



## OVERVIEW AND SCRUTINY COMMITTEE

Thursday 10 June 2021 at 6.30 pm

Council Chamber - Ryedale House, Malton, North Yorkshire YO17 7HH

**IMPORTANT:** The Council fully recognises and respects the role and importance of democratic meetings and is committed to protecting the health and safety of Elected Members and Officers who participate. Risk assessments are undertaken in advance of each meeting, and are reviewed on an ongoing basis.

Social distancing measures will be in place throughout the meeting, however it is important that you **do not attend** the meeting if **you or anyone in your household** are required to self-isolate due to receiving a positive COVID-19 test result, having symptoms of COVID-19, or having been told that you have been in contact with someone who has tested positive for COVID-19.

For the purpose of public transparency and accountability, the meeting will be live streamed online. The livestream can be accessed here:

<https://www.youtube.com/channel/UCZCvPUsJOLwMJ9ukDsGf0Hw>

For health and safety reasons and in accordance with our risk assessment, members of the public are asked to follow the meeting via this method rather than attending in person. If you are unable to access the meeting this way, please contact us so that we can explore whether any safe alternative option is possible. The media will be able to report on proceedings from the live stream.

### Agenda

- 1 **Emergency Evacuation Procedure**  
The Chairman to inform Members of the Public of the emergency evacuation procedure.
- 2 **Apologies for absence**
- 3 **Minutes of the meeting held on 22 April 2021** (Pages 3 - 4)
- 4 **Urgent Business**

To receive notice of any urgent business which the Chairman considers should be dealt with at the meeting as a matter of urgency by virtue of Section 100B(4)(b) of the Local Government Act 1972.

**5 Declarations of Interest**

Members to indicate whether they will be declaring any interests under the Code of Conduct.

Members making a declaration of interest at a meeting of a Committee or Council are required to disclose the existence and nature of that interest. This requirement is not discharged by merely declaring a personal interest without further explanation.

**6 Customer Complaints and Compliments Q4 2020/21** (Pages 5 - 26)

**7 Appointment of Corporate Governance Standards Sub-Committee**

**8 Decisions from other Committees**

Policy and Resources Committee held on 27 May 2021, minutes to follow.

**9 O&S Forward Plan** (Pages 27 - 32)

**10 Any other business that the Chairman decides is urgent.**

## Overview and Scrutiny Committee

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Virtual Meeting  
on Thursday 22 April 2021

### Present

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Councillors Brackstone, Middleton (Vice-Chairman), Oxley, Raine and Wass

### In Attendance

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Alan Bardet, Simon Copley, Jonathan Dodsworth, Anton Hodge, Gareth Mills, Connor Munro, Jane Overhill, Christine Phillipson and Paul Taylor.

### Minutes

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56 **Apologies for absence**

Apologies were received from Cllrs Cussons, Garbutt Moore and Raper.

57 **Minutes of the meeting held on 25 March 2021**

Decision
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That the minutes of the meeting of the Overview and Scrutiny Meeting held on 25 March 2021 be approved and signed by the Chairman as a correct record.
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Voting Record

Unanimous

58 **Urgent Business**

There were no items of urgent business.

59 **Declarations of Interest**

There were no declarations of interest.

60 **External Audit Progress Report - Verbal Update**

The Committee noted the External Audit Progress Report.

61 **External Audit Plan**

The Committee noted the External Audit Plan.

62 **Third Internal Audit and Counter Fraud Progress Report**

Considered – The report of the Chief Financial Officer (Section 151)

**Decision**

That the Third Internal Audit and Counter Fraud Progress Report be received and noted.

Voting Record

Unanimous

**63 Counter Fraud Governance Plan 2021/22**

Considered – The report of the Chief Financial Officer (Section 151)

**Decision**

That the Counter Fraud Governance Plan 2021/22 be received and noted.

Voting Record

Unanimous

**64 Update on Risk Management**

Considered – The report of the Head of Corporate Governance

**Decision**

That the Update on Risk Management be received and noted.

Voting Record

Unanimous

**65 O&S Forward Plan**

The Committee received the Overview & Scrutiny Forward Plan.

**66 Any other business that the Chairman decides is urgent.**

There being no other items of urgent business the meeting closed at 8:00pm.



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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>10 JUNE 2021</b>
<b>REPORT OF THE:</b>	<b>HEAD OF CUSTOMER SERVICES AND COMMUNITIES MARGARET WALLACE</b>
<b>TITLE OF REPORT:</b>	<b>CUSTOMER COMPLAINTS AND COMPLIMENTS Q4 2020/21</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 To provide an end of year performance report on customer complaints and compliments received in 2020/21, which includes an update on the quarter 4 reporting period.

### **2.0 RECOMMENDATION(S)**

- 2.1 It is recommended that Committee:
- (i) Note that the number of complaints received in 2020/21 decreased with less stage 2 escalations than in previous years.
  - (ii) Note that the number of customer compliments received in 2020/21 increased, with significantly more received than in previous years.
  - (iii) Note the improvements made across the organisation to improve complaints handling and to ensure that the Council puts things right for customers.

### **3.0 REASON FOR RECOMMENDATION(S)**

- 3.1 To monitor the numbers and types of complaints received and recommend service improvements in line with data analysis to provide customer excellence.

### **4.0 SIGNIFICANT RISKS**

- 4.1 Potential reputational damage from upheld decision notices following investigation by the Local Government and Social Care Ombudsman into customer complaints.

## **5.0 POLICY CONTEXT AND CONSULTATION**

- 5.1 The Council Plan includes the strategic objective of ‘access for all – an innovative and enterprising Council’. This includes the commitment to transform customer services, using new ways of working to improve responsiveness and achieve better engagement and use of customer feedback. Complaints management improvements have been progressed to achieve this. This has included the roll out of updated procedures, Ombudsman training, refreshed customer communications and targeted improvements. Further work will be undertaken during 2021/22 to ensure that analysis draws out trends by protected characteristics.

## **REPORT**

### **6.0 REPORT DETAILS**

- 6.1 The customer complaints and compliments received form an important part of the feedback process for the Council to learn from any issues raised and improve how we deliver our services, and to provide a better standard of service that is more responsive to people’s needs. When analysing the customer complaints and compliments, they should be read in conjunction with each other to gain a full picture of the feedback received.

### **COMPLAINTS**

- 6.2 The Council operates a two stage internal complaints process to respond to the issues raised by complainants. Stage 1 is an initial response by the applicable line manager or service unit manager. If the complainant is not satisfied with the response they receive, then they can move to Stage 2, which is investigated and answered by the relevant Head of Service.
- 6.3 Following this Stage 2 response, there is the option for the complainant to go to the Local Government and Social Care Ombudsman if they remain dissatisfied. The Ombudsman is a free and impartial service, but will generally only consider complaints that have been through the internal two stage process at the Council first.
- 6.4 Since the quarter 3 update report to the committee in February 2021, the Council has handled a further 5 corporate complaints in the period from 1 January to 31 March 2021. The complaints related to:
- The approach of the council in supporting the reopening of businesses and venues out of the current coronavirus restrictions
  - The role of the council in the adoption of a BT phone box
  - Alleged lack of planning enforcement action from the council on noise from a building site
  - Repeated missed recycling collections
  - The renewal process for the garden waste license

From the five corporate complaints received during quarter 4, four were completed under Stage 1 of the complaints process, with one complainant remaining dissatisfied at Stage 1 and advancing on to Stage 2, which is ongoing. The average response time for complaints received in quarter 4 was 9.40 days at Stage 1. This is slightly higher than the average response times for the rest of the reporting year during Q1 (8.39 days), Q2 (6.88 days) and Q3 (6.45 days).

- 6.5 For the 2020/21 year-end performance, the Council received 37 complaints. This is significantly lower than the 2019/20 year (60) and trending lower than previous years.
- 6.6 The most complaints this year have been received in the customer facing areas of Streetscene (11), Revenues & Benefits (7) and Planning & Regulatory Services (6). From the complaints received this year, 34 (91.8%) have been dealt with under Stage 1 of the complaints process, with three complaints in this time period remaining dissatisfied at Stage 1 and advancing on to Stage 2. This is an improvement on the same time period last year, when 44 of the 60 complaints received (73.33%) were resolved at stage 1 of the complaints procedure and 16 were escalated to stage 2.
- 6.7 The average response time for Stage 1 complaints for the 2020/21 reporting year was 7.78 days. This is a fall from the average response time for 2019/20 of 8.70 days. Also it continues to be well within the 15 day turnaround time for complaint responses that require further investigation to provide a full response. The two completed Stage 2 complaints to date were responded to in an average time of 15 days.
- 6.8 Examples of the lessons learned from the complaints received up to the end of quarter 4 this year are included at Appendix 2 to show the actions taken to remedy complaints received and the lessons learned.
- 6.9 The improvements in complaints handling performance reflects a number of corporate initiatives. Training has taken place with the Local Government and Social Care Ombudsman on 'Effective Complaints Handling'. The training set out the principles for dealing with complaints received and gave examples of good practice in responding and liaising with complainants. This will help deliver a consistent approach to the handling and administration of customer feedback.
- 6.10 Specific staffing on customer insight and complaints has also been put in place. These officers are working to ensure that the quality of responses from the Council meet customer excellence standards in line with the Local Government and Social Care Ombudsman guidance on 'Effective Complaints Handling'. The officers also work with services to actively learn lessons from complaints, which includes improving service delivery, and ensuring that any incidents of poor service standards are not repeated.
- 6.11 The procedure guide for Comments, Compliments and Complaints has been refreshed, to make it more customer friendly and easier to follow. This can be found on the Ryedale DC website [here](#) and is included at Appendix 3.

## **COMPLIMENTS**

- 6.12 The number of compliments received in 2020/21 was 104. This is a big improvement on the 46 received during 2019/20. The main topics of the compliments received by citizens during the year relate to support given by the council in the response to Covid-19, in particular the grant help for local businesses (44), the work of customer services staff to assist with enquiries received (20) and supporting those who have become homeless during the pandemic to find temporary accommodation (12). In quarter four, there were also compliments received about the work of the council in supporting the flooding response in early 2021.
- 6.13 Examples of some of the compliments from January to March 2021 include:

“All done amazing work very well done to all those who helped fight the river.”

“A great team effort. Well done to everyone involved in helping with the flooding. Thank you.”

“I would like to take this opportunity to thank you and your team for your support during this horrid and difficult time, Ryedale Council really has come into its own. We feel very thankful to live in this area.”

“I just wanted to drop you a line to say thank you for your continued support to keep bolstering us during these difficult times. These contributions make a big difference and the speed and clarity by which you are communicating and delivering the support, is to be commended.”

“Thank you so much for providing the assisted waste services. Please pass on my thanks to all of the crew they do an amazing job.”

“I just wanted to email you to say a huge thank you for all your help and advice. I am delighted to say we received a grant from yourselves at Ryedale that literally makes the difference between survival or failure for our holiday cottage business.”

“I run a small B&B and Holiday Cottage business and as you can imagine, our business has been severely affected during the Covid pandemic. The government grants available for businesses like mine are described in complicated legislation and I have been very grateful for the business support pages on RDC's website. I have had to make a series of separate applications and some payments were made but others seem to get lost in the system, despite my being eligible. As guidance changed, I lost track completely of where I was in the process. The response I received was prompt, courteous and concise, clarifying the situation, what monies had been paid under which grant and which applications I still should make.

“I wish to thank you all for the sensitivity and patience in answering and responding to Ryecare alarm calls.”

## **7.0 IMPLICATIONS**

7.1 The following implications have been identified:

- a) Financial  
Costs are contained within the agreed budgets for services.
- b) Legal  
No complaints required to be escalated to Legal services for advice in 2020/21
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)  
None

**Margaret Wallace**  
**Head of Customer Services and Communities**

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**E-Mail Address:** [jenny.knowles@ryedale.gov.uk](mailto:jenny.knowles@ryedale.gov.uk)

**Background Papers:**

None

**Background Papers are available for inspection at:**

None

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## **Appendix B: Customer Complaints data graphs**

The report below provides an overview of the complaints received in the period of 1 April 2020 to 31 March 2021. Within this period thirty seven complaints were reported.

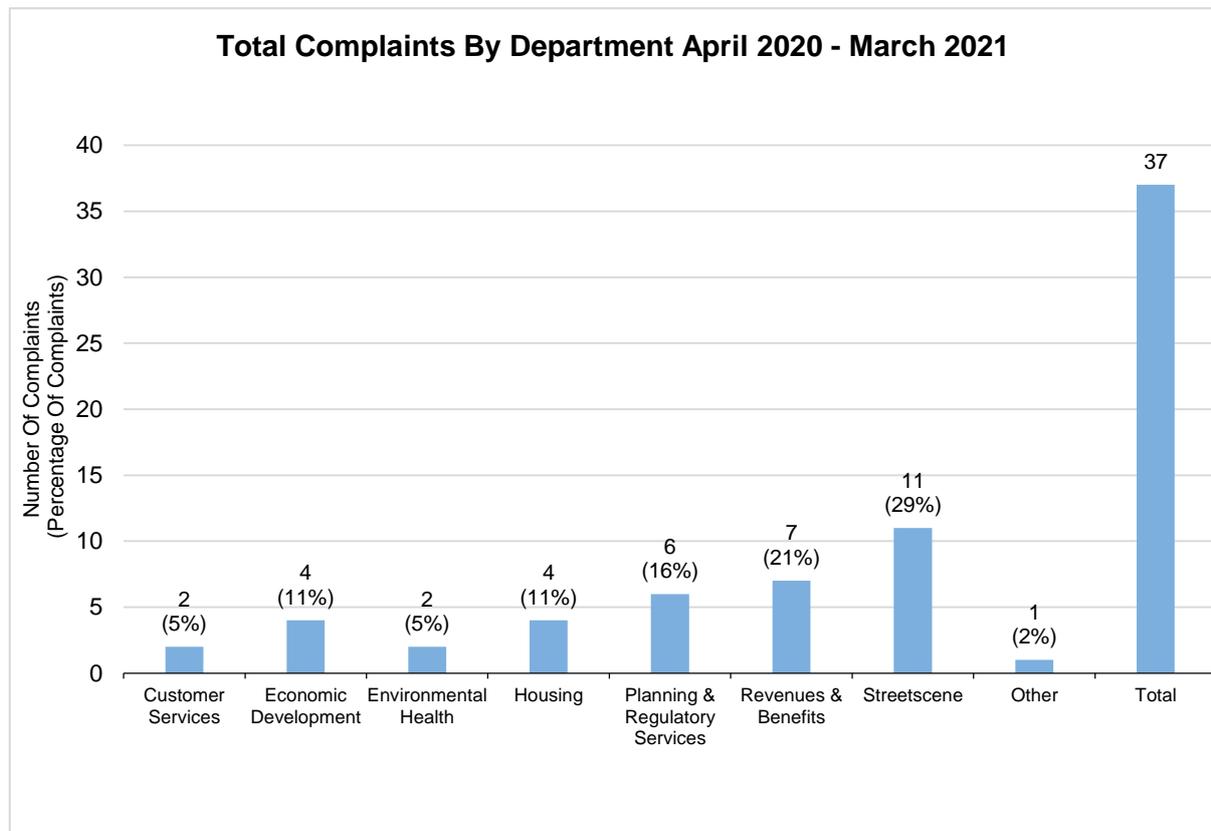
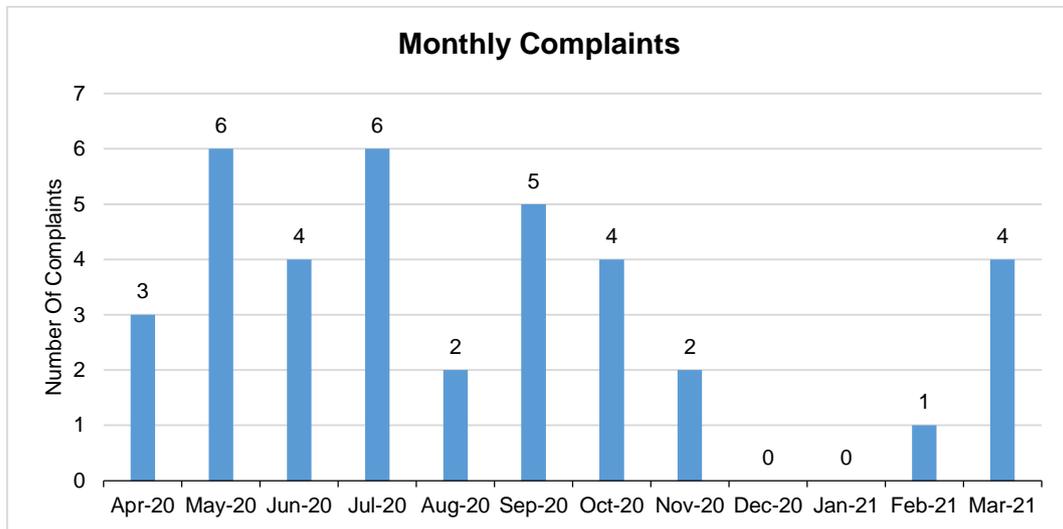
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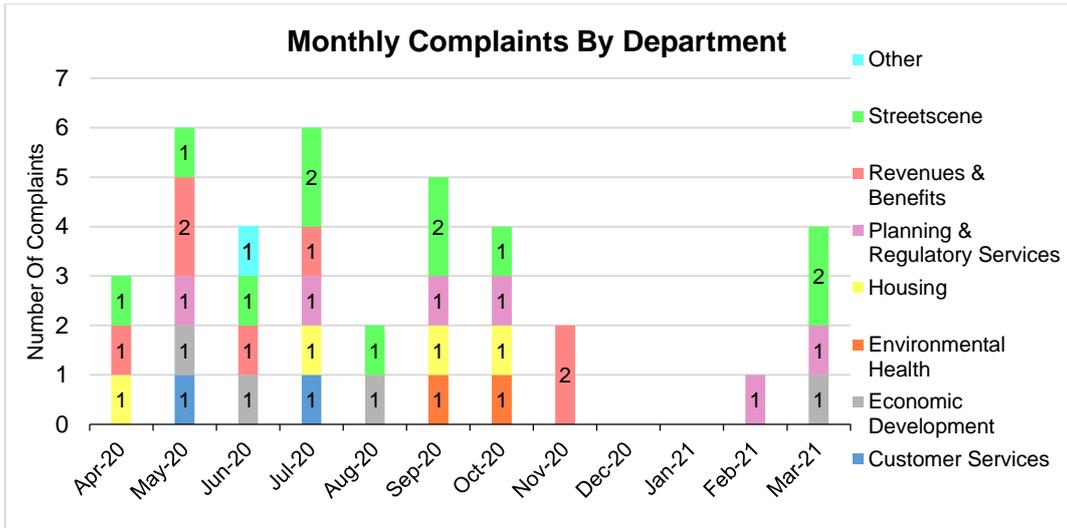
<b>Overview of All Complaints .....</b>	<b>2</b>
<b>Total Complaints .....</b>	<b>2</b>
<b>Complaint Stages.....</b>	<b>3</b>

## Overview of All Complaints

Throughout the period of 1 April 2020 – 31 March 2021, thirty seven complaints were recorded.

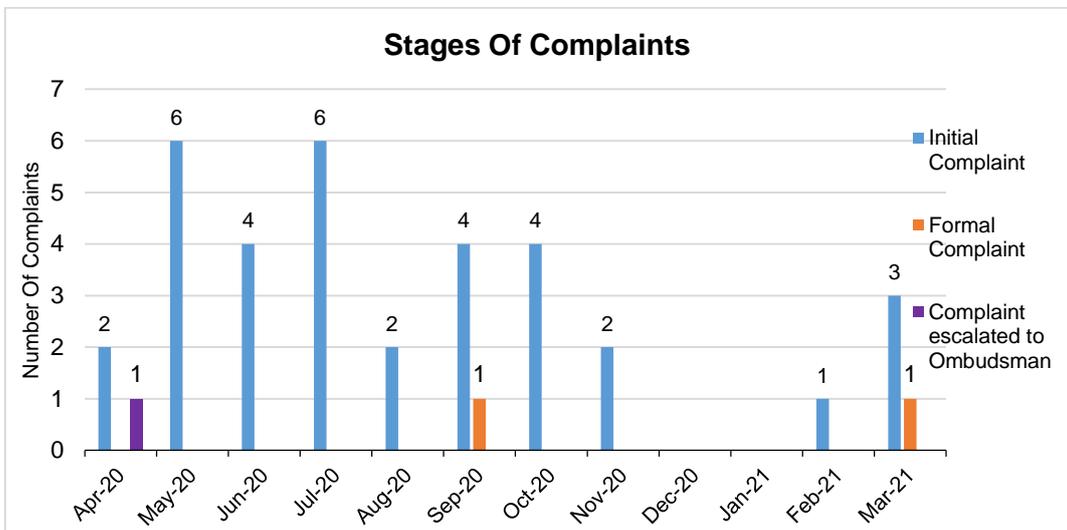
### Total Complaints

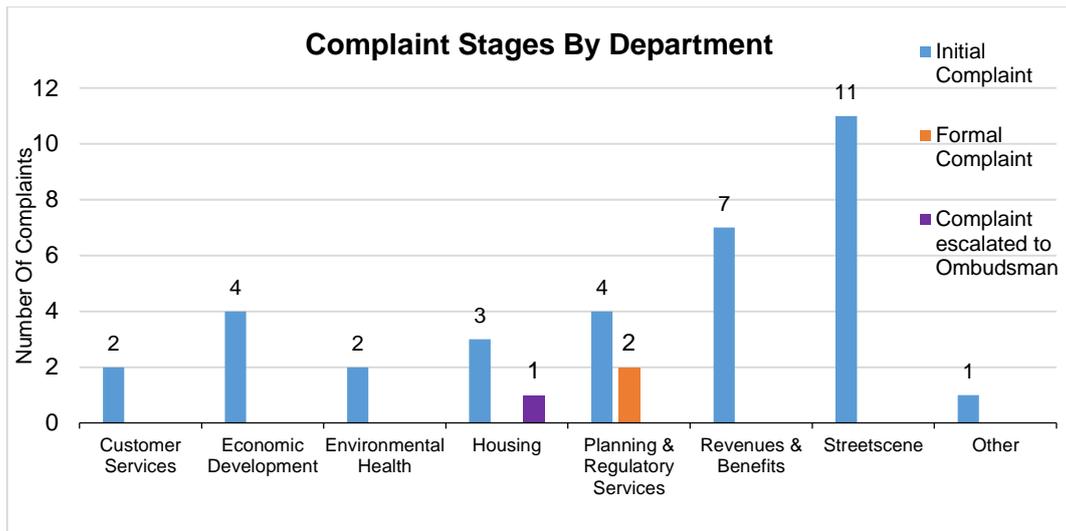




**Complaint Stages**

Throughout the period of 1 April 2020 – 31 March 2021, three complaints out of thirty seven were escalated to a formal complaint (Stage 2). From here, one complaint was escalated to the Local Government and Social Care Ombudsman for investigation. The majority of complaints, thirty four (92%), did not escalate beyond an initial complaint (Stage one).





\* One Stage 2 complaint ongoing in Planning & Regulatory Services

**Examples of Lessons learned from complaints received**

<b>Complaints received in Q4 reporting period</b>			
<b>Complaint</b>	<b>Description</b>	<b>Department</b>	<b>Lessons Learned</b>
Policing of closed businesses	Council representative visited hotel property without prior contact to speak about support and advice on business grants scheme and assist with re-opening activity.	Economic Development	Officer reminded of business reopening guidelines and where possible to arrange appointment to visit premises in advance to avoid confusion or misinterpretation of reason for visit
Missed recycling collections	Missed recycling collections on multiple occasions	Streetscene	Instructions issued to collection crew and the incab technology in waste collection vehicles updated to ensure property is not missed again. Also the process for updating the incab system was reviewed. Offer made for staff member to visit property to talk through issues and agree long-term solution.
<b>Lessons learnt from complaints received in Q1, Q2, and Q3.</b>			
Behaviour and attitude of refuse lorry crew	Refuse lorry not reversing down a narrow lane to allow oncoming traffic past and the driver refusing to reverse when asked to by a member of the public.	Streetscene	CCTV footage reviewed and collection crew involved spoken to and reminded of the importance of ensuring they are considerate in their actions to other road users.

**Examples of Lessons learned from complaints received**

Complaint	Description	Department	Lessons Learned
Behaviour of enforcement agents	Allegations of aggressive behaviour from the enforcement agent working on behalf of the council to seek debt repayment.	Revenues and Benefits	Allegations taken up with the enforcement agent to ensure high standards of customer service achieved. Offer made to customer to create a repayment plan to pay off the outstanding debt. Directed to information on the Council Tax Support Scheme and the Exceptional Hardship schemes run by the council, and signposted to the Citizen's Advice Bureau. Following this complaint, information available to the public via the council website was also reviewed.
Lack of planning enforcement activity	Following reporting to the council a breach of a planning condition, following alleged activity and associated noise on site in breach of specified working times, no acknowledgement was received.	Planning and Regulatory Services	Process review for acknowledging receipt of enforcement complaints undertaken. Investigations into the alleged breaches had been undertaken, and a site visit made to reinforce this to the developers and reiterate the agreed conditions.
Non-compliance of hairdressers with the Covid-19 regulations	Businesses not abiding by Guidance issued by central government in relation to the use of Personal Protective Equipment (PPE) in relation to providers of 'close contact' services and perceived lack of action from the council to rectify this.	Environmental Health	No formal enforcement action could be taken at the time of the complaint as the guidance issued by Government had not been passed into law. Following receipt of the complaint, further site visits were conducted to reassure the complainant.

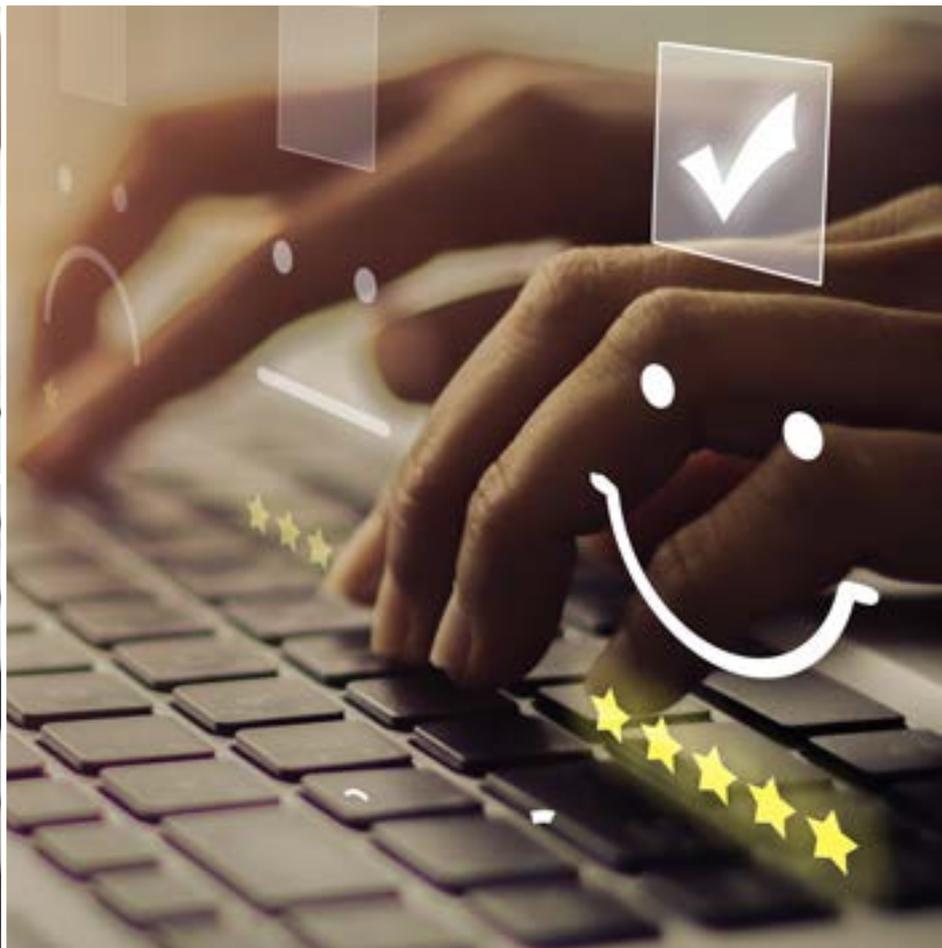
**Examples of Lessons learned from complaints received**

Complaint	Description	Department	Lessons Learned
Closure of public toilets	Frustration with the closure of the public toilets	Community Team	Explanation that we are trying to strike a delicate balance for our citizens, as some people are asking us to keep amenities closed and others are asking us to open our amenities. As a result of feedback received, we have begun to open toilets on market days, as this has been a way we can ensure the health and safety of our citizens and visitors. Assurance given that the feedback has been taken onboard as part of ongoing risk assessments of the public conveniences
Licence for funfair	Questioned why a licence had been given for a funfair to take place with the restrictions on meeting in groups and social distancing.	Environmental Health	Complainant informed that the travelling fun fair did not require a licence to operate and did not receive any type of licence or endorsement from Ryedale District Council. Events of this nature are not strictly prohibited at this moment in time by any Coronavirus Restriction Regulations and can go ahead provided they are conducted in a COVID-19 secure way.
Lack of contact from Ryedale District Council before the closure of the last round of the Collective Switching auction	Resident did not receive notification to register for the latest collective switching auction despite being involved in previous auctions	Housing	Apology given for any distress caused. Choices 4 Energy to notify resident of future auctions

**Examples of Lessons learned from complaints received**

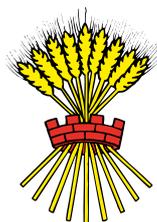
Complaint	Description	Department	Lessons Learned
Ongoing issues with waste and recycling collection	Resident had reported non-collection of bins on three separate occasions since the collection date 1st September. Also, when the bins have been emptied, they have been left next to or in the highway and there is a risk an accident occurring	Streetscene	Site visit to the property undertaken and agreed future collection point for waste and recycling. The InCab technology system in vehicles has been updated to this effect. Given the extra waste and circumstances referenced in the complaint, the RDC Commercial Waste service was also suggested as a potential solution.
Vehicle blocking access to property	Driveway blocked so unable to get vehicle in and out of property for an hour.	Streetscene	Apology given. Blocking of access to property was entirely unintentional.

# Complaints, compliments and feedback



HOW TO GET IN TOUCH, AND WHAT YOU CAN EXPECT WHEN YOU DO

RYEDALE  
DISTRICT  
COUNCIL



# Introduction

Ryedale District Council is committed to providing high-quality customer service, and we value your feedback. We use your feedback to help us to understand what we've done well, resolve things that have gone wrong, and improve our standards and quality of service. We want to make it as easy as possible for you to let us know your views, including telling us what works well, and making a complaint if you are dissatisfied.

In this document you can find out:

- How to leave a comment
- How to give a compliment
- How to make a complaint, how we deal with complaints, and your right of appeal
- The principles we use to make sure that we handle complaints efficiently, and resolve them as quickly as possible, in a fair and honest way

## Who is a customer?

A customer of the Council is anyone who accesses, uses or receives any Council service, or is affected by any Council policy or action.

## What is feedback?

Feedback is an expression of opinion about the Council's actions or standard and quality of service. You may have an idea for improving our services. If you do, we would like to hear about it. Whilst we do try to consider all feedback received in our policy and decision-making, some changes can take time to be implemented, and in some instances the Council has no power or duty to provide the service. As such, we do not provide individual responses to the feedback we receive.

Please send your feedback to: **[feedback@ryedale.gov.uk](mailto:feedback@ryedale.gov.uk)**

## What is a complaint?

We regard a complaint as any expression of dissatisfaction about our action or lack of action, or about the standard of service provided by us or on our behalf.

Please send details of your complaint to: **[complaints@ryedale.gov.uk](mailto:complaints@ryedale.gov.uk)**

## What is a compliment?

If you think there is something we have done well, we would be happy to hear from you. You may want to praise an individual officer or team for a job well done or a service provided. We will pass on your compliments to the relevant service area, and encourage others to follow similar ways of working. To stay efficient and reduce back-office paperwork, we do not provide individual responses to compliments, but we are very grateful for the feedback we receive.

Please send your compliments to: **[compliments@ryedale.gov.uk](mailto:compliments@ryedale.gov.uk)**

## How we handle complaints

To ensure we handle complaints effectively, we follow the Local Government and Social Care Ombudsman's "Principle of good administration practice".

### **Getting it right**

We will follow the law and take the rights of those concerned into account whilst following the Ryedale District Council Complaints Procedure. We will provide effective services, using appropriately trained and competent staff. This will allow us to take reasonable, timely decisions, based on all relevant considerations.

### **Being service-user focused**

We will ensure our services can be accessed easily by everyone, including those needing reasonable adjustments. We will tell service-users what they can expect and what the organisation expects from them. We will deal with service-users helpfully, promptly and sensitively, taking account of people's individual circumstances.

### **Being open and accountable**

We will be open and clear, ensuring information and advice is accurate and complete. We will state the criteria for any decisions we make and give the reasons for our decisions. We will take responsibility for our actions.

### **Acting fairly and proportionately**

We will treat people with respect and courtesy. We will be impartial, and will not unlawfully discriminate against people or show prejudice. Our decisions and actions will be proportionate, appropriate and fair.

### **Putting things right**

We will acknowledge our mistakes and apologize when appropriate, putting mistakes right quickly and effectively. We will provide clear and timely information about how and when to appeal or complain. We will operate an effective complaints procedure, which includes offering a fair and appropriate remedy when a complaint is upheld.

### **Seeking continuous improvement**

We will review our procedures regularly and ensure they are effective. We will ask for feedback and use this to improve our service performance. We will ensure our organisation learns lessons from complaints and uses them to improve services and performance.

## You can complain about...

- Delay in responding to your enquiries and requests
- Failure to provide a service
- Inadequate standard of service
- The treatment by or attitude of a member of staff
- Dissatisfaction with local authority policy
- Our failure to follow proper procedures

Your complaint may involve more than one Council service or be about someone working on our behalf.

## You can't complain about...

- A routine first-time request for a service
- A request for compensation from the Council
- Issues that are in court or have already been heard by a court or a tribunal
- Disagreement with a decision where a statutory right of appeal exists. for example in relation to: Council Tax, Planning or receiving a penalty charge notice
- An attempt to re-open a previously concluded complaint or to have a complaint reconsidered where we have already given our final decision
- If you feel it is necessary to complain about the conduct of a Councillor there is a separate process for this which is dealt with under the Member's Code of Conduct. Please email [feedback@ryedale.gov.uk](mailto:feedback@ryedale.gov.uk) or write to the Monitoring Officer, Ryedale House, Old Malton Road, Malton, YO17 7HH
- Feedback about policy. Although we do our best to ensure our policies are robust and fair, you may want to contact [feedback@ryedale.gov.uk](mailto:feedback@ryedale.gov.uk) about them or suggest an amendment. This should be done outside the complaints procedure.

Where a complaint cannot be dealt with under the Council's complaints procedures, we will inform you of any alternative procedure.



## Who can complain?

Anyone can make a complaint to us, including the representative of someone who is dissatisfied with our service. A representative will be required for young people under 12 years of age.

If you need support in making your complaint, please contact us by phone on 01653 600666. You can also email [complaints@ryedale.gov.uk](mailto:complaints@ryedale.gov.uk) or visit us face-to-face at Ryedale House, Old Malton Road, Malton, YO17 7HH and one of our Customer Service Assistants will complete the online complaints form on your behalf.

Alternatively, the Citizens Advice Bureau offers an impartial service and can advise you if you need any help with making a complaint against us.

To find out more, please contact:

- Citizens Advice Bureau Tel: 0808 278 7900 or <https://citizensadvicehrs.org.uk/get-advice-contact/ryedale>
- Age Concern Tel: 01723 379058
- Carers Resource Tel: 01723 850155

## How long do I have to make a complaint?

Normally, you must make your complaint within six months of:

- The event you want to complain about, or
- Finding out that you have a reason to complain, but no longer than 12 months after the event itself.

## How can I complain?

You can submit complaints, compliments and feedback in any of the following ways:

- In writing: by writing to Ryedale District Council, Ryedale House, Old Malton Road, Malton, YO17 7HH. Someone can also write on your behalf.
- In person: visit us at Ryedale House and speak to a member of staff between Monday to Thursday (9am to 5pm) and on Fridays (9am to 4:30pm)
- By telephone: phone 01653 600666 to contact Customer Services
- By email: [complaints@ryedale.gov.uk](mailto:complaints@ryedale.gov.uk)
- Online: visit the Ryedale District Council website and fill in our Complaints, Compliments and Feedback online form

When submitting your complaint, compliment or feedback, tell us:

- Your full name and address, postcode, telephone number and email address
- As much as you can about the incident, service or employee involved
- What has gone right or what has gone wrong
- How you want us to resolve the matter

# What happens after I have complained?

Wherever possible we aim to resolve complaints at the point of service delivery and as quickly as possible. We encourage you in the first instance to contact the service you wish to complain about. The service will do all it can to put things right and resolve the issue informally.

If however you are still dissatisfied and want to continue to make a complaint, we endeavour to acknowledge all complaints within one working day. We will then investigate your complaint in line with the following stages and timescales set out in this document.

## Stage one



We will acknowledge your submission of your stage one complaint within one working day.

We aim to resolve complaints quickly and close to where we provided the service. This may mean an on-the-spot apology where appropriate, or explaining the circumstances of why something went wrong and immediate action taken to resolve the problem(s).

We hope to have frontline resolution within ten working days. However, if the issue is complex and we cannot resolve within the ten working days, we will contact you or your representative to explain the reason for an extension.

Our acknowledgement will include:

- Details of a point of contact should you wish to discuss your complaint
- A deadline for when a decision will be made. This will usually be within 10 working days of the date of receipt of your complaint, unless there are special circumstances.
- When the inquiry into your complaint has been completed you will be contacted again and provided with the following:
  - » A clear statement about whether or not your complaint has been upheld
  - » An explanation of the circumstances leading to the decision
  - » An explanation of the action which has been taken/is being taken to ensure the same thing does not happen again
  - » The offer of a remedy
  - » Details about how to make a stage two complaint if you disagree with the response

## Stage two



If you are not satisfied with the response you receive about your complaint at stage one, then you can request a “stage two” investigation. To do this, you should respond to our decision either by email or letter, clearly stating that you wish to do this. We will acknowledge the submission of your stage two complaint within one working day.

Stage two deals with two types of complaint:

- Those that have not been resolved at stage one
- Those that are complex and require detailed investigation

Stage two complaints will be investigated by a senior manager. They may contact you to discuss your complaint, and to understand why you remain dissatisfied and what outcome you are looking for. After this investigation, we will give you a full response to the complaint as soon as possible, and within 20 working days.

If our investigation will take longer than 20 working days, we will tell you. We will agree revised time limits with you and keep you updated on progress.

When the investigating manager has completed their investigation, they will contact you and provide:

- A clear statement about whether or not your complaint has been upheld
- An explanation of why the issue has occurred
- An explanation of what is/will be done to make sure the same thing does not happen again
- The offer of a remedy
- Details about how to make stage three complaints to the Local Government Ombudsman if you disagree with the response

## What if I'm still dissatisfied?

After we have fully investigated, if you have been through all stages of our complaints procedure and you are still unhappy, you can ask the Local Government and Social Care Ombudsman to review your complaint.

There is no further level of appeal within the Council.

The Ombudsman cannot normally look at a complaint that has not completed the Ryedale District Council complaints procedure, so please make sure it has done so before contacting them.

The Ombudsman investigates complaints in a fair and independent way. It does not take sides. It is a free service.

The Ombudsman expects you to have given us a chance to deal with your complaint before you contact them. If you have not heard from us within a reasonable time, they may decide to look into your complaint anyway. This is usually up to 12 weeks, but can be longer for social care complaints that follow a statutory process.

### About the Ombudsman

The Local Government and Social Care Ombudsman looks at individual complaints about Councils and some other organisations providing local public services.

It also investigates complaints about all adult social care providers (including care homes and care home agencies) for people who self-fund their care.

The contact details for the Local Government and Social Care Ombudsman are:

Local Government and Social Care  
Ombudsman  
PO Box 4771  
Coventry  
CV4 0EH

Website: [www.lgo.org.uk](http://www.lgo.org.uk)

Telephone Number: **0300 061 0614**

Opening hours: Monday to Friday, 10am to 4pm (except public holidays)

## Persistent complainants

Whilst the Council endeavours to respond with patience and sympathy to the needs of all complainants, there are times when there is nothing further which can reasonably be done to assist or rectify a real or perceived problem.

A minority of the complaints made to the Council may become persistent, vexatious or deliberately repetitive.

Whilst the vast majority of complainants do not fall into this category, there will be a small number of complainants who - despite having their complaint investigated - will not accept the matter is concluded.

In such cases the complainant(s) may be considered under the Habitual or Vexatious Complainants Policy.

The Council Solicitor will notify complainants in writing about the reasons why their complaint(s) has been treated as habitual or vexatious and the action that will be taken.

This does not preclude the complainant raising new issues that are significantly different from the original complaint, and these will receive a response in accordance with this procedure.



## How we manage your information or personal data

Ryedale District Council may need to store and use data about you to deliver services properly.

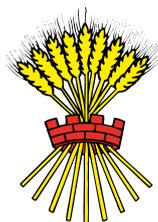
However, you have the right to ask for:

- Incomplete or inaccurate data to be rectified
- Personal data to be deleted
- The processing of your personal data to be restricted

These requests are not considered complaints, and requests should be made in writing or email to **[subjectaccess@ryedale.gov.uk](mailto:subjectaccess@ryedale.gov.uk)**

If you believe that we are not using and/or storing your data in a proper manner, or have not met our own standards for data use or storage and you have been through the relevant appeals procedure, then you can ask the Information Commissioner's Office to review this and offer you further advice.

Details on how to contact the Information Commissioner are available at: [www.ico.org.uk](http://www.ico.org.uk)



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# RDC Forward Plan – O&S

Date of Meeting	Committee	A/B	Service Area	Report Title	Draft Deadline	Final Deadline	Draft Press Release	Implement Date	Full Council	Reporting Officer	Annual Y/N
<b>June</b>											
10-Jun-21	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q4 2020/21	19-May-21	01-Jun-21				MW	Y
10-Jun-21	Overview and Scrutiny Committee	OS	Corporate Governance	Appointment of Corporate Governance Standards Sub-Committee	19-May-21	01-Jun-21				SC	Y
<b>July</b>											
28-Jul-21	Overview and Scrutiny Committee	OS	Financial Services	Draft Annual Governance Statement	06-Jul-21	19-Jul-21				AH	Y
28-Jul-21	Overview and Scrutiny Committee	OS	Corporate Governance	Scrutiny Reviews Progress Report and Identification of Future Topics	06-Jul-21	19-Jul-21				SC	Y
28-Jul-21	Overview and Scrutiny Committee	OS	Corporate Governance	Standards Complaints Overview and Annual Report	06-Jul-21	19-Jul-21				SC	Y
28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Treasury Management Annual Report 2020/21	06-Jul-21	19-Jul-21				AH	Y
28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit and Counter Fraud Annual Report 2020-21	06-Jul-21	19-Jul-21				Veritau	Y
28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Counter Fraud Framework Update	06-Jul-21	19-Jul-21				Veritau	Y
28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit Plan 2021/22	06-Jul-21	19-Jul-21				AH	Y

Page 27

Agenda Item 9

28-Jul-21	Overview and Scrutiny Committee	OS	Economic Development, Business and Partnerships	Everyone Active Annual Report	06-Jul-21	19-Jul-21				AT	Y
28-Jul-21	Overview and Scrutiny Committee	A	Communications, Technologies and Business Transformation	Annual Health and Safety Report	06-Jul-21	19-Jul-21				LW	Y
28-Jul-21	Overview and Scrutiny Committee	OS	Corporate Governance	Review of Workplan	06-Jul-21	19-Jul-21				SC	Y

<b>August</b>											
<b>September</b>											

30-Sep-21	Overview and Scrutiny Committee	Au	Financial Services	Risk Management Update	08-Sep-21	21-Sep-21				SC	Y
30-Sep-21	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q1 2021/22	08-Sep-21	21-Sep-21				MW	Y
30-Sep-21	Overview and Scrutiny Committee	OS	Customer Services	LGO Annual Review Letter 2020/21	08-Sep-21	21-Sep-21				MW	Y
30-Sep-21	Overview and Scrutiny Committee	OS	Corporate Governance	Scrutiny Review Progress Report	08-Sep-21	21-Sep-21				SC	Y
30-Sep-21	Overview and Scrutiny Committee	OS	Corporate Governance	Review of Workplan	08-Sep-21	21-Sep-21				SC	Y
30-Sep-21	Overview and Scrutiny Committee	OS	Economic Development, Business and Partnerships	Implementation of recommendations of the Climate Change Action Plan	08-Sep-21	21-Sep-21				JL	Y

<b>October</b>											
21-Oct-21	Overview and Scrutiny Committee	OS	Corporate Governance	Timetable of Meetings 2022/2023	29-Sep-21	12-Oct-21				SC	Y

21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	Statement of Accounts 2020/21	29-Sep-21	12-Oct-21				AH	Y
21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	First Internal Audit and Counter Fraud Progress Reports 2021/22	29-Sep-21	12-Oct-21				Veritau	Y
21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	Update of Internal Audit Charter	29-Sep-21	12-Oct-21				Veritau	Y
21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	External Audit Annual Audit Letter 2020/21	29-Sep-21	12-Oct-21				AH	Y
21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	External Audit Annual Fee Letter 2021/22	29-Sep-21	12-Oct-21				AH	Y
21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	Annual Governance Statement	29-Sep-21	12-Oct-21				AH	Y

21-Oct-21	Overview and Scrutiny Committee	Au	Financial Services	Treasury Management Mid Year Review	29-Sep-21	12-Oct-21				AH	Y
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**November**

18-Nov-21	Overview and Scrutiny Committee	OS	Corporate Governance	Standards Complaints Overview and Annual Report	27-Oct-21	09-Nov-21				SC	Y
18-Nov-21	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q2 2021/22	27-Oct-21	09-Nov-21				MW	Y

**December**

**January**

20-Jan-22	Overview and Scrutiny Committee	Au	Financial Services	Second Internal Audit and Counter Fraud Progress Reports 2021/22	29-Dec-21	11-Jan-22				AH	Y
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20-Jan-22	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit Plan 2022/23 - Consultation	29-Dec-21	11-Jan-22				AH	Y
20-Jan-22	Overview and Scrutiny Committee	Au	Financial Services	External Audit Plan	29-Dec-21	11-Jan-22				AH	Y
20-Jan-22	Overview and Scrutiny Committee	Au	Corporate Governance	Update on the use of RIPA	29-Dec-21	11-Jan-22				SC	Y
20-Jan-22	Overview and Scrutiny Committee	B	Financial Services	Treasury Management Strategy Statement and Investment Strategy 2022-23	29-Dec-21	11-Jan-22	11-Jan-22		17-Feb-22	AH	Y
17-Feb-22	Council										

**February**

28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Risk Management Update	06-Jul-21	19-Jul-21				SC	Y
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10-Feb-22	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q3 2021/22	19-Jan-22	01-Feb-22				MW	Y
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**March**

24-Mar-22	Overview and Scrutiny Committee	OS	Customer Services	Safer Ryedale and Community Safety Plan	02-Mar-22	15-Mar-22				MW	Y
24-Mar-22	Overview and Scrutiny Committee	OS	Financial Services	CIPFA Financial Management Code	02-Mar-22	15-Mar-22				AH	Y
24-Mar-22	Overview and Scrutiny Committee	OS	Economic Development, Business and Partnerships	Implementation of recommendations of the Climate Change Action Plan	02-Mar-22	15-Mar-22				PS	Y

**April**

28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Risk Management Update	06-Jul-21	19-Jul-21				SC	Y
28-Jul-21	Overview and Scrutiny Committee	Au	Financial Services	Risk Management Update	06-Jul-21	19-Jul-21				SC	Y

21-Apr-22	Overview and Scrutiny Committee	Au	Financial Services	External Audit Progress Report	30-Mar-22	12-Apr-22					AH	Y
21-Apr-22	Overview and Scrutiny Committee	Au	Financial Services	Third Internal Audit and Counter Fraud Progress report	30-Mar-22	12-Apr-22					AH	Y
21-Apr-22	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit and Counter Fraud Governance Plans 2022/23	30-Mar-22	12-Apr-22					AH	Y

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