said this led to a deterioration in Z's behaviour and feelings of low self-esteem and isolation.	 The Council agreed to: apologise to Ms X; and pay Ms X on behalf of herself and Z, £1,000 to acknowledge the distress Z experienced when he was unable to transfer to secondary school at the same time as his peers for a whole school year and for the unnecessary frustration, distress and time and trouble Ms X experienced because of the Council's faults. The Council had also agreed to review its processes to ensure it is carrying out annual reviews, issuing decision notices and finalising amended Education, Health and Care Plans in line with the statutory guidelines.
19/021/063 AC	Mr B complains about his uncle's (Mr C's) respite care provider. Mr B says Mr C was not properly fed and he had to purchase food for him, his care provider lost his clothes and says he was treated negatively by the manager of the home. Mr B says he has been to the home on four separate occasions to collect Mr C's belongings but has not been given them.	The Ombudsman was satisfied that an apology and offer of reimbursement for the cost of the additionally purchased clothing remedied the injustice caused by the fault.