



Business plan 2021-2022

Scottish Public Services Ombudsman



SPSO Business Plan 2021-22 Explanatory Notes

Introduction

This document sets out the Scottish Public Services Ombudsman’s annual business plan for the period from 1 April 2021 to 31 March 2022. It sets out what we will do this year to deliver our strategic vision and aims. It should be read in conjunction with our Strategic Plan 2020-2024.

Vision The Scottish Public Services Ombudsman contributes actively and positively to high performing Scottish public services. Recognised for our innovative world-leading approach, we put people and learning at the heart of all we do.	Strategic themes <ul style="list-style-type: none"> • Accessibility • Access to justice • Capacity • Standards
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Values



SPSO Strategic aims 2020-2024

1	We will make our own services as accessible as they can be.
2	We will push for legislative change to enable us to make our services and those of other Scottish public bodies accessible.
3	We will continue to develop relationships with our stakeholders to both learn from and to contribute to fair, accessible Scottish public services.
4	We will deliver our statutory functions in line with legislative requirements and our published customer services standards and performance targets.
5	We will contribute to the development of the wider access to justice environment through engagement with relevant groups and stakeholders such as the UK Access to Justice Council, the Open Government Partnership, and other commissioners and ombudsman services.
6	We will continue to push for adequate funding for our functions and seek to develop a more sustainable funding model.
7	We will be acknowledged for having well-trained, properly supported people, who have the tools they need to deliver our services.
8	We will build or maintain our capacity, financial, human and infrastructure, to implement and deliver our statutory functions.
9	We will review and develop the support, guidance and training we offer to public bodies, complainers and whistleblowers to enable them to develop their own capacity, in particular the NHS in developing its capacity in respect of whistleblowing.
10	We will monitor Scottish public bodies’ complaint, Scottish Welfare Fund and Whistleblowing handling, holding them to account for poor performance and giving credit for good performance.
11	We will develop our capacity to gather and share information to enable us to make informed and beneficial interventions when complaint, whistleblowing and Scottish welfare fund services fall below accepted standards.
12	We will review the Model Complaints Handling and National Whistleblowing standards, to ensure they remain fit for purpose.
13	We will contribute to the development and/ or review of other standards and guidance to ensure they deliver services to the standards required.

Equalities Commitments

<ol style="list-style-type: none"> 1 Take proactive steps to identify and reduce potential barriers to ensure that our service is accessible to all. 2 Identify common equality issues (explicit and implicit) within complaints or reviews brought to our office and feed back learning from such cases to all stakeholders. 3 Ensure that we inform people who are taking forward a complaint or review of their rights and of any available support, and that we encourage public authorities to do the same. 4 Ensure that we play our part in ensuring that service providers understand their duties to promote equality within their complaints handling and review procedures. 5 Monitor the diversity of our workforce and supply chain, and take positive steps where under-representation exists.

Resources

<p>Total SPSO budget for 2021-22 is £6,165,000 broken down as follows:</p> <ul style="list-style-type: none"> • Staff costs £4,900K • Running costs £678K • Bridgeside House costs £579k management of Bridgeside House for SPSO, SHRC and CYPSCS) • Less Total estimated SPSO income (£100,000)

Commonly used terms

BAU: Business as usual

C&I: Complaints and investigations

CS/ Corp Serv: Corporate Services

Dir-: Director (followed by main operational area, e.g. Dir-C&I)

HoISE: Head of Improvement, Standards and Engagement

INWO: Independent National Whistleblowing Officer Complaints

ISE: Improvement, Standards and Engagement

LT: Leadership team

Omb / SPSO: the Ombudsman

Priority: strategic and business priority

Statutory: delivers a duty SPSO must meet

S/H: high priority to support or enable a statutory duty

High: high strategic or business priority (have a choice but essential to achievement of strategic aims and business delivery)

M: medium strategic or business high priority (have a choice about whether to do)

L: low business priority (desirable but have a choice about whether to do)

PSC: Public Service Complaints

SWF: Scottish Welfare Fund

No	Activity <i>description of task/ activity/ project</i>	Strategic Theme <i>Select</i>	Type <i>Select</i>	Frequency <i>Select</i>	Start	End	Priority <i>Select</i>	Measure/ KPI/ Reporting	Status <i>Select</i>	Comment/ update <i>E.G.</i> - why not on target/ exceeded - actual achieved - important milestones achieved - if it is a new addition to the plan - policy decisions taken - why discontinued, or carried forward
1	Case-handling - Advice (provide advice and signposting; and manage Freephone telephone advice service)	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	95% of cases advice stage completed within 5 days		Monitoring of actual performance assess whether alternative target measures are appropriate
2	Case-handling - Initial Assessment (assess suitability and maturity; take action on premature cases)	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	80% of cases moved to Investigation within 15 days		Monitoring of actual performance assess whether alternative target measures are appropriate
3	Case-handling - Investigations (including direct investigations and discontinued investigations)	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	90% of investigations completed within 260 days		Monitoring of actual performance assess whether alternative target measures are appropriate
4	Resourcing: Monitor case volumes and complexity to identify as soon as case numbers indicate the need for additional resourcing; take steps to seek resources and then recruit as appropriate	Capacity	BAU	Monthly	01/04/2021	31/03/2022	S/H	adequate resources to complete statutory functions to time and quality. Report to LT through other reports		
5	New CRs: Develop comprehensive induction package for new CRs joining the team	Capacity	Project	Project defined	01/07/2021	30/09/2021	S/H	Induction plan in place		
6	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	Capacity	BAU	Continuous	01/04/2021	31/03/2022	H	PDPs and team training plan in place		
7	Performance standards - monitor performance against service standards using internal and stakeholder feedbackand CSC, and identify and implement improvements	Standards	BAU	Quarterly	01/04/2021	31/03/2022	H	Quarterly report to LT as part of business plan update, including learning, reccs and details of action taken and planned		
8	Customer experience review phase 1 - monitor investigation procedure implementation to identify improvements and learning from case handling, though reflective learning reviews of closed cases for first 6 months	Access to justice	Project	Project defined	01/04/2021	30/09/2021	H	- Completed RLR on all completed investigations in first 6 months - Completed RLR on at 50% of premature complaints, OOJ and discontinued investigations in first 6 months - regular update to LT		Dependent on case volumes and may need revising in light of experience
9	Customer experience review phase 2 - Develop approach to gaining service user feedback, based on review of the INWO EIA	Access to justice	Project	Project defined	01/07/2021	30/09/2021	H	- Reflect on experiences from other teams in gaining customer feedback - Defined system for Customer feedback - Gain LT sign off on defined J24approach		
10	Customer experience review phase 3 - Customer service feedback system in operation, to identify service improvements. Reflect on experiences from other teams effective CS feedback systems	Accessibility	Project	Project defined	30/09/2021	31/03/2022	H	- Define and implement customer service feedback system - Analyse feedback to identify service improvements - Report learning and improvements to LT		
11	Engage with Critical Friends on service improvements to maximise impact	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	Report on activity to LT, including updates to our procedure (with appropriate LT approval)		
12	Conduct a review of the INWO DPIA to ensure all risks fully mitigated during case handling	Standards	Project	Project defined	01/04/2021	31/03/2022	H	Conduct review; findings and recommendations signed off by LT.		

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13	Review Workpro functioning, to develop plans for improvements to take forward in 2022-2023	Capacity	Project	Project defined	31/12/2021	31/03/2022	M	Present proposals for future Workpro improvements, signed off by LT.		
14	Engage with ISE L&I colleagues on development of SIP for INWO	Standards	Project	Project defined	01/04/2021	30/09/2021	H	- See ISE BP - Updated INWO guidance to reflect INWO SIP		
15	Engage with ISE CSA colleagues on intelligence on effective implementation of the Standards	Standards	BAU	Continuous	01/04/2021	31/03/2022	H	- See ISE BP - Updates and support for ISE work		
16	Engage with other regulators on case-work, to ensure effective handling of high risk/ overlapping cases	Standards	BAU	Continuous	01/04/2021	31/03/2022	M	- Quarterly meetings with regulators - Case specific engagement where appropriate - report of activity to LT		
17	Share casework intelligence with ISE L&I colleagues, feeding into SHICG	Standards	BAU	Monthly	01/04/2021	31/03/2022	H	- Provide quarterly casework updates for SHICG - Share relevant intelligence of themes and trends		
18	Monitor uptake of training modules and amend based on feedback	Capacity	BAU	Quarterly	01/04/2021	31/03/2022	M	- Monthly report to LT - Quarterly report to LT		
19	Produce content for INWO section of the Annual Report and Accounts	Access to justice	BAU	Annual	01/04/2021	30/09/2021	S	AR performance content		
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Unallocated items

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U1	If case volumes allow: Increase promotion of INWO and work with boards to develop materials based on needs.	Standards	Project				L	TBC		insufficient resources, but will be allocated to main plan if volumes are lower than expected. Will need input from Comms
U2										
U3										
U4										
U5										

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1	Case-handling - Advice (assess suitability and maturity; provide advice and signposting; manage Freephone telephone advice service; and production of complaint files)	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	PI1 95% of cases where advice stage was completed within 5 days	
2	Case-handling - Early resolution, Investigations Level 1 & 2	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	PI2-30 50% of cases where ER stage was completed within 30 days PI2 95% of cases where ER stage was completed within 80 days	
3	Case-handling - Investigations Levels 1-4	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	PI3-130 20% of cases where Investigation stage was completed within 130 days PI3-195 50% of cases where Investigation stage was completed within 195 days PI3 85% of cases where Investigation stage was completed within 260 days	
4	Information sharing casework related intelligence to relevant sector groups e.g.. Scottish Water Output Monitoring Group, HIS Sharing Intelligence Group, Strategic Scrutiny Group	Access to justice	BAU	As required	01/04/2021	31/03/2022	M	- input information/ papers to LT - attendance at meetings - feedback to LT	
5	Ombudsman groups: contribute to OA (and other) special interest groups operating in the sector to share good practice and learning and development	Access to justice	BAU	As required	01/04/2021	31/03/2022	M	- feedback for SPSO specific items - OA published minutes - ad hoc reports and recommendations as required	
6	Review our communications with complainants about delays to our service.	Capacity	BAU	Continuous	01/04/2021	31/03/2022	H	Improved communication with complainants.	
7	Resourcing: monitor and plan recruitment to maintain appropriate level of staff resources for C&I	Capacity	BAU	Monthly	01/04/2021	31/03/2022	S/H	- Achievement of KPIs - Carry forward of cases at year end in line with target of less than 1000	
8	Manage, monitor and report on the performance of the Service Improvement Forum	Standards	BAU	Quarterly	01/04/2021	31/03/2022	M	Report of actions to Casework Performance Management Meeting	
9	Consider using 'snapshot' updates for multiple outstanding enquiries and recommendations for larger BUJs	Access to justice	Project	Project defined	01/07/2021	30/09/2021	M	Report with recommendations to LT	B/F from last year
10	Review how extensive complaint submissions are managed to ensure the right information is received at the right time	Capacity	Project	Project defined	01/07/2021	30/09/2021	M	Report with recommendations to LT	B/F from last year
11	Reviewing input of data into Workpro to minimise duplication	Capacity	Project	Project defined			M		B/F from last year
12	Develop 'time saving tool' in line with SWF product	Capacity	Project	Project defined			H	Increase in case closures.	B/F from last year
13	Service standards - Extend customer surveying to include prisoners and other complaint closure points (to be progressed via SIF)	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	Increase quarterly customer survey returns.	
14	Service standards - review information on timescales provided to complainants and bujs through the process to ensure it accurately reflects what is happening in practice	Access to justice	Project	Project defined	01/04/2021	31/07/2021	M	Review complete with recommendations as appropriate	

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15	Reporting of PIs for first and second six months of the year separately in light of the impact of covid/lockdown on timescales moving into the first six months of 21-22	Capacity	BAU	Continuous	01/04/2021	31/03/2021	M	Update to reporting arrangements	
16	Close monitoring of allocation pool management, building on 20-21 project to identify further strategies to reduce timescales	Capacity	BAU	Continuous	01/04/2021	31/03/2021	H	Regular reporting and review through PSC monthly meetings to monitor and ensure quarterly improvements	
17	Review of allocation process from an operational and staff wellbeing perspective	Capacity	Project	Project defined	01/09/2020	01/12/2020	H	Review complete with recommendations as appropriate	
18	Review process for managing repeat complainants to identify efficiency gains	Capacity	Project	Project defined	01/07/2021	30/09/2021	M	Review complete with recommendations as appropriate	
19	Scope out developing the inclusion of subject specific advice on SPSO online complaint form or subject specific complaint questions for commonly closed DCR subjects.	Accessibility	Project	Project defined	01/07/2021	30/09/2021	M	Scoping complete with recommendations	
20	Work with DCRs to reword SPSO's complaint form to ensure correct information is obtained on complainants first complaint submission narrative.	Accessibility	Project	Project defined	01/04/2021	31/07/2021	M	Scoping complete and recommendations implemented.	
21	Develop a unique complaint form for NHS complaints – addressing common issues with the generic form (incl. complaints covering more than one health service and advice on Significant Adverse Event Reviews).	Accessibility	Project	Project defined	01/04/2021	30/09/2021	M	Scoping complete and new form developed.	
22	Develop process for A&G to begin using 'complaint handling marker' to identify complaint handling issues that are generating premature complaints to SPSO	Accessibility	BAU	Continuous	01/04/2021	30/06/2021	H	Develop/increase statistical information gathered from premature complaints.	
23	Prison premature study – complete and progress any recommendations from the study	Accessibility	Project	Project defined	01/04/2021	30/09/2021	M	Study complete with recommendations.	
24	Review all general email box template responses to include link to new SPSO video where appropriate	Accessibility	BAU	Annual	01/04/2021	30/06/2021	M	Review complete with SPSO video signposted to in many more communications.	
25	Develop (with comms colleagues) more videos for SPSO website, with visual messages delivering responses to frequently asked questions by complainants.	Accessibility	Project	Project defined	30/09/2021	31/03/2022	M	Videos produced and displayed on website.	
26	Prepare advocacy SPSO education pack to be issued when complaints are submitted incomplete or premature by advocacy agencies	Accessibility	Project	Project defined	30/06/2021	31/12/2021	M	Packs produced, distributed and reduction in premature complaints from particular agencies.	
27	Review, simplify and make accessible our : how to complain message, advice on experiencing complaint handling delays and signposting information on SPSO website	Accessibility	BAU	As required	01/10/2021	31/12/2021	M	Reduction in emails asking for advice that is readily available on SPSO's website.	
28	Improve accessibility of SPSO online complaint form	Accessibility	BAU	Annual	01/06/2021	31/03/2022	M	Continue to receive a high volume of online complaint submissions	
29	Piloting of resolutions guidance	Access to justice	Project	Project defined	01/10/2020	31/03/2021	H	Delivery of guidance	
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Unallocated items

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1	Case-handling times - SWF Reviews of Crisis Grants	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	95% of cases closed or progressed in 1 working day or fewer (from receiving all information)		
2	Case-handling times - SWF Reviews of Community Care Grants	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	95% of cases closed or progressed in 21 working days or fewer (from receiving all information)		
3	Case-handling times - SWF Reviews of Self-Isolation Support Grants	Access to justice	BAU	Continuous	01/04/2021	01/04/2022	S	95% of cases closed or progressed in 1 working day or fewer (from receiving all information)		Short lived scheme but end date not yet known
4	Case-handling process SWF - monitor practice, review and update case handling guidance, and disseminate through updates and training	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S/H	Report to LT quarterly confirming learning captured and action taken and planned		
5	Reconsiderations	Access to justice	BAU	As required	01/04/2021	31/03/2022	H	95% of decisions are correct, Quarterly reporting to LT		
6	Monitor SG SWF Guidance, provide feedback and engage in review	Access to justice	BAU	As required	01/04/2021	31/03/2022	S/H	Ad hoc updates and annual report to LT		Perhaps to include a suggested restructure of the guidance to more clearly reflect the decision making process.
7	Produce content for SWF section of annual report	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	Published Annual Report		
8	Resourcing: monitor, plan and arrange recruitment to maintain appropriate level of staff resources for SWF	Capacity	BAU	Monthly	01/04/2021	31/03/2022	H	Achievement of KPIs		
9	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	Capacity	BAU	Quarterly	01/04/2021	31/03/2022	M	- Quarterly report to LT as part of business plan update		
10	Maintain effective engagement with stakeholders via appropriate channels, working with ISE	Accessibility	BAU	As required	01/04/2021	31/03/2022	M	- Quarterly report to LT as part of business plan update - Consider as part of C&E strategy once available.		
11	Produce SWF text for monthly commentary as well as additional comms materials as and when required.	Standards	BAU	Monthly	01/04/2021	31/03/2022	M	- monthly content to ISE		
12	Review QA results (casework and telephone) and implement learning/ amend process as required.	Capacity	BAU	Quarterly	01/04/2021	31/03/2022	M	- report of findings and recommendations to LT		
13	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	Capacity	BAU	Continuous	01/04/2021	31/03/2022	M	Achievement of SWF function and business plan objectives.		
14	Assess customer experience of SPSO SWF quality of service delivery	Accessibility	BAU	Continuous	01/04/2021	31/03/2022	M	- report of findings and recommendations to LT		
15	Based on results of the local authority survey (action 34) consider appropriate actions to improve the impact of our findings.	Access to justice	Project	Project defined	01/05/2021	31/03/2022	M	Report and update guidance and advice as appropriate		
16	Conduct seminar(s) for decision makers (either virtually or in person) covering key topics for supporting effective decision making.	Standards	Project	Project defined	01/04/2021	31/03/2022	M	- Report and recommendations to LT		Discussed hour long virtual seminars by case reviewers aimed at front line decision makers - focus will be on key topics such as exceptional circumstances.
17	Produce targeted communication for councils based on what would be considered useful for learning purposes (for example sharing case summaries on specific themes/ case types).	Standards	Project	Project defined	01/04/2021	31/03/2022	M	- report of findings and recommendations to LT		Amended from publishing a newsletter as this option will use less resources and has been requested by COSLA in respect of SIS grants.
18	Review information contained within the complaints handling marker to identify any recurring themes.	Standards	Project	Project defined	01/04/2021	30/09/2021	M	- Report to MCPM and Director		
19	Review our communication with councils to better understand their perspective and facilitate greater understanding of our findings	Access to justice	Project	Project defined	01/04/2021	01/05/2021	M	- report of findings and recommendations to LT	B/F from last year	Carried forward to 2021-22 BP - survey of councils planned.
20	Review the decision letter to remove repetition and unnecessary content	Accessibility	Project	Project defined	01/04/2021	01/06/2021	M	- Report and recommendations to LT	B/F from last year	In progress
21	Review the data arising from the new signposting section of Workpro to identify accessibility issues and time spent delivering advice to councils	Accessibility	Project	Project defined	01/04/2021	31/07/2021	M	- report of findings and recommendations to LT	B/F from last year	Due to staff absence and introduction of SIS Grants, this piece of work was not completed in 2020-21
22	Develop our knowledge and application of SIP to handle recurring issues where councils do not amend their practice following our feedback (support from ISE with collation of data and guidance on SIP policy would be helpful/ also support from LT through escalation routes as required)	Standards	Project	Project defined	01/04/2021	31/03/2022	M	- report of findings and recommendations to LT	B/F from last year	This has been started but further time needs to be invested in this piece of work now that resourcing issues are stabilising.
23	Develop resources on our website that can be used as training materials for local authorities eg. faqs and videos discussing key topics.	Standards	Project	Project defined	01/04/2021	31/03/2022	M	- report of findings and recommendations to LT	B/F from last year	This was amended from on online decision making tool due to lack of software and/or resources.

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U1										
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1	BH Handbook: Health, safety, security - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- LAW review report to LT		
2	BH Handbook: MoU - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Review undertaken and signed off by BHMGM		
3	BH: Facilities - ongoing management of maintenance plans including statutory, and preventative, resolve day to day maintenance issues, prioritise & fixed efficiency, liaise with landlord, trade engineers, ensure carbon management practices maintained, supplies and equipment maintained,	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Bridgeside House facilities maintained - prioritised preventative maintenance actioned		
4	BH: Health, Safety and Security (H&S service) - promoting health, safety & security with on-going management in Bridgeside House working environment. Provide ongoing effective health and safety service and advice to staff WFH	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	-Provide quarterly update -H&S group meeting deliver on actions -Deliver H&S aspects of work from home policy		
5	BH: Health, Safety and Security (management) - Ensuring statutory regulations are complied with records maintained for legal duties including - fire safety training, fire tests, fire drills, qualified first aiders, legionella risks controlled. Office Risk Assessment are reviewed inline with workplace audits including Security management. External audit outcomes, actions and other reports/inspections. Testing business continuity plans (BCP) in line with health and safety	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Annual H&S Assurance Statement to SPSO - Training and updates disseminated to all staff - Low residual risk in operational risk register - 2 fire drills annually evacuate in 3 minutes - Pass annual H&S audit		
6	BH: Health, Safety and Security (staff training) - new staff H&S inductions; annual H&S+ S staff questionnaire, Annual Display Screen Equipment Assessment (DSE) for Working from Home (WFH), Ongoing awareness training for staff and managers for home & office work environments	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- All new staff completed H&S+S Induction - Annual H&S + S training - Annual DSE training		
7	BH: Mail & delivery management - provide efficient service for pick-up of all mail & deliveries	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- secure & timely mail support services		
8	BH: Managed Contracts - ongoing management of contracts and contractors of Bridgeside House including acting as first point of contact for suppliers, manage lease, cleaning, waste, security while working with procurement and finance to achieve best value	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- contracts delivering on service expectations		
9	BH: Shared Area Management - providing a well-coordinated Bridgeside House shared facility service for three office holders, ensuring the shared areas meet the requirements of the users including shared meeting rooms, booking system, supporting events, monitoring costs, billing, technology	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- shared space, AV & equipment requirements managed fairly and rooms fit-for-purpose		
10	Climate change duties: Implement climate change actions from plan and working towards 2030 target of Net Zero. Develop a carbon emergency strategy and organisational changes	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Action plan implemented and reported in Climate Change Duties report		
11	Climate change duties: monitor primary energy usage and waste management	Access to justice	BAU	Monthly	01/04/2021	31/03/2022	S	- Continued reduction in our Baseline carbon footprint (2015/16 72 tCO2e)		2016/17 - 71.0 tCO2e 2017/18 - 59.9 tCO2e 2018/19 - 54.2 tCO2e (8 mths Melville St + 4 mths all users BH) 2019/20 - 45.4 tCO2e
12	Climate change duties: produce and publish Climate Change Annual Report (including discharging duties under section 32 (1)(a) of the PSR Scotland Act 2010)	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Published annual report		
13	Climate change duties: produce and publish Environment, Sustainability and Biodiversity Annual Report	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Published annual report		
14	Decision Review: carry out decision reviews in a timely manner	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	40% in 50 working days, 95% in 90 working days		
15	Finance: Annual Budget BH - plan and prepare submission for SPCB, including resource planning, staff and non-staff; profile approved budget	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Annual budget submission, signed off by LT		
16	Finance: Annual Budget SPSO - plan and prepare submission for SPCB, including resource planning, staff and non-staff; profile approved budget	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Annual budget submission, signed off by LT		

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17	Finance: Audit, External - Annual report and Accounts - agree annual external audit plan with auditors; - provide information and access to External Auditors; - prepare fully audited Financial and Governance Statements for SPSO Annual Report and Accounts ((including discharging duties under section 32 (1)(b) of the PSR (Scotland) Act 2010) - including Trade Union Publication of Facility Time Data Regulations Reporting	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Agreed External Audit annual plan - External Audit Report		
18	Finance: Audit, Internal - produce and deliver Internal Audit Plan	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	- Internal Audit Plan, signed off by LT - Internal Audit reports to LT and AAB, accompanied by Dir-CS responses to any recommendations		
19	Finance: Expenditure - BH - monitor and manage expenditure against budget plan and report to BHMG	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- 5% variance: budget to actual spend at year end - monthly spend against budget statement to BHMG with recommendations - Reported in Annual Report and Accounts		
20	Finance: Expenditure - pay invoices against approved orders and process payment of creditors	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- 75% of undisputed invoices paid within 10 working days - 100% of undisputed invoices paid within 30 working days - Reported in quarterly to LT		
21	Finance: Expenditure - SPSO - monitor and manage expenditure against budget plan	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- 5% variance: budget to actual spend at year end - monthly spend against budget statement to LT with recommendations - Reported in Annual Report and Accounts		
22	Finance: Income BH - issue and monitor receipt of payment for all ad hoc income	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	- all income received in year		
23	Finance: Income SPSO - issue and monitor receipt of payment for all ad hoc income	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	- all income received in year		
24	Finance: Procurement - consumables - procure and manage office stock, travel, accommodation arrangements and support tender processes, ensuring SPSO procurement policy is followed.	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Published current contract list		
25	Finance: Procurement - ICT - procure and manage ICT hardware requirements, including tracking and future planning for replacement equipment.	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- staff have suitable equipment to carry out their roles.		
26	Finance: Procurement - professional advice - procure and manage contracts for services and professional advice ensuring best value for money	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Published current contract list		
27	Finance: Statements of Expenditure - produce and publish under Section 31 of the PSR (Scotland) Act 2010, and details of contractors	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Published annual report		
28	Governance: Business plan - coordinate and produce annual plan	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	- Published business plan		
29	Governance: Business plan - coordinate quarterly update and publication	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	- Updated plan republished quarterly		
30	Governance: Incident register - record and report all ICT incidents in line with the Risk and Incident policy and data breach procedures	Access to justice	BAU	As required	01/04/2021	31/03/2022	S	- Effective incident management - quarterly updates to Leadership Team		
31	Governance: Incident register - record and report all Information Governance incidents in line with the Risk and Incident policy and data breach procedures	Access to justice	BAU	As required	01/04/2021	31/03/2022	S	- Effective incident management - quarterly updates to Leadership Team		
32	Governance: Risk - Business Continuity Plan - reiew and update annually, undertake tests with IRT	Capacity	BAU	Annual	01/04/2021	31/03/2022	H	- Effective risk management		
33	Governance: Risk - strategic and operations registers - prepare annually in line with business planning process	Capacity	BAU	Annual	01/04/2021	31/03/2022	H	- Effective risk management		
34	Governance: Risk - strategic and operations risk registers - coordinate regular reviews, update, and publish strategic risk register.	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	- Effective risk management		

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35	Governance: Secretariat - provide secretariat to Advisory Audit Board and Leadership Team	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	- Annual meeting schedule planned and issued - Papers prepared and issued at least one week prior to meeting - Declarations of interest published		
36	HR: Equalities and Human Rights - monitor, report and review practice	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- include in annual HR report		
37	HR: Equalities and Human Rights - Organise a celebration of International Woman's Day	Access to justice	BAU	Annual	01/01/2022	31/03/2022	L	- Annual events planned for All Staff attendance		
38	HR: Health and wellbeing - IIP Health and Wellbeing review	Capacity	BAU	Continuous	01/04/2021	31/03/2022	M	- Maintain Healthy Working Lives Accreditation		
39	HR: Health and wellbeing - Implement well-being strategy and plan	Capacity	BAU	Annual	01/04/2021	31/03/2022	H	- TBC by well-being group - % lost days due to sickness to not exceed PS average		
40	HR: Health and wellbeing - Monitor and annually report on the activities and achievements of the Mental Health and Wellbeing Group.	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	Continue to encourage support from colleagues and deliver objectives of group.		
41	HR: Learning and Development - Annual learning and professional development plan - annual manager training	Capacity	BAU	Annual	01/04/2021	31/03/2022	M	- Plan and deliver annual manager training session		
42	HR: Learning and development - Annual learning and professional development plan - prepare and fully resource plan, including specialist technical training for different staff groups as requested	Capacity	BAU	Annual	01/04/2021	31/03/2022	M	- PDPs completed with analysis, survey and IIP action plan incorporated - Plan shared with all staff		
43	HR: Learning and development - Annual learning and professional development plan - monitor progress against plan, particularly resources.	Capacity	BAU	Quarterly	01/04/2021	31/03/2022	M	- Well skilled workforce - Annual report to LT		
44	HR: Payroll - manage and maintain payroll	Access to justice	BAU	Monthly	01/04/2021	31/03/2022	S	- Staff paid promptly and correctly - Successfully audited accounts		
45	HR: provide the organisation with an effective HR service	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- HR stats report to LT of the HR service, including workforce composition, absence management, staff performance management (summary level not personal information)		
46	HR: Resourcing - monitor, plan and recruit to maintain appropriate level of staff resource	Capacity	BAU	Monthly	01/04/2021	31/03/2022	H	- Delivery of CS statutory duties - Achievement of KPIs		
47	HR: Strategy - Annual staff survey and accompanying action plan		BAU	Annual	01/04/2021	31/03/2022	H	-Analysis of 2018-19 survey and action plan produced for 2019-20 business planning.		
48	HR: Strategy - Implement annual IIP assessment and agree actions	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	- IIP review and report completed and action plan produced for 2019-20 business planning.		
49	ICT: Applications - Ad hoc - ensure appropriate software applications are available and fit for purpose	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Appropriate applications available for staff to complete their roles and responsibilities		
50	ICT: Applications - Case-handling system (Workpro) - manage the maintenance and enhancement of application and casework EDMS	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Case-handling application up-to-date and meeting business and information management requirements		
51	ICT: Applications - Communication tools, including video conferencing - ensure appropriate software applications are available and fit for purpose	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Appropriate communication channels available for staff to complete their roles and responsibilities		
52	ICT: Applications - Document sharing (Connect) - ensure application is fully embedded and fit for purpose	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Appropriate document sharing applications available for staff to complete their roles and responsibilities		
53	ICT: Applications - eRDM - manage the maintenance and enhancement of non-casework electronic document file system	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- EDMS meeting information management requirements		
54	ICT: Applications - Performance reporting - support the development of statistical reports from case-handling system, providing liaison with contractor.	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	- SQL Report builder and data bases are correct and working, all issues reported to Contractor on time		

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55	ICT: Hardware - monitoring and management of IT hardware	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Functioning, fit for purpose hardware - exception reporting - Annual statement to LT		
56	ICT: Security and cyber resilience - implement Public Sector Action Plan for Cyber Resilience, monitor actions and report	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	- Acceptable level of residual risk - Exception reporting to LT - Up-to-date Information and Data related Policies and Procedures		
57	ICT: Security and cyber resilience - Annual refresher training for all staff on Cyber Security and IT Code of Conduct	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Appropriate use of ICT systems		
58	ICT: Security and cyber resilience - Cyber Essentials re-certification	Access to justice	BAU	Annual	01/04/2021	31/03/2022		- Cyber Essentials re-certification achieved		
59	ICT: Security and cyber resilience - Induction, training and user support	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	- Users operating all systems effectively		
60	ICT: Security and cyber resilience - IS installation (network) - monitor the maintenance of security and cyber resilience standards by contractor	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Regular meetings with business partner and annual service report.		
61	ICT: Technical Support - Level 1 ICT support - provided to ICT champs and staff, monitoring of ICT mail box, logging and tracking escalated calls with external contractors where required, providing IMSO support for eRDM system	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Appropriate response times for level 1 ICT requests - Escalated calls logged with external contractors in good time		
62	ICT: Technical Support - Team ICT Champions - manage and support the network of Level 1 ICT support in teams.	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	M	- ICT Champs informed and confident, providing support effectively to team members		
63	ICT: Technical Support - Video conferencing tools - provide support and administration for executive level on-line meetings	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Appropriate communication channels available for LT/Management to complete their roles and responsibilities		
64	ICT: Telephony - monitoring and management of telephony network and hardware, including mobile communications and connectivity; providing technical support where required.	Accessibility	BAU	Continuous	01/04/2021	31/03/2022	H	- telephony functionality available for staff to complete their roles and responsibilities		
65	Information Governance: DP Subject access requests (including all DP rights requests)	Standards	BAU	Continuous	01/04/2021	31/03/2022	S	- Reporting performance against statutory target of one month		
66	Information Governance: FOI/EIR Requests and Reviews	Standards	BAU	Continuous	01/04/2021	31/03/2022	S	- Reporting performance against statutory target of 20 days		
67	Information Governance: manage information risks, coordinate mitigation procedures, and log and risk assess information assets	Standards	BAU	Continuous	01/04/2021	31/03/2022	S	- up-to-date log - report to LT in line with governance arrangements		
68	Information Governance: monitor compliance, and ensure documentation, controls and procedures are in place and applied (incl. DP registration, register of processing, DPIAs, DSAs, DPO MoU, privacy notices, processor contracts, EU exit, records management)	Standards	BAU	Continuous	01/04/2021	31/03/2022	S	- Non compliance reported to LT		
69	Information Governance: Progress Update Review of Records Management Plan	Standards	BAU	Annual	01/04/2021	31/6/2021	M	Review submitted		
70	Information Governance: Publication Scheme - review and update SPSO Publication Scheme, and Re-use, to ensure compliance	Standards	BAU	Annual	01/04/2021	31/03/2022	S	- Publication scheme compliant		
71	Information Governance: Retention and disposal - ensure retention and disposal of casework documents in line with policy (non-casework automated in eRDM)	Standards	BAU	Quarterly	01/04/2021	31/03/2022	S	- Annual assurance statement to LT - Annual file location audit - 100% of hard copy case files located securely and correctly recorded on CMS - ad hoc updating as required		
72	Information Governance: Training - implement compulsory data protection and ad-hoc information governance training and inductions	Standards	BAU	As required	01/04/2021	31/03/2022	S	- Evidence ALL staff receive update/ refresher training		
73	Ombudsman groups: contribute to OA (and other) special interest groups	Access to justice	BAU	As required	01/04/2021	31/03/2022	L	- As required		
74	Ombudsman groups: manage membership	Access to justice	BAU	As required	01/04/2021	31/03/2022	L	- Representatives identified and resource available		
75	Performance reporting: collation of quarterly statistics and year-to-date performance (FOI/EIR and DP rights requests eg SARs)	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	- Submitted to SIC on time - quarterly analysis report to LT		
76	Performance reporting: Professional advice - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2021	31/03/2022	H	- quarterly analysis report to LT		

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77	Performance Reporting: UAP - monitor application and effectiveness	Access to justice	BAU	Monthly	01/04/2021	31/03/2022	H	- 6-monthly report to LT of effectiveness, including summary of who is being managed under policy, when it was applied, when review is due and who has been removed		
78	Professional Advice Service: Annual Report on advice service	Access to justice	BAU	Annual	01/04/2021	31/03/2022	M	Report on service		
79	Professional Advice Service: deliver a well-resourced professional advice service	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Continued reduction in the % of advice responses received in excess of 20 working days. (2016-17 Baseline 64.1%)		
80	Quality assurance: annual quality assurance plan proposal	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H			
81	Quality assurance: Casework	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	- 95% of decisions correct - annual N77 report to LT of learning and action taken and recommendations for wider improvement initiatives		
82	Quality assurance: Professional advice	Access to justice	BAU	6 monthly	01/04/2021	31/03/2022	H	- Six monthly report to LT of learning and action taken, and recommendations for wider improvement initiatives		
83	Quality assurance: SWF decisions	Access to justice	BAU	6 monthly	01/04/2021	31/03/2022	H	- 95% of decisions correct - Annual report to LT of learning and action taken and recommendations for wider improvement initiatives		
84	Quality assurance: Telephone	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	- Annual report to LT - assessment of quality of telephone calls against customer service standards. Actions taken and recommendations for wider improvement initiatives made		
85	Service standards - monitor performance against service standards using internal and stakeholder feedback, and benchmarking against other ombudsmen services as far possible, and identify and implement improvements, feeding back to ISE for public reporting purposes and	Standards	BAU	As required	01/04/2021	31/03/2022	M	- Qtrly reports containing performance against service standards data to Dir(Corp Serv) for inclusion in Casework Management Performance Group: learning captured, recommendations and details of action taken and planned		
86	SPSO Policy Handbook: all volumes - ensure reviewed by owners and update in line with policy review cycle and ensure effective dissemination	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	S	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff		
87	SPSO Policy Handbook: Complaints and investigations guidance and processes - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	H	Report to LT quarterly confirming learning captured and action taken and planned		
88	SPSO Policy Handbook: Finance- review, update and ensure implementation of good governance arrangements.	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Internal audit report to LT		
89	SPSO Policy Handbook: Governance, risk and incident management policy - review annually in line with business planning process	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Internal audit report to LT		
90	SPSO Policy Handbook: HR volumes - review and update, disseminate through updates and training, and monitor practice. (3-yr. rolling review of volumes)	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	- Review undertaken and signed off by LT		
91	SPSO Policy Handbook: Information and Communication Technology (ICT): review, maintain and update ICT and digital Strategy and supporting guidance, particularly focussing on cyber security and resilience; disseminate through updates and training, and monitor practice.	Access to justice	BAU	Continuous	01/04/2021	31/03/2022	H	- Annual review undertaken and signed off by LT		
92	SPSO Policy Handbook: Information governance - review and update information governance policies, processes and guidance covering data protection (including rights, breaches, security), FOI/EIR, records management, and supporting measures	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	- Review undertaken and signed off by LT		

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93	Survey management: administration and advice on all electronic surveys issued, including Customer, BUJ, SWF, Staff, etc.	Access to justice	BAU	As required	01/04/2021	31/03/2022	M	- Results provided on time		
94	Training ISE training officer administrative support. Booking forms, invoices, handouts and updating of materials	Access to justice	BAU	As required	01/04/2021	31/03/2022	H			
95	BH: Shared Area Management - Project to improve facilities - 1. Enhance shared areas to promote enhanced conference communication with remote video to reduce environmental impact 2. Enhance changing facilities to improve clean environment and wellbeing 3. Lighting Project for all BH offices and shared spaces to improve office environment 4. Future working initiatives to improve health, well-being, safety and security	Access to justice	Project	Project defined	01/04/2021	31/03/2022	M	- Delivery video conference to Boardroom - Deliver enhanced changing facilities - Deliver improved lighting for office facilities - Deliver future working initiatives	B/F from last year	Carried forward to 2021-22 BP. COVID-19 response has delayed this requirement, resources focussed on making the building safe to use in this pandemic.
96	Finance: Audit, External - Annual report and Accounts - review the requirements in relation to Climate Change Financial Disclosures that will be mandatory by 2022	Access to justice	Project	Project defined	01/04/2021	31/03/2022	S	Report of findings and recommendations to LT.		
97	HR: Accreditation - Achieve Carer First Accreditation	Access to justice	Project	Project defined	01/07/2019	31/03/2020	M	Accredited	B/F from last year	Research and scoping in progress
98	HR: Business Continuity Planning - Scoping for moving to fully electronic HR service	Access to justice	Project	Project defined	01/04/2021	30/09/2021	M	Report to LT with recommendations		
99	HR: Equalities and Human Rights - Review our commitments outlined in SPSO BSL Plan to ensure best practice	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	- Report to LT with recommendations	B/F from last year	Carried forward to 2021-22 BP
100	HR: Future Working Arrangements Project	Capacity	Project	Project defined	01/04/2021	30/06/2021	H	- Project findings and recommendations on proposals for future working arrangements		
101	HR: HR policy review	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	- Up-to-date HR policies	B/F from last year	
102	HR: IT application - Scope HR and payroll information systems	Capacity	Project	Project defined	01/04/2020	31/03/2021	M	- Report to LT with recommendations	B/F from last year	Contributing to the SPCB shared service project on payroll providers. Explore further in 3 years when SPCB tender for new provider.
103	HR: Learning and development - Development of an Interactive Online Skills Refresher Programme for staff training purposes giving priority for management development skills - scoping and testing	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	Implemented training programme	B/F from last year	Carried forward (and revised) to 2021-22 BP
104	HR: Learning and development - Explore best practice mechanisms for further raising awareness of and access to learning and development opportunities, including external opportunities.	Capacity	Project	Project defined	01/10/2021	31/03/2022	M	Report to LT and include any recommendation within the IIP/staff survey action plan recommendations	B/F from last year	Carried forward to 2021-22 BP
105	HR: Learning and Development - Review of competency framework and associated HR activities	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	- Updated and approved values-based competency framework - Update recruitment, performance management, learning and development processes and documents in line with outcomes	B/F from last year	Phase 1 (values refresh) of project complete. Phase 2 (review of the competency and behavioural framework) planning underway. Project on hold while working remotely
106	HR: Learning and development - review offering, giving consideration to setting a minimum offering/CPD requirement, and access to external development opportunities	Capacity	Project	Project defined	01/10/2021	31/03/2022	M	Project findings and recommendations	B/F from last year	Carried forward to 2021-22 BP
107	HR: Resourcing - Diversity: Review SPSO approach to diversity, inclusion and equality across all areas of work: what we measure, how and how frequently, and contribute to a new Diversity, Equality and Accessibility Strategy.	Accessibility	Project	Project defined	01/04/2020	31/03/2021	S	Approved and effective Diversity and Inclusion Policy and Plan	B/F from last year	
108	HR: Resourcing - explore option of creating additional complaints investigation capacity through establishment of a pool of contractor CRs	Access to justice	Project	Project defined	01/09/2020	31/03/2021	M	- Delivery of project outcome	B/F from last year	
109	HR: Strategy - Develop and implement people strategy	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	- People strategy to LT	B/F from last year	Carried forward to 2021-22 BP
110	HR: Strategy - Develop Inclusion Diversity Equality and Accessibility Strategy	Capacity	Project	Project defined	01/04/2021	31/03/2022	H	- Inclusion and diversity strategy to LT	B/F from last year	Carried forward to 2021-22 BP
111	HR: Strategy - Organisational succession planning	Capacity	Project	Project defined	01/10/2021	31/03/2022	M	- Scoping, and report to LT with recommended plan	B/F from last year	
112	ICT: Applications - Case-handling system (Workpro) - using the report and findings from CAS Anonymous Product Usage Tracking report and User Experience project, plan and implement agreed recommendations and training requirements for users.	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	Recommendations and training implemented		
113	ICT: Applications - Communication tools - training and support to embed MS teams and functions into the working environment for all staff.	Access to justice	Project	Project defined	01/04/2021	31/03/2022	H	MS Teams training and guidance materials provided to staff on aspects to support roles and responsibilities		
114	ICT: Internal Support - review and evaluate effectiveness of ICT champion structure	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	Project findings and recommendations	B/F from last year	Carried forward to 2021-22 BP Dept. undergoing resource changes and the outcomes of the WP User Experience project.

No	Activity <i>description of task/ activity/ project</i>	Strategic Theme <i>Select</i>	Type <i>Select</i>	Frequency <i>Select</i>	Start	End	Priority <i>Select</i>	Measure/ KPI/ Reporting	Status <i>Select</i>	Comment/ update <i>E.G.</i> <i>- why not on target/ exceeded</i> <i>- actual achieved</i> <i>- important milestones achieved</i> <i>- if it is a new addition to the plan</i> <i>- policy decisions taken</i> <i>- why discontinued, or carried forward</i>
115	ICT: Review arrangements and processes for working electronically to ensure these are efficient and fit for purpose including document scanning, editing, formatting and systematising formats SPSO accepts as submission	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	Review submitted	B/F from last year	
116	Information Governance: Accountability Framework self assessment	Capacity	Project	Project defined	01/04/2021	31/03/2022	M			
117	Information Governance: Publication Scheme. A best practice self assessment using module 4 of the SIC toolkit also taken into account the actions identified by OSIC in their recent mystery shopping exercise 2018.	Access to justice	Project	Project defined	01/01/2020	31/03/2020	M	- Publication scheme compliant, demonstrating best practice	B/F from last year	Mystery shopping exercise actions completed; and scheme reviewed and confirmed compliant with 2018 MPS changes. A full best practice self assessment using module 4 of the SIC toolkit will be undertaken when resources are available.
118	Professional Advice Service: Review the adviser raters	Access to justice	Project	Project defined	01/04/2021	20/09/2021	H	Report of findings and recommendations to LT.		
119	Professional Advice Service: Review the impact of moving to remote working and electronic processes on advice services through surveying of advisers	Access to justice	Project	Project defined	01/04/2021	01/09/2021	H	Report of findings and recommendations to LT.		
120	Quality Assurance: develop process and carry out QA of INWO cases	Standards	Project	Project defined	01/01/2022	31/03/2022	M	QA report		
121	Quality assurance: Telephone - develop new telephone QA system making best use of new telephone technology and encouraging staff self reflection and coaching conversations.	Access to justice	Project	Project defined	01/04/2021	31/03/2022	M	Report of findings and recommendations to LT.	B/F from last year	Carried forward to 2021-22 BP Telephone Recording Policy still under review.

Unallocated items

No	Activity <i>description of task/ activity/ project</i>	Strategic Theme <i>Select</i>	Type <i>Select</i>	Frequency <i>Select</i>	Start	End	Priority <i>Select</i>	Measure/ KPI/ Reporting	Status <i>Select</i>	Comment <i>brief explanation for why unallocated this might include:</i> <i>- insufficient resources</i> <i>- associated risk of not progressing</i> <i>- requested by another team</i> <i>- relative priority</i>
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No	Activity <i>description of task/ activity/ project</i>	Strategic Theme <i>Select</i>	Type <i>Select</i>	Frequency <i>Select</i>	Start	End	Priority <i>Select</i>	Measure/ KPI/ Reporting	Status <i>Select</i>	Comment/ update <i>E.G.</i> - why not on target/ exceeded - actual achieved - important milestones achieved - if it is a new addition to the plan - policy decisions taken - why discontinued, or carried forward
1	Develop communications plan for INWO function: to include engaging with external stakeholders, publicising outcomes and sharing learning/good practice.	Accessibility	Project	Project defined	01/04/2021	30/06/2021	H	Project scope signed off by LT. Comms strategy for INWO to identify types, methods and frequency of communications		
2	Implement INWO Comms plan.	Accessibility	BAU	Monthly	01/07/2021	31/03/2022	H	Preparation and publication of monthly compendium updates and as appropriate quarterly reports of other Comms/Inwo engagements. All appropriate stakeholders notified. Monitoring of feedback and Comms activity undertaken & reported.		
3	Develop SWF Support and Intervention Policy for inclusion in SPSO SIP (x-ref to SWF21)	Capacity	Project	Project defined	01/04/2021	30/06/2021	H	SPSO SiP updated to reflect SWF legislative powers and SWF intervention/supprt process.		
4	Develop INWO Support and Intervention Policy for inclusion in SPSO SIP	Capacity	Project	Project defined	01/04/2021	30/06/2021	H	SPSO SiP updated to reflect INWO legislative powers and INWO intervention/supprt process.		
5	Review of Communities of Practice (what adds value, what can be improved)	Capacity	Project	Project defined	01/10/2021	31/12/2021	H	Project scope signed off by LT. Report with findings, conclusions and recommendations prepared for LT sign off.		
6	Finalise User engagement policy, ensuring accessibility / rights approach is integral to our approach	Accessibility	Project	Project defined	01/04/2021	30/06/2021	H	Project scope signed off by LT (completed). Policy developed for LT sign off, following testing with public/public bodies.		
7	Training: Training Officer support for other internal business areas' projects	Capacity	Project	As required	01/04/2021	31/03/2022	M	Support provided as required for training development led or initiated by other teams - dependent on priorities, available resources, and LT approval of project proposals.		
8	Plan and deliver annual event for Whistleblowing Champions	Standards	BAU	Annual	01/10/2021	31/12/2021	H	Content scope identified and signed off by LT. Location/date of event identified. Event delivered		
9	Introduce Network of network chairs to share good practice across sectors and act as a sector Sounding Board in the way that SPSO interfaces with public bodies	Standards	Project	Project defined	01/07/2021	31/03/2022	M	Project scope signed off by LT. Network chairs consulted and terms of network identified and agreed.		
10	SPS Residential First Line Manager CH Network	Standards	Project	Project defined	01/10/2021	31/03/2022	M	Collaborative approach agreed with SPSO LT (for CR involvement) and with the SPS. Working jointly with 'expert CR' Terms of reference for network identified and agreed. Network introduced as BUA with support from ISE/Standards staff.		
11	Review and improve SPSO prisoner communications products	Accessibility	Project	Project defined	01/07/2021	31/03/2022	M	Approach (including collaborative with PSC Manager colleague) identified and signed off by LT. Findings, conclusions and recommendations prepared for LT		
13	The independent review on Police complaints handling, (investigations and misconduct issues): Respond to recommendations/work collaboratively with PIRC	Standards	Project	Project defined	01/04/2021	31/03/2022	H	Collaborative approach with PIRC as required		
14	Monitor and raise SPSO's public profile.	Accessibility	BAU	As required	01/04/2021	31/03/2022	H	- Media monitoring – number of media mentions, media types - Engagement with SPSO newsletter, social media - Web traffic		
15	Implement (and monitor) the introduction of the Communications Strategy .	Capacity	BAU	As required	01/10/2020	31/03/2021	H	Were communication(s) received by target audience? When/how did they access information? Are target needs being met?		
16	Compile and Publish monthly compendium	Accessibility	BAU	Monthly	01/04/2021	31/03/2022	S	Compendium prepared to time and quality standard. Compendium published on time.		
17	Compile, draft, coordinate and Publish Annual Report and Accounts 2019/20	Capacity	BAU	As required	01/04/2021	31/03/2022	S	Publish Annual Report and Accounts: Draft report by June 2019 Final report prepared for September 2019, Annual Report and Accounts 2018/19 laid before Parliament October (and published) 2019		
18	A. Communications support for other internal business areas' BAU	Capacity	BAU	As required	01/04/2021	31/03/2022	M	Support provided as required subject to resource availability and other priorities.		

19	B. Communications support for other internal business areas' projects and improvement development	Capacity	Project	Monthly	01/04/2021	31/03/2022	M	Support of at least 1 day per month for the development of improvement plans and projects led or initiated by other team - dependant on priorities, available resources and LT approval of project proposals		
20	Complaints handling: engage with public bodies to provide advice, guidance and support on all aspects of good complaint handling and a positive complaints culture (taking into account the need to update materials to reflect modified MCHP/INWO Standards).	Standards	BAU	As required	01/04/2021	31/03/2022	S	-Public reporting on activity through SPSO Annual Report and Accounts, including demonstrable positive impact-Updates to LT, to demonstrable activity		
21	Support/play an active role in sector wide complaints networks.	Standards	BAU	As required	01/04/2021	31/03/2022	H	SPSO (ISE) presence at each of the sector network events held through the year		
22	Standards support advice and awareness for internal business areas	Standards	BAU	As required	01/04/2021	31/03/2022	H	Support provided as required subject to resource availability and other priorities.		
23	Conduct data & intelligence analysis to monitor performance	Capacity	BAU	Continuous	01/04/2021	31/03/2022	S	Dashboard Monthly/Quarterly reports to LT & CPM on themes, trends, patterns, findings and recommendations where appropriate, learning and actions taken or proposed for external improvements, including outcomes. Including: - Complaints statistics - monthly analysis report - Corporate statistics quarterly analysis report - quarterly analysis report SWF statistics		
24	Policy and legal support for other internal business areas	Capacity	BAU	As required	01/04/2021	31/03/2022	M	Support provided as required subject to resource availability and other priorities.		
25	Learning and Improvement support for other internal business areas	Accessibility	BAU	As required	01/04/2021	31/03/2022	M	Support provided as required subject to resource availability and other priorities.		
26	Customer Service Complaints, monitor and report on performance in service complaints handling	Accessibility	BAU	Quarterly	01/04/2021	31/03/2022	H	Preparation of quarterly customer service complaints reports presented to Leadership Team		
27	Customer Service Complaints, liaise with the Independent Customer Complaints Reviewer	Accessibility	BAU	As required	01/04/2021	31/03/2022	H	Respond to ICCR requests in a timely manner as required of ICCR		
28	Training: ongoing research and development of training materials	Accessibility	BAU	As required	01/04/2021	31/03/2022	M	Ongoing research and development to ensure courses are up-to-date		
29	Training: deliver SPSO training products	Capacity	BAU	As required	01/04/2021	31/03/2022	H	Respond to customer requests in a timely manner. Provide quarterly updates on training delivery		
30	Develop links with SPSO COPs in delivering ISE objectives for relevant sectors	Capacity	BAU	As required	01/04/2021	31/03/2022	M	ISE attend CoP meeting(s)/CoP rep attends sector network meeting		
31	Develop methodology for monitoring standards (CHP, INWO, SWF)	Standards	Project	Project defined	01/04/2021	21/12/2021	H	Project scope prepared and signed off, methodology meets specification in plan		
32	20/21 REVISED Seek extension to SPSO powers - revise Wider review of SPSO powers - (e.g. incorporating Venice Principles work)	Accessibility	Project	Project defined	01/04/2021	31/12/2021	H	Specifically in short term PSRO (Public Service Reform Order) as appropriate PSRO reminder in Autumn or visit SO revise position in Autumn 2020. Potentially, a report to be laid before parliament.		
33	Project: SPSO Change Control process. Two main workstreams: 1. review identify and catalogue all SPSO products produced on same format as public authority publication scheme; 2. Develop product change control policy/procedure.	Capacity	Project	Project defined	01/07/2020	31/12/2021	H	Project scope prepared and signed off, change control process developed for LT sign off.		
34	INWO - lead on introduction of INWO practitioners network	Standards	Project	Project defined	01/09/2021	31/03/2022	H	Invite expressions of interest, convene inaugural meeting, develop and agree terms of reference		
35	Review ISE resource requirement, plan, prepare and run ISE recruitment as required.	Capacity	BAU	Quarterly	01/04/2021	31/03/2022	H	Recruitment needs agreed by LT.		
36	UAP - revise and refresh (including Expected Behaviours)	Accessibility	Project	Project defined	01/04/2021	30/09/21	H	Revised approach to managing behaviours presented to LT and signed off for implementation		
37	Performance reporting: Complaints - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	- Dashboard - monthly analysis report to LT		
38	Performance reporting: Service standards - work with A&G mgr/ SIF, to externally report on performance against service standards using internal and stakeholder feedback	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	M	publish quarterly report		
39	Performance reporting: SWF - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	- Dashboard - monthly analysis report to LT		
40	Performance Reporting: Annual stats - preparation and data cleansing	Access to justice	BAU	Annual	01/01/2021	31/03/2021	S	Published on website		
41	Performance Reporting: Annual stats - Stats production and checking	Access to justice	BAU	Annual	01/04/2020	30/06/2020	S	Published on website		

42	Information management - develop, build and maintain statistical reports from case-handling system	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	- Scheduled reports accurate and issued on time		
43	Develop Child Friendly CHP	Accessibility	Project	Project defined	01/04/2021	31/03/2022	S	Project scope developed and signed off by LT. Collaborative approach agreed with the Children and Young People's Commissioner Scotland. And other key stakeholders. CHP developed and published.		
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Unallocated items

No	Activity	Strategic Theme	Type	Frequency	Start	End	Priority	Measure/ KPI/ Reporting	Status	Comment
	<i>description of task/ activity/ project</i>	<i>Select</i>	<i>Select</i>	<i>Select</i>			<i>Select</i>		<i>Select</i>	<i>brief explanation for why unallocated this might include: - insufficient resources - associated risk of not progressing - requested by another team - relative priority</i>
U1	NEW - ISE CSA Circulars - to update bodies on what we are being asked and the advice we are giving	Standards					L			insufficient resources
U2	NEW - prepare a SPSO Good practice Guide - subject matter to be agreed - vulnerabilities/RA's, Heads of Complaint, etc	Standards					L			insufficient resources
U3	Develop (with comms colleagues) accessible materials for our website						M			request from A&G, to include collaborative working. more videos for SPSO website, with visual messages delivering responses to frequently asked questions by complainants. May be possible to do some ad hoc but insufficient resources for full scale project.
U4	Ask all water providers to set up general email boxes for SPSO communication and agree that these are checked at least once per day.						L			request from A&G. Probably not needed as Water CoP are effective at following up with specific providers.
U5	Develop approach for assessing the longer term impact of significant large scale recommendations						M			large project. ISE have insufficient resources. Requested by Inv 2
U6	If case volumes allow work with NHS boards to develop INWO related training materials based on needs.						M			From INWO team, but dependent on INWO case volumes and Training Officer Capacity
U7	Work with SWF to develop web tools, resources and training materials for LAs, to improve practice and promote learning						M			from SWF team, brings together a number of requests from them.
U8	Work with Ombudsman and HR to review approach to delegation						M			from the Ombudsman
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