

Leadership Team Governance Meeting Notes

Meeting Date	Tuesday 23 June 2020; 10:30 – 12:00, by video conference
Attendees	Rosemary Agnew, Ombudsman (Chair) Niki Maclean, Director Fiona Paterson, Corporate Services Manager John Stevenson, Head of Improvement, Standards and Engagement
Observers	None
Apologies	None

Item	Subject	Main points of discussion	Decisions taken	Actions agreed	Due	Lead
	DPO Officer annual attendance	DPO welcomed by Ombudsman. DPO report: Confirmed thoroughly involved in all relevant areas, appreciates the timely contact and updates by CIGO and LPO. Follow through on recommendations and comments is evidenced. Early notification of projects will ensure privacy by design. Noted the heavy caseload for SARS in comparison to similar organisations.	Noted DPO Annual Assurance statement in Information Governance report.			



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		<p>Ombudsman gave thanks to the DPO for all the work and support provided.</p> <p>Ombudsman noted the fantastic annual performance outlined in the paper, and the comparison to other organisations is helpful.</p> <p>CIGO noted that this year the focus will be to review our policies and guidance for electronic working, and encourage further adoption of this form of working. In particular, the interaction between our three applications – Workpro, eRDM and Connect – and their use for casework will be closely watched.</p>				
1.	Minutes, action point updates and matters outstanding	<ul style="list-style-type: none"> Reviewed the few outstanding actions and discussed the updated position on each. 				
2.	Confirmation of governance decisions taken at LT operational meetings		<ul style="list-style-type: none"> Decisions confirmed. 			



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3.	Financial report	<ul style="list-style-type: none"> Discussed in detail the year-end position. Noted the low year-end cash position following the absorbing of costs as agreed with SPCB. Noted the known contingencies for this year of around £100k. Training income loss of £100k may present a deficit of £200k to the budget. 		LT to closely review this year's costs.	08 Jul 20	NM
4.	External Audit report	<ul style="list-style-type: none"> External Audit Plan noted, and the good progress made on the audit so far. The draft Accountability Report was approved in principle, awaiting additional information on pensions when available. 				
5.	Internal Audit report	<ul style="list-style-type: none"> Noted the new appointment and the plan for this year's activities, beginning in September. 	Annual plan approved.			
6.	Risk and Incident report	<ul style="list-style-type: none"> Greatest strategic risk continues to be funding for resources. 	<ul style="list-style-type: none"> Strategic risk register approved for publication for Q4. 	1. Review the SPSO Risk Appetite with the	1. 31 Oct 20	1. RA



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		<ul style="list-style-type: none"> • Noted no critical operational risks, but more high risks than previously recorded. • Noted the changes to risks for 2020-21 baseline register and agreed to update the assessment of Operational Risk 18. 		Management Group.		
7.	Customer Service Complaints report	<ul style="list-style-type: none"> • Noted the year-end report, in particular the good performance on timescales and outcomes. Findings for this year showed an impressive performance when compared to other public bodies. • Discussed the recommendations, and requested that the report is provided to the Casework Performance Management Meeting for management discussion. • Noted the draft ICCR report and made suggestions for the presentation of the recommendations. 		<ol style="list-style-type: none"> 1. Table report to all staff at All Staff meeting 2. Provide feedback to ICCR and finalise report for publication. 	07 Jul 20	JS



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8.	Business plan report	<ul style="list-style-type: none"> Noted that some additional BP activities during the year were prioritised over other planned activities. Discussed the reason for some carry-forwards Noted that good resource planning and prioritising ensured all essential items were met. Difficulties experienced when working remotely with large excel workbooks have led to the delay in finalising the 2020-21 BP. In particular there were inaccuracies noted in the ISE pages 	<ul style="list-style-type: none"> BPQ4 approved for publication 	<ol style="list-style-type: none"> Confirm correct content for ISE Finalise 2020-21 BP for baseline publication 	<ol style="list-style-type: none"> 03 Jul 20 08 Jul 20 	<ol style="list-style-type: none"> JS (CSM) All
9.	Corporate Services Assurance report	<ul style="list-style-type: none"> LT noted the update from all areas providing good assurance for activities. LT acknowledged all the additional work undertaken to respond to the COVID-19 incident in Q1 to ensure BAU was achieved as soon as possible. 				



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11.	Human Resources Report	<ul style="list-style-type: none">Not available due to the impact of lockdown on staff ability to provide information for year-end. The year-end report will be tabled with the Q1 report at the next meeting.				
10.	AOB	None				

Approved for publication on 30 June 2020

Rosemary Agnew

Rosemary Agnew, Scottish Public Services Ombudsman