



## OVERVIEW AND SCRUTINY COMMITTEE

Tuesday 16 November 2021 at 6.30 pm

Council Chamber, Ryedale House, Malton

Please note this meeting will not be livestreamed. Anyone who wants to attend the meeting in person please can you contact Owen Griffiths on [owen.griffiths@ryedale.gov.uk](mailto:owen.griffiths@ryedale.gov.uk) so that arrangements can be made to accommodate that.

### 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 21 October 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 Q2 2021/22**

(Pages 5 - 16)

**7 Decisions from other Committees**

Policy and Resources Committee held on

- 8 **Any other business that the Chairman decides is urgent.**

## Overview and Scrutiny Committee

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Held at Council Chamber, Ryedale House, Malton  
on Thursday 21 October 2021

### Present

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Councillors Bailey, King, Middleton (Chair), Oxley, Raine, Raper and Wass (Vice-Chair)

### In Attendance

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Alan Bardet, Jonathan Dodsworth and Anton Hodge, Conner Munro, Simon Copley, Owen Griffiths.

### Minutes

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40 **Apologies for absence**

Apologies were received by Cllrs Garbutt-Moore and Riby.

41 **Minutes of the meeting held on 30 September 2021**

<b>Decision</b>
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That the minutes of the meeting of the Overview and Scrutiny Meeting held on 30 September 2021 be approved and signed by the Chair as a correct record.
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Voting Record

Unanimous

42 **Urgent Business**

There was no urgent business.

43 **Declarations of Interest**

There were no declarations of interest.

44 **Chair's Announcements**

There were no announcements from the Chair.

45 **First Internal Audit and Counter Fraud Progress Reports 2021/22**

Considered- The report of the Chief Finance Officer

<b>Decision</b>
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That the Committee received the First Internal Audit and Counter Fraud Progress Reports 2021/22 and noted the work undertaken by internal audit and the counter fraud team in the year to date.

Voting Record  
Unanimous

46 **Treasury Management Mid-Year Review**

Considered- The Report of the Chief Finance Officer

**Decision**

That the Treasury Management Mid-Year Review be received by the members and the mid-year performance of the in-house managed funds to date is noted.

Voting Record  
Unanimous

47 **O & S Forward Plan**

The Committee received the Overview and Scrutiny Forward Plan.

**Task Groups**

The first scrutiny task group met on 19 October and next steps were agreed ahead of a further meeting.

**Future Meetings:**

The next meeting in November was due to be on the same date as the Cropton By-election (18 November). The question was raised as to whether the items should be moved to a different meeting or if the meeting should be brought forward. Members wanted to bring the meeting forward to reflect the necessity of regular meetings.

Tuesday 16 November was proposed as the new meeting date.

Voting Record  
Unanimous

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

There being no further business the Chair ended the meeting at 7:25pm.



<b>PART A:</b>	<b>MATTERS DEALT WITH UNDER DELEGATED POWERS</b>
<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>18 NOVEMBER 2021</b>
<b>REPORT OF THE:</b>	<b>PROGRAMME DIRECTOR PEOPLE AND RESOURCES MARGARET WALLACE</b>
<b>TITLE OF REPORT:</b>	<b>CUSTOMER COMPLAINTS AND COMPLIMENTS Q2 2021/22</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 To provide an update on the customer complaints and compliments received in 2021/22 to the end of the quarter 2 reporting period on 30<sup>th</sup> September 2021.

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

- 2.1 It is recommended to:

- (i) Note and endorse the continued good performance of complaints and compliments received in the second quarter of 2021/22 of the reporting cycle.

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

- 3.1 To monitor the numbers of complaints and compliments received, the topics of complaints 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 **Our Organisation, an Innovative, Enterprising Council- Accessible to all.**

We will transform our customer services, using new ways of working to improve our

responsiveness. We will support those who are digitally excluded or need support to access online services. We will bring partners into Ryedale House and provide options for a “one-stop” Public Services Hub. We will tackle inequality. Delivering better equality across the district is central to everything we do, and we are committed to doing all we can to be a welcoming and inclusive place characterised by diversity. We will improve our engagement with you, asking for your views, and using your feedback

## **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, 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 A complaint is defined within the Council as *“an expression of dissatisfaction about our action or lack of action, or about the standard of service provided by us or on our behalf”*.
- 6.3 The Council operates a 2 stage complaints procedure to respond to the issues raised by complainants. At stage 1 we will acknowledge the submission of the complaint within 1 working day, details of the named officer dealing with the complaint and outlining the timescales for response. At stage 1 it is hoped that we have frontline resolution within ten working days. However, if the issue is complex and we cannot resolve within the 10 working days, we will contact the complainant or their representative to explain the reason for an extension.
- 6.4 If the complainant is not satisfied with the response, they receive about their stage 1 complaint, then they can request a stage 2 investigation. We will acknowledge the submission of their stage 2 complaint within one working day. Stage 2 deals with two types of complaints: Those that have not been resolved at stage 1 and those that are complex and require detailed investigation. Stage 2 complaints will be investigated by a senior manager. After this investigation, the senior manager will provide a full response to the complainant as soon as possible, and within 20 working days.
- 6.5 If the complainant is not satisfied with the stage 2 response, there is the option for the complainant to escalate 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 2 stage process at the Council first.
- 6.6 Since the Quarter 1 update in September 2021, the council has responded to a further 4 complaints in the period between 1 July 2021 and 30 September 2021. The total number of corporate complaints the council has handled so far this reporting year is 18. During the second quarter, 3 complaints (75%) were handled under Stage 1 of our complaints procedure with 1 complainant (25%) remaining dissatisfied with the Stage 1 outcome and advancing on to stage 2 of the corporate complaints process. The Stage 2 Complaint is still ongoing and on track for a response within the stage 2 response time frame (20 days) The Quarter 2 figures present a significant decrease in

the number of complaints compared to the previous quarter which shows the benefit of the changes implemented within the Complaints Handling team and the improvement achieved so far in the ongoing review of the administration process.

- 6.7 With the agreement of the complainant, one complaint received in Quarter 2 required the stage 1 handling timescales to be extended beyond the standard 10 days due to its complexity and need to revisit records in relation to the complaint across multiple services. All of the other complaints were answered within the procedural timescales set out in our Corporate Complaints Procedure. A detailed analysis of the breakdown of complaint topics, timescales and outcomes are attached (**Appendix 1**)
- 6.8 The analysis of the complaints received highlights that the majority of complaints received within Quarter 2 were not upheld as council procedures had been followed. However, complaints are an important part of the feedback process for the Council to learn from any issues raised and improve how we deliver our services, to provide a better standard of service that is more responsive to people's needs.
- 6.9 The analysis also highlights some areas where we have failed to provide customer excellence and where this has happened, we have apologised and made service improvements to address the areas of concern and provided staff refresher training. For example, an error with a bill calculation. We have apologised for this error and taken the action required to rectify the mistake and ensure future inaccuracies are avoided.
- 6.10 The complaint analysis shows a trend beginning to form in the complaint categories when looking at the overall complaints for 2021-22, with further complaints received in quarter 2 relating to our Public Toilets and COVID-19 related services (Covid-19 funding/grants)
- 6.11 The learning and actions resulting from complaints are an important element of the customer feedback reporting and improving services. Understanding the causes of the complaints and common themes inform learning and the identification of actions to address the underlying causes of the complaint being made. To ensure we continue to improve our services; customer service complaints officers will continue to work with the service to ensure high quality of response to complaints received. The officers will work with services to ensure timescales for complaints are met. They will also work with service departments to achieve service improvements to mitigate further complaints implementing a new service improvement plan from Quarter 3

## COMPLIMENTS

- 6.12 When analysing the customer complaints, it is important that this is done in conjunction with our compliments received to provide a full picture of our customer feedback. The number of service compliments recorded in the 2021/22 Quarter 2 period from 1<sup>st</sup> July to 30<sup>th</sup> September 2021 is 24, giving a total of 40 compliments received during the reporting year to date.
- 6.13 Examples of some of the compliments from July to September 2021 include:

XXX called an ambulance after receiving a call from XXX. She called back to say how grateful she was that he kept her calm, was so professional, and how quickly he managed to get help
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More importantly I would like to thank you for the very professional approach you have taken in the handling of this planning application and the courtesy with which you have dealt with me at all times. I have particularly appreciated the dialogue we have had when you had concerns over aspects of the design allowing sensible reconsideration to be made by me with agreement of the applicant.

Please thank the team who dealt with the mattress that was dumped by the side of the B1248 south of Norton.

My wife & I have just had a little trip in our motorhome to Helmsley where we stayed in the Cleveland Way overflow car park. It is a great little facility & would like to thank whoever it was in Ryedale District Council who promoted the idea. Just to give an insight into what the value of us being there was to the local economy. In total we spent well over £150 & enjoyed our stay. There were 10 vans in total staying overnight & we saw their owners in & around the town throughout the day & evening so suspect they also spent readily. The facility sets Helmsley apart from other towns we have visited so I hope they it feels the benefits especially to small businesses.

I have just received excellent service from Customer Services and the garden waste team who have organised a special collection for my bin following the loss of our payment tag. XXX was polite, efficient, helpful and friendly and his service has reduced my stress levels considerably.

## 7.0 IMPLICATIONS

7.1 The following implications have been identified:

- a) Financial  
Costs are contained within the agreed budgets for the service.
- b) Legal  
No complaints required to be escalated to Legal services for advice in quarter 1
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental and Climate Change, Crime & Disorder)  
There are no direct equality implication identified, all complaints are handled on a case by case basis taking into account individual's circumstances and details of events whilst liaising with complainants when required to fully understand the matter in depth to ensure the matter is fully addressed and resolved.

**Margaret Wallace**  
**Programme Director People and Resources**

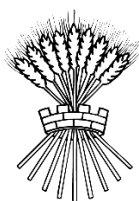
**Author:** Steph Medcalf, Customer Services Project Officer  
**Telephone No:** 01653 600666 ext: 43453  
**E-Mail Address:** [steph.medcalf@ryedale.gov.uk](mailto:steph.medcalf@ryedale.gov.uk)

**Background Papers:**  
[Agenda Reports Pack Q1 committee update: Thursday 30th September 2021](#)



**Background Papers are available for inspection at:**  
None

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## **Quarter One and Two Corporate Complaints Report**

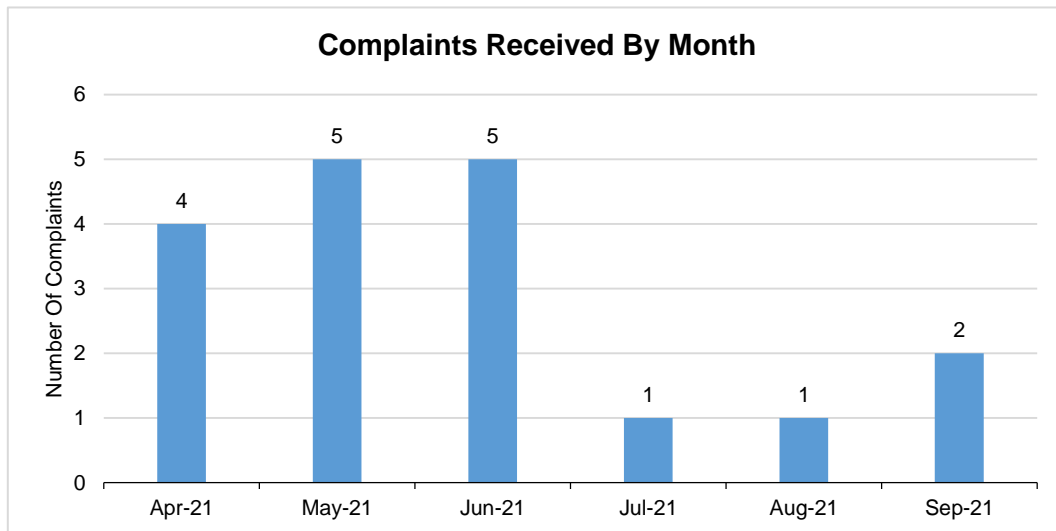
<b>Author</b>	Jade Hutchinson
<b>Version</b>	2
<b>Status</b>	Final
<b>Date</b>	15/10/2021

The report below provides an overview of the corporate complaints received in quarter one from 1 April 2021 to 30 June 2021 and quarter two from 1 July 2021 to 30 September 2021. Within this period 18 complaints were received, 14 in quarter one and 4 in quarter two. The report is broken down into two sections: An overview of all the complaints received during this time period, and timescale for response, followed by an overview of the complaint’s issues raised by complainants.

**OVERVIEW OF ALL COMPLAINTS**

Throughout the period of April 2021 – September 2021, 18 corporate complaints were recorded.

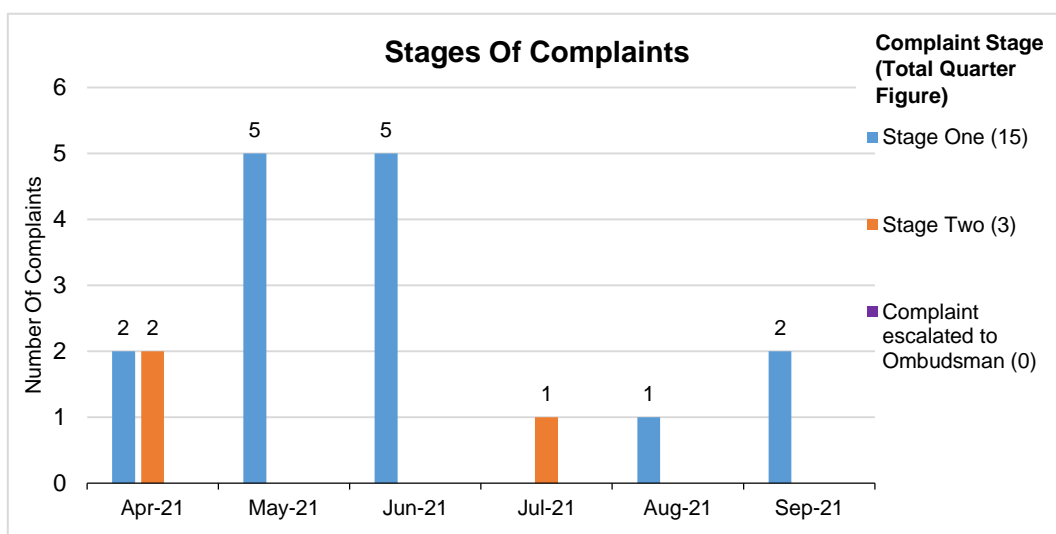
**Total Complaints**



**Complaint Stages**

Throughout quarter one, only 2 complaints out of the 14 received were escalated to a formal complaint (Stage 2). The majority of complaints, 12 (86%), did not escalate beyond an initial complaint (Stage 1). In Quarter two, only 1 complaint out of the 4 received escalated to a formal complaint (Stage 2), however one initial complaint (Stage 1) is still ongoing.

Please note the month that the complaint stage is logged in is based on the date the initial complaint was received, it will not be the month that the complaint was raised to a formal complaint.

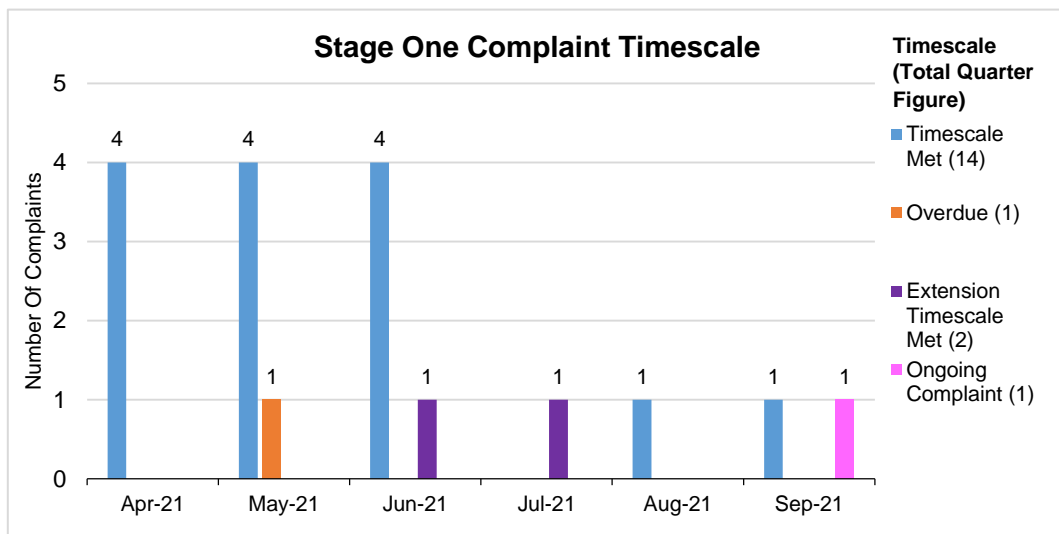


## Timescales

### Stage 1 Complaint Timescales

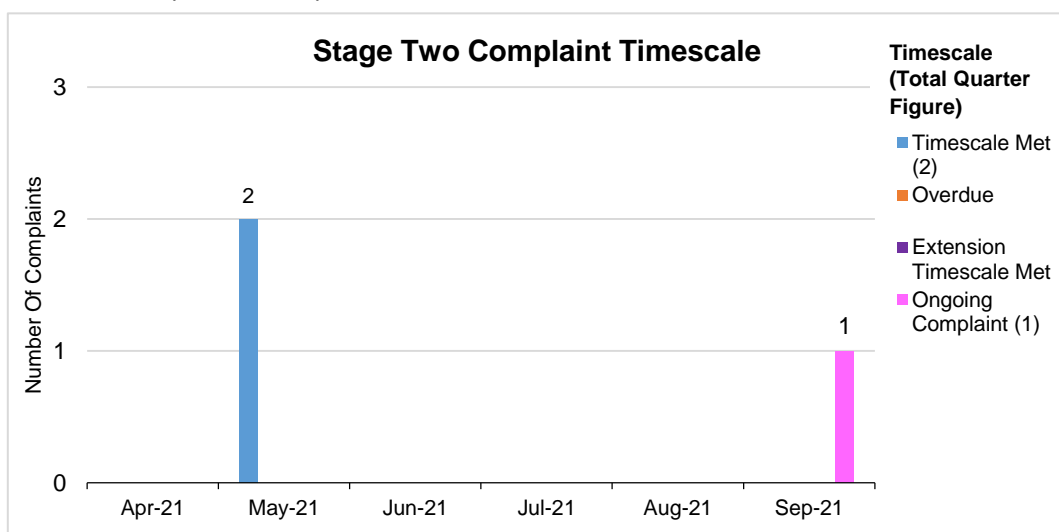
Within the period of April 2021 – June 2021, only one Stage 1 complaint did not meet the timescale set, the complaint was overdue by 1 day. For one complaint received in quarter one, an extension of 10 days was agreed with the complainant due to the complexity of the request and further investigations required, the response was sent by the agreed extension date.

Within the period of July 2021 – September 2021, 50% of Stage 1 complaints met the 10 day timescale set, this may change to 75% as currently a Stage 1 complaint is still ongoing from this quarter. For one complaint received in quarter two, an extension of 10 days was agreed with the complainant due to the complexity of the request and further investigations required. The response was sent by the agreed extension date.



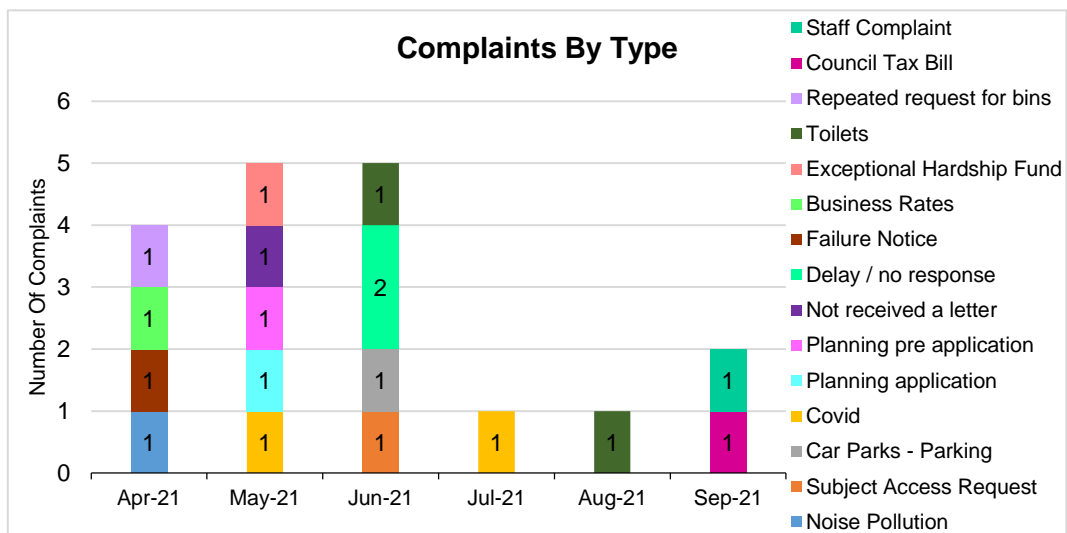
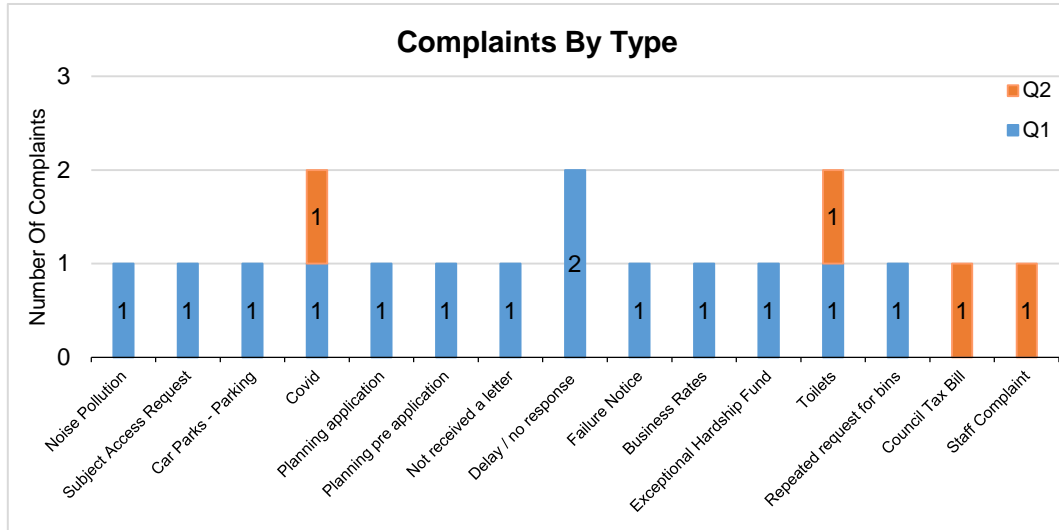
### Stage Two Complaint Timescales

Within the period of April 2021 – June 2021, 2 complaints were escalated to Stage 2 of the Complaints Procedure. Within the period of July 2021 – September 2021, 1 complaint was escalated to Stage 2 of the Complaints Procedure, this may change as a Stage 1 complaint this quarter is currently still ongoing. The month in the graphs below are for when notification was received from the complainant and the formal complaint was opened.



## Topic of Complaints

Below is a graph which breaks down the complaints into categories, based upon the topic of the complaint and the quarter the complaint was received in. The graph underneath this shows the complaint type by month.



## **COMPLAINTS OVERVIEW**

The table below provides an overview of the topics of the complaints received, timescales met in accordance with our complaint's procedure, outcomes, and service improvements.

### **Quarter Two**

<b>Date</b>	<b>Title Of Complaint</b>	<b>Stage Title</b>	<b>Outcomes</b>
21/06/2021	Complaint regarding repayment of grants	Stage 2	Stage 1 complaint request for an extension in timescale to respond due to the complexity of the complaint. Extension timescale met and response given - investigation showed all procedures had been met. Stage 2 complaint is currently ongoing.
12/08/2021	State of public conveniences	Stage 1	Stage 1 complaint timescale met - investigation identified that a programme of Improvement works are being undertaken with all public toilets in Ryedale and due to be finished later in the year, the complainant was updated.
16/09/2021	Council Tax Bill 2021/22	Stage 1	Stage 1 Complaint timescale met - investigation showed all procedures followed. The service did provide an amended bill to the complainant. Following feedback, the service has emailed all staff in the department with the procedures to prevent the error from occurring again.
30/09/2021	issue around waste and recycling collection	Stage 1	This complaint was still ongoing at the end of Q2 due to its submission at the end of the month. The complainant was visited and issues with the collection service were resolved. Refresher training was delivered to all collection crews. This complaint is now closed.

### **Quarter One**

<b>Date</b>	<b>Title Of Complaint</b>	<b>Stage Title</b>	<b>Outcomes</b>
01/04/2021	Failure Notice	Stage 2	Stage 2 complaint timescale met - investigation showed all procedures had been met.
08/04/2021	Repeated requests for new refuse bins	Stage 1	Stage 1 complaint timescale met - investigation showed a delay had occurred and an apology given. Service improvements being implemented.
13/04/2021	Business Rates	Stage 1	Stage 1 complaint timescale met - investigation showed all procedures had been met.

26/04/2021	Noise Pollution-	Stage 2	Stage 2 timescales met- investigation undertaken, full response provided, all procedures followed.
04/05/2021	Contact with the Council on pre-application advice	Stage 1	Stage 1 timescale missed by one day. Investigation showed that all procedures had been followed.
04/05/2021	Council Tax Complaint - Exceptional Hardship Fund	Stage 1	Stage 1 Complaint timescale met- investigation showed all procedures followed. The service did provide further assistance to the complainant. Following feedback, the service is providing a more holistic approach to applications.
05/05/2021	Claim from Covid Fund, Charity or Grant	Stage 1	Stage 1 timescale met- investigation confirmed service procedures were followed. Following the feedback, the Service added further information regarding the fund on RDC website.
05/05/2021	Planning Application	Stage 1	Stage 1 timescale met- investigation showed all procedures were followed and service timescales met.
20/05/2021	non receipt of neighbour letter	Stage 1	Stage 1 timescale met- investigation showed all procedures were followed and letters sent.
07/06/2021	Delay in resolving an enforcement issue	Stage 1	Stage 1 timescale met- investigation showed that there had been a delay, apology given to complainant. Service had been in the process of recruiting a new enforcement officer. Action taken upon appointment.
14/06/2021	Ignored planning issues	Stage 1	Stage 1 complaint request for an extension in timescale to respond due to the complexity of the complaint. Extension timescale met and response given with follow up actions agreed with complainant.
14/06/2021	Ropery Toilets at Pickering	Stage 1	Stage 1 complaint timescale met- investigation identified that a programme of Improvement works are being undertaken with all public toilets in Ryedale and due to be finished later in the year, the complainant was updated.
24/06/2021	Subject Access Request-	Stage 1	Stage 1 complaint timescale met- Investigation identified complaint upheld and an apology given to complainant. Service improvement to update subject access procedures.
28/06/2021	Motorcycle Parking – Helmsley	Stage 1	Stage 1 complaint timescale met- investigation identified procedures followed, customer feedback will be fed into parking strategy.