Business plan 2021-2022

Scottish Public Services Ombudsman

INDEPENDENT NATIONAL WHISTLEBLOWING OFFICER

People Centred | Improvement Focused

SCOTTISH PUBLIC SERVICES OMBUDSMAN

People Centred | Improvement Focused

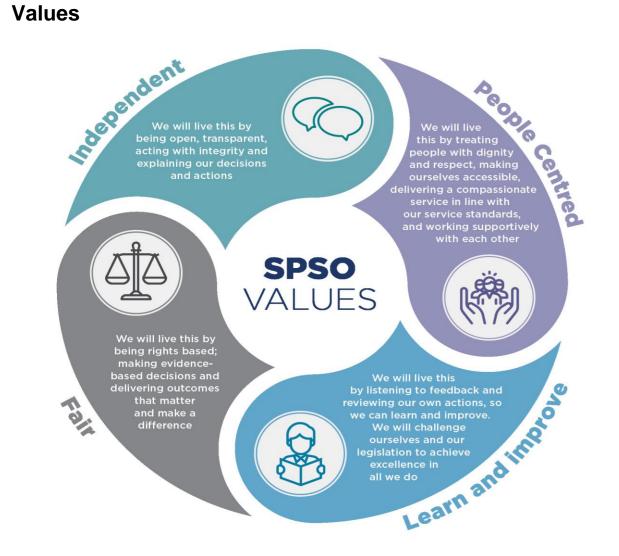# SPSO Business Plan 2021-22 Explanatory Notes

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	Strategic themes
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.	• Accessibility • Access to justice • Capacity • Standards

Values

SPSO VALUES

Independent — We will live this by being open, transparent, acting with integrity and explaining our decisions and actions

People Centred — We will live this by treating people with dignity and respect, making ourselves accessible, delivering a compassionate service in line with our service standards, and working supportively with each other

Fair — We will live this by being rights based; making evidence-based decisions and delivering outcomes that matter and make a difference

Learn and improve — We will live this by listening to feedback and reviewing our own actions, so we can learn and improve. We will challenge ourselves and our legislation to achieve excellence in all we do

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

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

Total SPSO budget for 2021-22 is £6,165,000 broken down as follows:

• Staff costs £4,900K

• Running costs £678K

• Bridgeside House costs £579k management of Bridgeside House for SPSO, SHRC and CYPCS)

• 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 *description of task/ activity/ project*	Strategic Theme *Select*	Type *Select*	Frequency *Select*	Start	End	Priority *Select*	Measure/ KPI/ Reporting	Status *Select*	Comment/ update *E.G.* *- 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**	On target	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**	Slippage	Monitoring of actual performance assess whether alternative target measures are appropriate 4/4/22 update: process for initial assessment takes longer than originally expected, with most cases needing significant input prior to accepting for investigation, and some premature cases using monitiored referral route. Analysis has identified more appropriate target for 22/23.
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**	On target	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	On target	
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	Completed	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	On target	
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	On target	
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 investgiations in first 6 months - regular update to LT	Completed	Dependent on case volumes and may need revising in light of experience Q2: QA reviews in progress for 95% of Q2 Advice closures; Learning reviews in progress for 100% of Q1 and 2 Initial assessment closures.
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 expeiences from other teams in gaining customer feedback - Defined system for Customer feedback - Gain LT sign off on defined J24approach	Slippage	Low case volumes means we focused initially on internal reviews, and are now developing service user feedback initiatives. Survey and method now complete for monitored referrals. Next step: to develop approach for feedback on advice cases.
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	Access to justice	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	C/F to next year	Survey of all monitored referrals will be carried out in Q1 2022-23 .
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)	On target	
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.	Completed	
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.	C/F to next year	Limited case numbers mean Workpro review has been carried forward until we have had greater experience of all the future for a wider range of cases, esp investigations.

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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	Completed	
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	On target	
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	On target	
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	On target	
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	On target	
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	Completed	
20	Q1 addition: Review of website to ensure appropriate information for all audiences	Accessibility	Project	Quarterly	01/04/2021	31/08/2021	L	- Update to LT as part of quarterly reporting	Completed	
21	Q2 addition: Develop and deliver a suite of webinars, focused on elements of th	Standards	Project	6 monthly	01/10/2021	31/03/2022	L	ate to LT as part of quarterly rep	Completed	

Unallocated items

No	Activity *description of task/ activity/ project*	Strategic Theme *Select*	Type *Select*	Frequency *Select*	Start	End	Priority *Select*	Measure/ KPI/ Reporting	Status *Select*	Comment *brief explanation for why unallocated this might include:* *- insufficient resources* *- associated risk of not progressing* *- requested by another team* *- relative priority*
U1	If case volumes allow: Increase promotion of INWO and work with boards to develop materials based on needs.	Standards	Project				L	TBC	On target	insufficient resources, but will be allocated to main plan if volumes are lower than expected. Will need input from Comms 14/7/21: See additional project at line 20 13/10/21: See additional project at line 21

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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**	On target	Performance to end Q4 98%
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**	Missed	Performance to end Q3 = 65% due to delays in allocations of up to 11 months at this point in the year as a result of lockdown/long term absences. Additional resourcing secured for Q4/Q1
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**	Missed	Performance to end Q3 = 31% due to delays in allocations of up to 11 months at this point in the year as a result of lockdown/long term absences. Additional resourcing secured for 2022-23 but still a backlog of old cases to clear which will continue to impact on PI3 into 2022-23
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	On target	SIHCG continued to operate and share intelligence through lockdown and regular cycle of reporting resumed for all four quarters
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	Completed	Chaired 2 OA First Contact Interest Groups - June and December 2021.
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.	Completed	Allocation pool letter and online complaint form info updated and regularly reviewed
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	Slippage	Resourcing levels significantly impacted through the year due to long term absence levels. Additional funding secured for further resourcing in Q3, recruitment took place in Q4 with additional resourcing coming on stream in 22-23
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	Completed	The group have met regularly during 2021/22.
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	L	Report with recommendations to LT	Discontinued	Due to resourcing pressures, not identified as a priority
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	L	Report with recommendations to LT	Discontinued	Due to resourcing pressures, not identified as a priority
11	Reviewing input of data into Workpro to minimise duplication	Capacity	Project	Project defined			M		Discontinued	To be replaced with introduction of annual, rolling Workpro training activities to ensure all users are familiar with requirements and functions. First sessions took place in Q4
12	Develop 'time saving tool' in line with SWF product	Capacity	Project	Project defined	01/10/2021	31/03/2022	M	Increase in case closures.	C/F to next year	Head of Inv 2. Not started. Agreed to be carried forward as not critical
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.	Completed	Completed for 'other closure points'. Expansion to prison complaints has not been considered - comms removed from BP.

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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	Discontinued	Links to 6, but still need to conduct a review of what we communicate throughout the rest of the process
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	Discontinued	Discontinued in light of the fact that we have remained in lockdown for the full year rather than coming out of lockdown for the second six months of performance
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	On target	Ongoing review of allocation pool and identification of opportunities to progress cases eg through resolutions based approach
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	C/F to next year	Agreed this will be carried out by the Heads of in Q1 of 22/23 BP due to delay in implementing allocation policy as a result of lockdown
18	Review process for managing repeat complainants to identify efficiency gains	Capacity	Project	Project defined	01/07/2021	30/09/2021	L	Review complete with recommendations as appropriate	Discontinued	Due to resourcing pressures, not identified as a priority
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	Completed	Subject specific information now contained within form. DCRs have no suggestion for improvement on expansion of questions. ER working group considering whether online form can be expanded to ask further questions to assist with ER assessment/closures.
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.	Completed	A&G in conjnction with comms have further improved the online form and collation of supporting docs at first contact.
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.	C/F to next year	A&G have presented idea to Health COP member and will develop with this group. Website designer has confirmed changes envisaged are technically possible.
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.	Completed	A&G complaint handling marker now within workpro.
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.	Completed	Study complete. Findings/recommendations will be presented to NCPAS 2022.
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.	Completed	Completed.
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.	Discontinued	Due to resourcing pressures, not identified as a priority
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.	Completed	Completed Dec 2021.
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.	Discontinued	Email template refresh has helped manage the workload associated with general email box.
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	Completed	
29	Piloting of resolutions guidance	Access to justice	Project	Project defined	01/10/2020	31/03/2021	H	Delivery of guidance	Completed	Training completed, guidance shared

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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)	Exceeded	Achieved in 100% of cases in Q3
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)	Slippage	Achieved in 90% of cases in Q3. Small number of case determined (50) and five of these exceeded timescale due to staffing issues. LT decision to prioritise crisis and SIS grants
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)	Exceeded	Achieved in 99% of cases in Q3. One case missed KPI.
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	Slippage	Internal case handling guidance overdue
5	Reconsiderations	Access to justice	BAU	As required	01/04/2021	31/03/2022	H	95% of decisions are correct, Quarterly reporting to LT	Exceeded	Original outcome unchanged in 100% of cases in Q2
6	Monitor SG SWF Guidance, provide feedback and engage in review	Standards	BAU	As required	01/04/2021	31/03/2022	S/H	Ad hoc updates and annual report to LT	On target	Liaised with SG over Self-Isolation Support Grant guidance and FAQs
7	Produce content for SWF section of annual report	Access to justice	BAU	Annual	01/04/2021	31/03/2022	S	Published Annual Report	Completed	Completed for the year 2020-21
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	On target	One CR moved teams within SPSO. Temporary TA acting up into CR vacancy and new temporary TA recruited.
9	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	M	- Quarterly report to LT as part of business plan update	On target	
10	Maintain effective engagement with stakeholders via appropriate channels, working with ISE	Access to justice	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.	On target	LA survey issued in July - September 2021. Report in progress. In general positive feedback received.
11	Produce SWF text for monthly commentary as well as additional comms materials as and when required.	Access to justice	BAU	Monthly	01/04/2021	31/03/2022	M	- monthly content to ISE	On target	
12	Review QA results (casework and telephone) and implement learning/ amend process as required.	Access to justice	BAU	Quarterly	01/04/2021	31/03/2022	M	- report of findings and recommendations to LT	On target	QA Report published in August. Findings and recommendations discussed with team members.
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.	On target	Demand for SISG applications during Q3 increased. Raised with SG and discussions over funding ongoing.
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	On target	Customer surveys now being carried out by text message following a successful pilot.
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	On target	Currently reviewing results to agree potential actions for 2022-23
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	Not started	Discussed virtual sessions with councils covering key topics. Was not possible to begin this in Q3 due to resourcing issues.
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	Not started	Analysis of LA survey results ongoing to assess what information would be most useful to publish.
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	Completed	
19	Review our communication with councils to better understand their perspective and facilitate greater understanding of our findings	Accessibility	Project	Project defined	01/04/2021	31/10/2021	M	- report of findings and recommendations to LT	Completed	LA survey asked councils about our communication. Feedback received was positive.

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20	Review the decision letter to remove repetition and unnecessary content	Accessibility	Project	Project defined	01/04/2021	31/10/2021	M	- Report and recommendations to LT	Slippage	Not possible to start this project due to resourcing issues linked to an increase in demand for SISG and absence. Will progress in Q4 if resources allow. .
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	30/09/2021	M	- report of findings and recommendations to LT	On target	Reviewed signposting data and changed telephone message as a result due to high volume of wrong numbers.
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	On target	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	Not started	This was amended from on online decision making tool due to lack of software and/or resources. It has been difficult to progress due to resources.

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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	On target	Updating in conjunction with Future working
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 BHMG	On target	Updating in conjunction with future working and return to office working
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	On target	On Schedule for year. Outstanding to be complete Q3 & Q4
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	On target	Completed standing meeting week. Assisted staff with WFH Guidance. Completed 10 DSE Assessments on issues YTD
5	BH: Health, Safety and Security (management) - Ensuring statutory regulations are complied with records maintained for legal duties - 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	On target	Complete Fire Drill in Q2 Office and Home RA to be complete Q3
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	Exceeded	Completed Annual H&S + S training Completed s 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	On target	Completed courier service training to improve and reduce delivery issues
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	On target	On demand service for Recycling & Confidential waste extra 1.5 hrs a day for communal cleaner for shared areas for touch points
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	On target	Upgrade shared meeting rooms with new AV including Cameras, speaker, mic system for hybrid meetings plug and play for all offices
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	C/F to next year	Continue to working towards achieving Key objectives from CCAT. Added climate risk to risk register and developed carbon project register. Climate change strategy c/f to 2022/23.
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)	On target	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	Completed	Climate Change report submitted to SSN before deadline of 30 November 2021 and published on SPSO website.
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	Completed	Report published on SPSO website.
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	Slippage	YE 5% in 50 working days. 98% 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	Completed	
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	Completed	

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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	Completed	
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	Completed	
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	Completed	
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	100% of undisputed invoices paid within 30 working days Reported in quarterly to LT	Completed	10 working days: Q1-51%; Q2-64%; Q3-83% 30 working days: Q1, Q2 - 100%; Q3-100%
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	Completed	
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	On target	
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	On target	
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	On target	
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.	On target	
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	On target	
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	Completed	
28	Governance: Business plan - coordinate and produce annual plan	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	- Published business plan	Completed	
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	Completed	
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	On target	
31	Governance: Incident register - record and report all Information Governance incidents in line with the Risk and Incident policy and data breach procedures	Standards	BAU	As required	01/04/2021	31/03/2022	S	- Effective incident management - quarterly updates to Leadership Team	On target	
32	Governance: Risk - Business Continuity Plan - review and update annually, undertake tests with IRT	Capacity	BAU	Annual	01/04/2021	31/03/2022	H	- Effective risk management	Not started	Delayed due to resource issues. To be progressed in Q1 focussing on Cyber incident.
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	Completed	Ombudsman reviewing structure
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	Completed	
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	Completed	

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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	Completed	
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	On target	
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	C/F to next year	NHS Healthy Working Lives staff redeployed so no assessors available to progress award, WAG continuing to update evidence in preparation for award
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	Completed	
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.	Completed	
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	Completed	
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	Completed	
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	Completed	
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	Completed	
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)	Completed	
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	On target	
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.	Completed	Action plan shared with all staff with range of activities for completion over next 18 months
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.	Completed	Action plan shared with all staff with range of activities for completion over next 18 months. IIP mid-cycle review completed in Nov 21
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	On target	Continuing to support rollout of additional features in MS Teams.
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	On target	PI fixes rolled out in Q4 for year-end reporting.
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	On target	
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	On target	
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	On target	
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	On target	Q4 - updated CSC and SWF reports.
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	On target	

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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	On target	PSAP survey and cyber assurance survey submitted on time to SG Cyber Resilience Unit in February 2022.
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	On target	Ransomware and Phishing 'exercise in a box' training exercises delivered in Q1 + Q3. Reminder of guidance and training webinars promoted in Q4.
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	Completed	Achieved confirmation of Cyber Essentials re-certification in December 2021.
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	On target	ISA completed cyber-security incident management training in Q3.
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.	On target	
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	On target	
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	On target	ICT champions use Channel in MS Teams to log queries and comments. ISA holds regular meetings with ICT champs.
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	On target	
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	On target	
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	On target	Q4 - 100% responded on target.
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	On target	Q4 - 100% responded on target.
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	On target	
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	On target	
69	Information Governance: Progress Update Review of Records Management Plan	Standards	BAU	Annual	01/04/2021	31/6/2021	M	Review submitted	Completed	Final report published.
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	Completed	
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	Slippage	Destruction was postponed due to instruction from infected blood inquiry. Following agreement with the inquiry, we can now start destruction policy again.
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	On target	Compulsory and breach management training rolled out, inductions, AS updates.
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	On target	
74	Ombudsman groups: manage membership	Access to justice	BAU	As required	01/04/2021	31/03/2022	L	- Representatives identified and resource available	On target	
75	Performance reporting: collation of quarterly statistics and year-to-date performance (FOI/EIR and DP rights requests eg SARs)	Standards	BAU	Quarterly	01/04/2021	31/03/2022	H	- Submitted to SIC on time - quarterly analysis report to LT	On target	
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	Completed	

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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	On target	Monitored on a qtrly basis through CPMM reporting
78	Professional Advice Service: Annual Report on advice service	Access to justice	BAU	Annual	01/04/2021	31/03/2022	M	Report on service	Completed	Consider incorporating into QCPMM reporting going forwards
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%)	Completed	2021-22 advices returned within 20 working days = 74% Average return time = 17.2 days
80	Quality assurance: annual quality assurance plan proposal	Access to justice	BAU	Annual	01/04/2021	31/03/2022	H	Proposal paper to QCPM.	Completed	
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	C/F to next year	Due to resourcing capacity.
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	On target	Started in Q4.
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	Completed	Completed on SWF decisions
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	Discontinued	Telephone QA will be replaced by new call recording.
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	Slippage	Due to staff absences. To be progressed in q4
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	Slippage	Governance and Risk handbook with LT for Risk update. BH MOU with LT for sign-off before publication. HR updates underway, with HR manager. Delayed due to recruitment requirements.
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	On target	
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	Completed	
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	Slippage	With Omb for Risk section to be reviewed and updated.
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	C/F to next year	Review of policy commenced in Q4 but still to complete due to resourcing capacity

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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	Completed	Updated handbook to include SBC. Signed off by LT with minor comments in Jan 2022.
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	Standards	BAU	Annual	01/04/2021	31/03/2022	S	- Review undertaken and signed off by LT	On target	Draft issued to LT in January 2022 for approval to publish
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	Completed	
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		Completed	
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	Completed	Carried forward to 2021-22 BP. COVID-19 response has delayed this requirement, resources focussed on making the building save 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.	Completed	Initial documentation provided
97	HR: Accreditation - Achieve Carer First Accreditation	Access to justice	Project	Project defined	01/07/2019	31/03/2020	M	Accredited	C/F to next year	Research and scoping in progress, carried forward due to resource capacity
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	C/F to next year	Due to staff resource capacity.
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	Slippage	Discussion have taken place with A&G and Comms. Review should be completed by end of Q4.
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	Completed	Project findings and recommendations presented in Future Working Report relating to future working principles and shared with LT and all staff. LT agreed and signed off stage 1. Now progressing to stage 2 to monitor proposed arrangements when trial commences in summer 2022.
101	HR: HR policy review	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	- Up-to-date HR policies	Discontinued	Duplicate entry, see 90
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	Discontinued	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	C/F to next year	Carried forward (and revised) to 2021-22 BP. Scoping commenced and LT report in progress
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	C/F to next year	Carried forward to 2021-22 BP. Additional l&d support brought in during q3 to progress this in the next business year
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	C/F to next year	Phase 1 (values refresh) of project complete. Phase 2 (review of the competency and behavioural framework) planning underway. Project on hold due to Covid response but due to resume in 22-23
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	C/F to next year	Carried forward to 2021-22 BP. As per 105, additonal resource now brought in to progress
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	C/F to next year	Membership to the Employers Network for Equality and Inclusion achieved in quarter 3. Scoping of TIDE benchmarking system to be carried out in new business year with plan developed for progressing benchmarking

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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	Completed	Contractor pool developed with around 5 casework contractors engaged
109	HR: Strategy - Develop and implement people strategy	Capacity	Project	Project defined	01/04/2021	31/03/2022	M	- People strategy to LT	C/F to next year	Carried forward to 2022-23 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	Slippage	A&G Manager has commenced development and has requested input from HR and others.
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	C/F to next year	Carried forward to 2022-23 BP
112	ICT: Applications - Case-handling system (Workpro) - using the report and findings outcomes 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	C/F to next year	Slippage due to delay of upgrade. Some outcomes (PDF editing, adding prisoner fields to search, notes to admin fields) incorporated in Workpro upgrade in Q3. Training arranged for Q1 of 2022-2023 and project for using tasks for performance reporting will be undertaken in 2022-23.
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	On target	Staff informed of iTECS training sessions for webinars, breakout rooms, Forms etc.
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	Completed	Regular ICT Champ updates proving successful. Implementing the outcomes of the WP User Experience project.
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	C/F to next year	Document naming convention training rolled out to staff in Q4.
116	Information Governance: Accountability Framework self assessment	Standards	Project	Project defined	01/04/2021	31/03/2022	M	- Assessment signed off by LT	Completed	Sufficient evidence in place, agreed by LT 20 Jan.
117	Information Governance: Publication Scheme. A best practice self assessment using module 4 of the SIC toolkit also takin into account the actions identified by OSIC in their recent mystery shopping exercise 2018.	Standards	Project	Project defined	01/01/2020	31/03/2020	M	- Publication scheme compliant, demonstrating best practice	Not started	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 rates	Access to justice	Project	Project defined	01/04/2021	20/09/2021	H	Report of findings and recommendations to LT.	Completed	Reviewed in Q3 with proposal to move to a single rate in 22-23
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.	Completed	Current arrangements still bedding in during Q4, therefore moving to Q1 2022
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	On target	The process is currently being developed.
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.	Not started	Telephone Recording Policy still under review.
122	BH: Shared Services Project - set-up and provide facilities services to the Biometrics Commissioner	Capacity	Project	Project defined	01/04/2021	31/03/2022	H	New accommodation and building services set up for the Biometrics Commissioner.	Completed	New activity from Q1.
123	Corporate Services: Shared Services Project - set-up and provide finance and governance services to the Biometrics Commissioner	Capacity	Project	Project defined	01/04/2021	31/03/2022	H	New finance and governance processes and procedures implemented for the Biometrics Commissioner.	Completed	New activity from Q1.
124	HR: Shared Services Project - set-up and provide HR services to the Biometrics Commissioner	Capacity	Project	Project defined	01/04/2021	31/03/2022	H	New HR services implemented for the Commissioner.	Completed	HR services set up and new team in place in quarter 3
125	BH: SPSO Facilities - provide appropriate seating arrangements and workstations to incorporate INWO restructure and additional staff into the 2nd floor office, including provision to support paper-lite and new filing process.	Capacity	Project	Project defined	01/08/2021	31/12/2021	M	Seating plan in place	Completed	New activity from Q1.
126	HR: Resources - Workforce Planning: develop a formalised Workforce Plan template outlining the current workforce, the future workforce and how the organisation can achieve its required future	Capacity	Project	Project defined	01/01/2022	31/03/2022	M	Template provided to LT for approval	C/F to next year	Carried forward to 2022-23 BP, links to 111 above
127	Finance: Budgeting - Draft a formal Budgeting Policy/Procedure which details the arrangements for budget setting and monitoring.	Access to justice	Project	Project defined	01/11/2021	31/12/2021	M	Draft provided to LT for approval	Completed	New activity from Internal Audit Draft included in Finance Handbook, with LT for approval.

No	Activity *description of task/ activity/ project*	Strategic Theme *Select*	Type *Select*	Frequency *Select*	Start	End	Priority *Select*	Measure/ KPI/ Reporting	Status *Select*	Comment/ update *E.G.* *- 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. Implement (and monitor) the introduction of the Communications Strategy .	Accessibility	Project	Project defined	01/04/2021	31/03/2022	H	Project scope signed off by LT. Comms strategy for INWO to identify types, methods and frequency of communications. Were communication(s) received by target audience? When/how did they access information? Are target needs being met?	On target	Discussions with INWO re: publication & plan in place (working document) **Q2 Update: Continues throughout the year, INWO incoporated into comms approach. Comms handbook, guides and media policy updated with INWOreferences. Front load while INWO capacity in Q2. Q3 update:** ongoing communication with INWO team to ensure targets are met. Expect findings/publication page on website to be implemented in Q4. **Q4:** regular INWO/Comms meetings to explore further comms developments. Findings delayed to
2	Implement INWO Comms plan.	Accessibility	BAU	Monthly	01/01/2021	31/03/2022	S/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.	On target	Monthly comms happening, news publications happening **Q2 Update:** As above this will continme through the year. Publication process will be updated when cases are closed. Comms will provide report updates to the team on a quarterly basis. **Q3 Update:** Ongonig meeting with INWO, INWO **Q4.** BAU, INWO projects completed as requested.
3	Review of Communities of Practice (what adds value, what can be improved) **Implementation of CoP recommendations**	Capacity	Project	Project defined	01/08/2021	31/03/2022	H	Project scope signed off by LT. Report with findings, conclusions and recommendations will be prepared for LT sign off.	Completed	**Q2 Update:** Comms started interviews with COP chairs, update to come end October. **Q3 update:** Report sent to LT and feedback/comments received. **LT discussion Jan 22:** Recommendations for moving forward agreed with LT **Q4 Recommendations implemented**
4	Finalise User engagement policy, ensuring accessibility / rights approach is integral to our approach	Accessibility	Project	Project defined	01/04/2021	30/06/2021	S/H	Project scope signed off by LT (completed). Policy developed for LT sign off, following testing with public/public bodies.	Completed	**Q2 Update:** Policy published - supporting documents should be updated shortly. ISE CR undertaking work to update documents. **Q3 Update:** This is overlapped with BP14 and the UAP, completed project and will now be taken forward by the new engagement manager.
5	Training: Training Coordinator 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.	On target	Q1: Bespoke external training projects as required. Plus internal CR induction project (KF) (not external)**.** **Q2 update**: no approach as yet from other teams re. training requirements. As this is on an "as required" basis, and the training unit is currently short on resource, we have not approached other teams to see if they need any help. KF has retired and CS are responsible for CR induction. **Q3 update:** no change from Q2 - no approach from other teams, and training unit still short on resource. **Q4 update:** no change from Q3 - no approach from other teams fortunately, as TU still short on resource.
6	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	L	Project scope signed off by LT. Network chairs consulted and terms of network identified and agreed.	C/F to next year	C/F to 2022/23. Need project rationale devised and agreed principles around this (possibly in with review of CoP).
7	SPS Residential First Line Manager CH Pactitioners Network	Standards	Project	Project defined	01/10/2021	31/03/2022	L	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.	C/F to next year	C/F to 2022/23. Will need existing networks functioning properly first. Also, SG network is higher priority (SSSC are interested in setting up SG network).
8	Review and improve SPSO prisoner communications products - need to ensure accessibility for prisoners to SPSO. **Pilot project.**	Accessibility	Project	Project defined	01/03/2022	31/03/2023	L	Approach (including collaborative with PSC Manager colleague) identified and signed off by LT. Findings, conclusions and recommendations prepared for LT	On target	Suggestion is that this is moved to next year. Research was pre-CV19 and would need to be re-established as a full project if deemed higher priority - Updated paperwork. **Q2 Update:** Project being teased out as part of a collaborative approach, ISE CR to look at prision rules and why they are not equitable. Short term project to be completed in Q2. CoP needed? **Q3 Update:** Potential to scope out a pilot project for prison data and good practice discussed following work by BF, to be taken forward when staffing in place. *Need a representative for a short life working group re:rules from ISE* **Quarter 4 update:** Prisions CoP formed - can this project be driven forward by this group.

9	The independent review on Police complaints handling, (investigations and misconduct issues): Respond to recommendations/work collaboratively with PIRC	Standards	BAU	As required	01/04/2021	31/03/2022	M	Collaborative approach with PIRC as required	On target	Engagement with PIRC but not for a while now. Training for two officers has happened already. We recognise this is high priority for PIRC, but for us the priority of M is representative of the amount of work we can put into this **Q2 update**: Discussion relates to staffing ability within ISE. PIRC have not asked for this to be taken forward. **Q3 update**: Training Coordinator has had discussions with SPA about this. As a result, some of their staff are attending our Febb 2022 investigation skills open course. SPA are planning to liaise with PIRC and work with TC in the future (likely to be 22-23), resources-permitting. **Q4 update**: Some SPA staff attended the Feb 2022 open Complaints Investigation Skills course
10	Monitor and manage 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	On target	Possible quarterly reporting on traffic / use of media platforms and themes on SM and Press. **Q2 Update:** Reports will be shared with LT - There is a need for Stakeholder Engagement will be a focus of new Comms manager role **Q3 update:** BAU, Q3 report being finalised, ongoing conversations with media monitoring provider to refine tracking and monitoring. **Q4**: BAU, Quarterly reports pulled on time
11	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.	On target	**B2 Update:** Relates to ISE 14, quarterly media coverage and social media reports now in place. Separate INWO compendium to continue. Disussion on workpro needs / reports that will be needed. **Q3 update:** BAU. INWO report dicussion to take place in Q4 **Q4 update:** ongoing, all reports complete
12	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 2021 Final report prepared for September 2021, Annual Report and Accounts 2020/21 laid before Parliament October (and published) 2021	Completed	to be publish by 31/10/21 this is the statutory date **Q2 Update:** On target. **Q3 update:** Published in October 2021
13	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.	On target	Proof reading / website publishing **Q4:** BAU, mulitple design work requests complete
14	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	On target	SI Forum. None in the 1st quarter. **Q2 Update:** SIF proposal on Discrimnation FAQ implemented 5/10/21. **Q3 update:** attended and working with Health COP on health complaint form project - ongoing. **Q4 update:** worked with SIF on leaflet development - ongoing
15	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/H	-Public reporting on activity through SPSO Annual Report and Accounts, including demonstrable positive impact-Updates to LT, to demonstrable activity	On target	**Q2 update:** CSA continues to engage as outlined in description **Q3 update:** CSA continues to engage as outlined in description **Q4 update:** CSA continues to engage as outlined in description
16	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	On target	This is a blend of planned and reactive BAU that can evolve into projects which can impact on resources . **Q2 update:** networks continue on schedule, SG etc network being established by Training Coordinator. Possible fact finding discussion. **Q3 update:** SG etc network set-up postponed until start of Q4 due to future Chair being busy. Training Coordinator aiming to contact sector in January 2022, resources-permitting. LA and Housing networks continue, NCPAS on hold until Spring 2022 due to Covid. No recent activity on FE and HE networks, CSA to catch up with FE and HE chairs. **Q4 update:** SG etc. network set-up postponed until next business year or whenever there is capacity in CSA. TC was unable to pursue this further in Q3 due to training demand. LA, Housing and FE networks continue, NCPAS on hold until Q1 2022/23 due to Covid and waiitng list pressures on NHS. No recent activity on HE network, CSA to catch up with HE
17	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.	On target	This is a reactive BAU that can evolve into projects which can impact on resources. **Q2 update:** CSA continues to engage as outlined in description **Q3 update:** CSA continues to engage as outlined in description **Q4 update:** CSA continues to engage as outlined in description

18	Conduct data & intelligence analysis to monitor performance	Capacity	BAU	Continuous	01/04/2021	31/03/2022	S/H	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	On target	This can be refined and evolve into other projects. **Q2 update:** quarterly dashboard for Q1 presented to CPM, and was well received. Ambition to create rolling 5 years (requirement of financial) of quarterly data for better overview of office performance over time. **Q3 update:** all reports submitted on target. LT request change to Themes & Trends document to every 6 months. DL compiling Q3 CPM **Q4 update:** all reports rolled forward ready for input data once reporting closes for month/quarter/year (01/04/22)
19	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.	On target	This is a reactive BAU that can evolve into projects which can impact on resources
20	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.	Slippage	Note staffing implications at present, however these functions are integral to ISE as a whole. **Q3 update**: 3 staff members have left post. Recruitment underway **Q4 Update:** Recruitment has taken place and staffing will return to full capacity by the summer This is BAU so will continue
21	Customer Service Complaints, monitor and report on performance in service complaints handling	Accessibility	BAU	Quarterly	01/04/2021	31/03/2022	S/H	Preparation of quarterly customer service complaints reports presented to Leadership Team	On target	Comms to publish **Q2 update:** new process agreed to ensure timely preparation of statistics from end Q2 onwards LI&PR Officer and CS Manager support to ISE TA. **Q3 update:** LI&PR Officer and CS Manager leading work to redesign the Workpro casetype to improve accuracy of data capture / LT reporting / alignment with other case types. **Q4 Update:** New format of CSC report and workflow to BUJ Themes and trends will be presented at Q4 update
22	Customer Service Complaints, liaise with the Independent Customer Service Complaints Reviewer **ICSCR**	Accessibility	BAU	As required	01/04/2021	31/03/2022	H	Respond to ICSCR requests in a timely manner as required of ICSCR	On target	New ICSCR will take up post Jan 2022. Rolling meeting in place and will transfer to new ICSCR. Random file review being taken forward in Novemeber 2021. **Q3 Update:** Random review completed 2021 by ICSCR. New ICSCR in post CG. 1st Case allocated Jan 2022. 3 weekly meetings set up between HoISE and ICSCR- **Q4 Update:** ICSCR in place, TA ensuring that timelines are met. ICSCR will attend ASM to introduce himself.
23	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	On target	**Q1:** On target but difficult to carry out research with so much demand for training delivery (currently). **Q2 update**: on target but as with Q1, difficult to carry out extensive research and further training design/development with so much demand for training delivery (currently) and only one trainer. Courses are updated with new annual stats.**Need to keep pace with new training platforms.** **Q3 update**: courses are up-to-date. TC has checked with delegates (who are subject experts in their sectors) to ensure courses remain relevant and has amended the content accordingly. We have been fully-booked again this quarter therefore training prep and delivery has taken up the majority of TC's time; more resources (i.e. more trainers) are needed in order for TC to be able to do more of this kind of project work, including keeping pace with new training platforms. **Q4 update:** much the same as Q3. All courses are up-to-date currently. No further research has been done given the amount of time TC spends training.

24	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	On target	**Q1:** We are currently fully-booked for online training courses (delivering most days except Fridays) until December, with just a couple of dates left in December. Review to be done in December (quarterly update to follow). **Q2 update:** we are fully-booked for online training courses until the end of March 2022. We are pausing taking any further bookings for 2022-23 until we have reviewed our current course offer. The review will be completed by January 2022 when we will recommence bookings for the revised course offer. **Q3 update:** we have a waiting list for when we recommence taking bookings; this is likely to now be in February 2022 for courses from April onwards. Our last two open courses of this business year (in January and February 2022) are now fully-booked with a waiting list. **Q4 update:** due to TC doing other CSA work, TU review has not taken place. TC resigned in Feb 2022 therefore review will be best done by successor (not identified as yet). Quarterly updates continue to be provided to LT. We have 11 courses booked April to June and have not taken any more bookings because it's unclear
25	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	On target	This can be linked to the CoP review - chairs of CoPs to attend networks if/where appropriate **Q2 Update: This will form part of the recommendations from the CoP review.** **Q4 update**: FE/HE COP now revised into Education COP, CSA officer comtiues to attend
26	Develop methodology for monitoring standards (CHP, INWO, SWF)	Standards	Project	Project defined	01/04/2021	31/03/2022	S/H	Project scope prepared and signed off, methodology meets specification in plan	On target	Feedback from KPIs coming in and ISE team feedback. Need to review year 1 of MCHP and KPI data to feed into this. Prep work to be completed this year. **Q2 Update:** Feedback received from LACHN and selected others, decision to review how we collect quallative data in a meaningful and measurable way. Quantitive data to be collected and published on SPSO website - linked to dataLab project. **KPI refresh to be concluded before new business year. This will need to move up the priority list.** Interim target for engagement / consulation 21/12/2021. Finalised and put out by 31/03/2022. **Q3 update:** BUJs asking for updates on KPIs. Needs completed before end Q3 to be on track for 2022/23 roll-out. **Q3 update: KPI Paper to LT** refinement of some parts and draft refresh **Q4 update:** revision of KPI document complete, published online and sent to
27	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	31/12/2023	S/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.	C/F to next year	1st draft legislation research and initial comments will be completed by end July 2021. This is a two stage project, report to parliament 1st. Then individual projects will come from this. **Q2 update:** Project to be defined with support from external legal professional, CSA Officer to provide summary to Omb on SPSO's current compliance with the 25 VPs. Meeting with MSP has taken place regarding laying a report to parliment pending work above. **Q3 update**: CSA to provide VP compliance summary for Omb. **Q4 update:** CSA unable to provide summary in Q4, will aim to do so asap in Q1 2022/23
28	Project: SPSO Change Control process. Two main work streams: 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	M	Project scope prepared and signed off, change control process developed for LT sign off.	C/F to next year	Needs reviewed later in the year in light of resources. **Statutory responsibility for control. End of Q2 if not started carry or slippage.** **Q2 update:** needs to be c/f to 2022/23 when more resource in place.

#	Description				Start	End				Status	Update
29	INWO - lead on introduction of INWO practitioners network	Standards	Project	Project defined	01/09/2021	31/03/2022	M	Invite expressions of interest, convene inaugural meeting, develop and agree terms of reference		On target	INWO network is starting, GG&C NHS taking lead with support from SPSO. **Q2 update**: invitations sent to Board WB contacts provided by INWO, first meeting end Nov/early Dec 2021 - ISE to provide support not lead? Like other practitioner networks **Q3 update**: poor response to Q2 invite, proposed chair leaving post, ISE to target specific Boards to make progress for interested parties. **Q4 update**: initial meeting of WB Pract Forum took place in Q4, aiming to hold another meeting early in Q1 2022/23 - no chair yet for forum.
30	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.		On target	**Q3 Update:** Recruitment underway for E&C Manager, backfill for departed L&I officer & ChF Officer to be taken forward
31	Performance reporting: Complaints and investigations - collation of statistics and year-to-date performance this is public and internally.	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	S	- Dashboard - monthly analysis report to LT		On target	**Q2 update:** Resource has been spent developing further reporting options for INWO. Integrated into Dashboard. **Q3 update:** on track - DL to provide this support Q3 **Q4 update:** reports rolled forward ready to update with new stats once available 01/04/22.
32	Performance reporting: Customer 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		On target	Expansion of surveys impact on workload. Add CSC (Fiona work to be added) **Q2 Update:** Ongoing surveys - TV to confirm new surveys. Can we confirm the sign off / timeline and order of where it goes? - **Linked to Calendar update project Q4:** BAU, supporting A&G manager in survery reporting.
33	Performance Reporting: Annual stats - preparation and data cleansing	Access to justice	BAU	Annual	01/01/2021	31/03/2021	S	Published on website		Completed	
34	Performance Reporting: Annual stats - Stats production and checking	Access to justice	BAU	Annual	01/04/2020	30/06/2020	S	Published on website		Completed	
35	Information management - develop, build and maintain statistical reports from case-handling system	Capacity	BAU	Continuous	01/04/2020	31/03/2021	S/H	- Scheduled reports accurate and issued on time		On target	KPIs to be added into CSC process for internal monitoring **Q2 update:** robust change management process established and rolled out to create clear audit trail for report additions / changes / builds. CAS backlog while upgarde is taking place. **Q3 update:** loss of report functionality affecting <10 reports following Nov upgrade: CAS are working on a fix. All reports can be accessed through admin area, but are not accessible by all users through workpro interface. **Q4 Update:** On Corp services BP for next year
36	Develop & Support Child Friendly complaints.	Access to justice	Project	Project defined	01/04/2021	31/03/2023	S/H	Project scope developed not signed off by LT yet. Collaborative approach agreed with the Children and Young People's Commissioner Scotland. And other key stakeholders. CHP developed and published.		On target	Awaiting Gov. Feedback. CYPC discussions have already taken place. **Q2 update:** Funding agreed over 3 years staffing to be agreed and then advertised. Potentially staff to start before 01/04/2022. **Q3 Update:** Recruitment underway for ChF officer project plan to be scoped out. **Q4 Update:** Recruitment successful new officer will start end of April 2022.
37	NHS MCHP review and revision	Standards	Project	Project defined	01/03/2022	31/03/2023	S/H	Project to follow similar scope to previous revisions of MCHPs		C/F to next year	May link with revision of MCHPs. May need separate versions for Primary Care & Prison Healthcare (TBD/C). **Q2 Update:** Discussion needed regarding wording for NCPAS and how they will continue to link with other services. **Q3 update:** on hold in line with NCPAS pause due to Covid.
	IN-YEAR PROJECTS										
38	Work stream working group leads and representation.	Standards	Project	Project defined	01/03/2021	31/03/2022	M	Individual Project driven		On target	Need to be able to adapt and be agile to requests. This may develop larger projects. Across org impact of workload. **Q2 Update:** Casework intel to take paper to LT to change into a CoP and then dissolve existing workstream. **Q3 update:** Casework Intel workstream / COP will be without chair from Jan 22. Comms workstream - paper on internal comms with LT **Q4 update:** Comms workstream - paper signed off by LT. Some recs completed, others to be taken forward by new comms manager
39	Updated calendars to reflect dates when statutory reports must be published	Standards	Project	Project defined	01/07/2021	30/11/2021	M	All Calendars within ISE show clearly dates for publication		On target	to be completed 31/10/21, delay due to staff absence **Q2 Update:** Project has begun dates have been asked from across the service. **Aim to complete in Q3. Q3 update:** Dates reviewed ad finalised - TA to populate calendars in Q4.**Q4 Update:** Calendars have been populated for deadlines / meetings
40	Data Science Project	Standards	Project	Project defined	01/01/2022	30/09/2022	M	Apply, appoint, support MSc student for dissertation project.Develop a data dashboard to support service improvement		C/F to next year	**Q3 Update:** HoISE discussion with DatLab proposal to be resubmitted students in June 2022 if accepted. **Q4 Update:** paper to be drafted following new BP
41	LA overview prep work	Standards	Project	Project defined	30/09/2021	31/03/2022	M	Draft ToR for LACHN after discussion. Need to capture and confirm purpose of LACHN and SPSO in relation to it.		C/F to next year	Conversation needs to take place internally then with network chairs

42	Wider engagement for consultation (potential customers / users)	Accessibility	Project	Project defined			M		C/F to next year	3rd sector engagement / conversations have happened. Possible framework. How do we bring in wider participation. **Q2 Update:** Focus for next year from Comms Manager. **Q3 Update:** Engagement focus written into new JD for E&C manager
43	ISE overview document	Accessibility	Project	Project defined	01/07/2021	31/12/2021	L		On target	Possible driver diagram - Statutory functions, External and internal? **Q2 Update:** Initial description of roles shared with SLCC this can be used as the basis to develop our own. On hold until staffing resource back in place. **Q3 Update:** Document will be refreshed in Q4 for new BP year following recruitment. **Q4 Update:** As above when staffing complement is back to full strength paper will be refreshed.
44	Call recording implementation project	Standards	Project	Project defined		31/12/2021	M		Slippage	Need dates on this and agreed timescales. **Q2 Update:** Ongoing engagement - awaiting external engagement Q3 update delayed because of changes to the external suppliers operating systems, also to confirm suitability of proposed policy for hybrid working - end Q4 is achievable if there are no further unanticipated problems and subject to agreement on additional costs. **Q3 update:** Discussions moving forward with LPO now updates given to LT
45	Capturing casework at early stages (recommendation from Casework Intel work stream)	Standards	Project	Project defined	01/07/2021	31/03/2022	M	Scope project (led by Casework Intel Work stream - responsibility may pass to another team to take forward once LT sign off the project)	On target	This has the potential to be a long project - but I also suspect it might move off our business plan, as it makes more sense for a CR / manager to lead it, with ISE/Corp Services support. This should sit on PSC BP with ISE supporting will change to support role in Q3. **Q3 update:** CIWS movning to CoP interim chair agreed and LT sponsor. **Q4 update:** Casework Intel Group TOR drafted, first meeting 05/04/22.
46	ICSCR review: activity tracking work	Standards	Project	Project defined	01/07/2021	30/09/2021	M	Recommendation from ICSCR report: joint project for statistics working group (chaired by LI&PR Officer) and Heads of Investigation	On target	**Q2 update:** contingent on completion of delayed Workpro upgrade (scheduled for Aug, moved to Oct) - all new Workpro requests are on hold, so this is subject to delay **Q3 update:** Workpro upgrade delayed until end Nov; tickets not yet signed off by ICT Systems Analyst. **Q4 Updates:** TA has taken forward project to look at shared workspace
47	Build capacity throughout office in knowledge sharing, and monitoring performance through information from SPSO casework management system	Standards	BAU	Project defined	01/07/2021	31/03/2022	S/H	Identifying opportunities and leading initiatives to build confidence and skills within office to run statistical reports and/or draw down information from casework management system; this will partially be fulfilled via the new Statistics working group/COP, but also through developing relationships with key colleagues, all-staff meetings	On target	**Q2 Update:** New Statistics group up and running. How do we monitor? **Q3 update:** statistics group running as intended; active MS Teams channel between quarterly meetings. Change in resource for several key members of the group will change the make-up of this group in Q4. **Q4 update:** quarterly catch up of Stats Group scheduled for 13/04/22
48	Resolutions Project WG part	Standards	Project	Project defined	01/07/2021	31/03/2022	H	develop project plan setting out how to develop guidance and training for bujs on resolution including considering mediated approaches (from facilitated conversations through to formal mediation). This could then be used as the basis for SPSO making formal recommendations involving mediated approaches going forwards.	C/F to next year	**Q2 update:** CSA to draft project plan for BUJ engagement - first to HoISE then forward to Director/project group. **Q3 update:** CSA to draft wording for website to outline SPSO approach to resolution, and reconsider project plan in light of engagement with networks to date. **Q4 update:** CSA yet to draft wording, will do so in Q1 2022/23
49	Accessibility for all	Accessibility	Project	Project defined	01/04/2021	31/03/2022	M	Develop accessible webpages including- BSL / signing to videos linked to BP U3	C/F to next year	**Q2 Update:** We currenlty meet requirements. Need to scope out how this could be taken formward. IDEA group? Is this a project to embed. **Q3 Update:** On hold till E&C manager in place
50	Style Guide	Accessibility	Project	Project defined	01/04/2021	31/03/2022	M	Develop a style guide for internal use and external communications	C/F to next year	**Q2 Update:** Style guide for letters, reports, emails etc. Standardised formatting for text, layout, dates etc. Include support material on language and tone for external comms. Review of existing documents / focus for staff on existing. We should use the new engagement policy as foundation for comms apporach? **This needs to be done as a cross service project to ensure buy-in. Q3 Update:** In preperation for new E&C manager scoping needs to be pulled together of what we have **Q4:** Document
U3	Develop (with comms colleagues) accessible materials for our website	Accessibility	BAU	Continuous			L	Everything we develop is fully accessible. Comms will complete requests within 1 day a month	On target	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. Q2 Update: We have captured this above on BP 57. This will come out in Q4.

No	Activity	Strategic Theme	Type	Frequency	Start	End	Priority	Measure/ KPI/ Reporting	Status	Comment
42	Wider engagement for consultation (potential customers / users)	Accessibility	Project	Project defined			M		C/F to next year	3rd sector engagement / conversations have happened. Possible framework. How do we bring in wider participation. **Q2 Update:** Focus for next year from Comms Manager. **Q3 Update:** Engagement focus written into new JD for E&C manager
43	ISE overview document	Accessibility	Project	Project defined	01/07/2021	31/12/2021	L		On target	Possible driver diagram - Statutory functions, External and internal? **Q2 Update:** Initial description of roles shared with SLCC this can be used as the basis to develop our own. On hold until staffing resource back in place. **Q3 Update:** Document will be refreshed in Q4 for new BP year following recruitment. **Q4 Update:** As above when staffing complement is back to full strength paper will be refreshed.

SIP

No	Activity	Strategic Theme	Type	Frequency	Start	End	Priority	Measure/ KPI/ Reporting	Status	Comment
	description of task/ activity/ project	Select	Select	Select			Select		Select	brief explanation for why unallocated this might include:- insufficient resources- associated risk of not progressing- requested by another team- relative priority
U1	NEW - ISE CSA Circulars - to update bodies on what we are being asked and the advice we are giving	Standards					L		C/F to next year	insufficient resources, would be good comms
U2	NEW - prepare a SPSO Good practice Guide - subject matter to be agreed - vulnerabilities/RA's, Heads of Complaint, etc.	Standards	BAU				L		C/F to next year	**Q2 Update:** External good practice, learning from complaints, external conferences etc. - Staffing resource needed? We would need to baseline and review the existing documents
U4	Develop approach for assessing the longer term impact of significant large scale recommendations	Capacity			31/04/2022		L		C/F to next year	large project which is very complex. **ISE have insufficient resources.** Requested by Inv 2
U5	If case volumes allow work with NHS boards to develop INWO related training materials based on needs.	Capacity			31/04/2022		L		C/F to next year	From INWO team, but dependent on INWO case volumes and Training Officer Capacity
U6	Work with SWF to develop web tools, resources and training materials for LAs, to improve practice and promote learning	Capacity			31/04/2022		L		C/F to next year	SWF to lead ND to support?
U8	Work with Ombudsman and HR to review approach to delegation	Standards	Project		31/04/2022		L		C/F to next year	from the Ombudsman LPO plan if capacity to contact other org
U9	Process notes to be developed for reports	Standards	Project	Annual	31/04/2022		H	Process notes will be available to produce all ISE reports	C/F to next year	This project has been identified as high priority and will be completed in Q1 of next year.
U10	Data Plan & Strategy for ISE	Capacity	Project	Project defined	31/04/2022		M	Data Strategy will set out how, why and what we do with our data making recommendations and analysis from this.	C/F to next year	Project will be driven forward by officer
U11	Good Practice Guides	Standards	Project		31/04/2022		M	Develop good practice guides / hosting for BUJs	C/F to next year	Needs scoped and developed
U12	SEPA training	Standards	Project		31/04/2022		M		C/F to next year	Likely to be late Q2/early Q3 depending on ISE resource and PSC CR capacity/availability
U13	SIP Refresh training & Refresh SIP	Standards	Project	Project defined	31/04/2022		H	All ISE staff and Heads Of to be included in refresh training. SIP to be refreshed in light of resolution work.	C/F to next year	Identify best placed officer to lead training. SIP to be refreshed by officers / data
U14	SIP reporting to be included in BUJ themes and trends on a separate tab for all levels showing actions taken. Linked to LT issue log	Accessibility	Project	Project defined	31/04/2022		H	Report will include all levels of SIP actions and recommendations	C/F to next year	Already identified and will draft into Q4 updates
U15	INWO training plan and delivery	Access to justice	Project	Project defined	31/04/2022		H	Investigations training to be reviewed in line with developing INWO training. Scope out demand & best delivery.	C/F to next year	Officer to drive this forward
U16	INWO stakeholder Engagement	Access to justice	Project	Project defined	31/04/2022		H	Focus on areas of priority, link officers to Eng Manager	C/F to next year	Officers link with INWO and Eng Manager
U17	INWO monitoring of standards & application of SIP	Standards	Project	Project defined	31/04/2022		H	Develop monitoring of standards for INWO. Allocation and overview of tasks	C/F to next year	INWO officers and ISE officers
U18	Training Plan	Standards	Project	Project defined	31/04/2022		H	Develop and refresh training plan for external open courses and integrated training approach	C/F to next year	High priority and high risk, link to U15
U19	Standards website	Standards	Project				M	Either create Complaints Standards website, or refresh Standards section of SPSO website, to host important info, good practice guides, updates, themes, KPI data	C/F to next year	Medium priority - we can get by without it, but doing so carries increasing risk and leaves the fourth pillar of our statutory responsibilty unstable.
U20	Develop new e-learning modules for complaints handling	Standards	Project				L	Develop new e-learning modules, as part of good practice work, for BUJs following the MCHP or NHS CHP.	C/F to next year	Build on work already done by INWO and being done by BUJs
U21	Develop/refresh protocol for dealing with new BUJs	Standards	Project				M	Either create new protocol, or refresh existing protocol, for introducing new BUJs (and possibly OBOs) to SPSO and their complaints handlign responsibilities.	**C/F to next year**	Although new BUJs are not common, there is a risk in not getting it right first time in our interactions with new BUJs.
U21	Create complaints handlers forum for water proviers	Standards	Project				L	Consider creating a good practice forum (not a network) run by ISE with support from PSC for water providers.	**C/F to next year**	Forum will meet infrquently, to emphasis and supplement good practice materials