SPSO Business Plan 2020-2021

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Introduction

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

Vision

The Scottish Public Services Ombudsman contributes actively and positively to high performing Scottish public services. Recognised for our innovative world-leading approach, we put people and learning at the heart of all we do.

Strategic themes

- Accessibility
- Access to justice
- Capacity
- Standards

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.	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.
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.	5	Monitor the diversity of our workforce and supply chain, and take positive steps where under-representation exists.
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.		

Risk appetite
Our current overall risk appetite is defined as 'Open'. This means the SPSO will continue to encourage new thinking and invest in people, systems and processes that will enable the organisation to achieve continuous improvement in the quality and user-focus of our services

Resources
Total SPSO budget for 2020-21 is £5,169,000, broken down as follows:
- Total SPSO staff costs   £4,078,000
- Total SPSO running costs £532,000
- Total Bridgeside House costs £558,620 to manage the Bridgeside House accommodation on behalf of SPSO, SHRC and CYPCS
- Less Total estimated SPSO income (£100,000)

Commonly used terms

BAU: Business as Usual

Priority: Relative priority

- **S**tatutory, must do

- **S**tatutory/**H**igh, part statutory part business high priority

- **H**igh, high strategic or business high priority (have a choice but achievement of strategic aims and business will suffer if not done)

- **M**edium, medium strategic or business high priority (have a choice about whether to do)

- **L**ow, low business priority (have a choice about whether to do)

LT: Leadership team

C&I: Complaints and investigations

Corp Serv/ Services: Corporate Services

ISE: Improvement, Standards and Engagement

SWF: Scottish Welfare Fund

SPSO: the Ombudsman

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

HoISE: Head of Improvement, Standards and Engagement

No	Activity	Strategic Aims	Type	Frequency	Start	End	Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
	description of task/ activity/ project	List which strategic	select	select			select	select		select	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued
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	01/04/2020	31/03/2021	S	Dir - C&I	**PI1 95% of cases where advice stage was completed within 5 days**	Missed	PI1 - 83.5%
2	Case-handling - **Early resolution, Investigations Level 1 & 2**	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - C&I	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	PI2 - 61.9%
3	Case-handling - **Investigations Levels 1-4**	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - C&I	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	PI3- 67.5%
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	01/04/2020	31/03/2021	M	Dir - C&I	- input information/ papers to LT - attendance at meetings - feedback to LT	On target	
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	01/04/2020	31/03/2021	M	Dir - C&I	- feedback for SPSO specific items - OA published minutes - ad hoc reports and recommendations as required	On target	A&G - OA First Contact Mtg chaired – 2/6/20. Next Meeting of the group Nov 20.
6	Review our communications with complainants about delays to our service.	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - C&I	Improved communication with complainants.	On target	Ongoing updates to our communications as timescales change. SIF suggestions offered to Alloc Pool working group.
7	Removed, completed in 2019-20.										
8	Resourcing: monitor and plan recruitment to maintain appropriate level of staff resources for **C&I**	Capacity	BAU	Monthly	01/04/2020	31/03/2021	H	Dir - C&I	- Achievement of KPIs - Carry forward of cases at year end in line with target of less than 1000	On target	
9	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	Standards	BAU	As required	01/04/2020	31/03/2021	M	Dir - C&I	- 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	19/20 Service Standard Report will be completed by end of Oct 20. SIF also considering how they can use results.
10	Manage, monitor and report on the performance of the Service Improvement Forum	Standards	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - C&I	Report of actions to Casework Performance Management Meeting	Slippage	Group reconvened Sept 20. No. initiatives moving forward. Will meet again December '20.
11	INWO: manage INWO transition to maintain investigations productivity and staff wellbeing	Access to justice	Project	Project defined	01/04/2020	31/03/2021	S	Dir - C&I	Successful delivery of new INWO function, whilst maintaining resourcing levels and productivity within C&I group	On target	Function delayed until April 2021
12	Reduction of allocation pool size and waiting times	Access to justice	Project	Project defined	01/04/2020	01/09/2020	H	Dir - C&I	Delivery of project to reduce allocation pool below 300 and to reduce waiting times to less than 12 weeks	Slippage	Allocation pool project completed, further guidance put in place and close monitoring by Heads of Investigations and team managers for the remainder of the year.
13	Consider using 'snapshot' updates for multiple outstanding enquiries and recommendations for larger BUJs	Access to justice	Project	Project defined	01/10/2020	31/03/2021	M	Dir - C&I		C/F	Carried forward to 2021-22 BP
14	Review of current standards set for professional advice to ensure continued fitness for purpose	Access to justice	Project	Project defined			M	Dir - C&I		Slippage	Reviewing Adviser guidance, for social work guidance in particular, as part of the reflective reviews being carried out this year.
15	Develop subject specific templates to support complainants in making their complaint to BUJs	Access to justice	Project	Project defined			L	Dir - C&I	Feedback from LA network group.	C/F	Carried forward to 2021-22 BP. Idea discussed/welcomed at LA network group Jan 2020 following prem study presentation.
16	Develop procedure for the auto transfer message to be switched on as required to divert abusive callers to support all SPSO colleagues.	Accessibility	Project	Project defined			L	Dir - C&I	Auto transfer message implemented.	C/F	Proposal considered by LT. Not applicable at this time as only relevant to office working.

C&I PSC

No	Activity	Strategic Aims	Type	Frequency	Start	End	Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
17	Refresh of complaint form (consider sector/subject specific) to obtain correct information for A&G and DCR assessment.	Accessibility	Project	Project defined			M	Dir - C&I	New complaint form designed and implemented resulting in improved quality of information for assessment.	**Slippage**	High complaint work loads mean limited availability in investigations teams. A&G - Q3/4.
18	Review SPSO's 'electronic front door' to ensure in line with best practice in other schemes	Accessibility	Project	Project defined			L	Dir - C&I	An improvement in the quality of information being received electronically.	**On target**	A number of improvements have been proposed by A&G and made to SPSO's online complaint form during 2020 to clearly highlight delays, manage expectations and ensure correct level of supporting information is received on first submission.
19	Improve our knowledge of advocacy services and develop closer links with SIAA.	Accessibility	Project	Continuous	01/04/2020	31/03/2021	L	Dir - C&I	Enhanced understanding of advocacy agencies to support complainants.	C/F	Carried forward to 2021-22 BP. SIAA confirmed Director is on long term leave, on hold until 2021.
20	Review our commitments outlined in SPSO BSL Plan to ensure best practice	Accessibility	Project	Project defined			M	Dir - C&I	Successful delivery of service to our BSL users.	Not started	Keen for A&G LB to progress with comms as LB has a personal interest in BSL.
21	Review of new allocation process from an operational and staff wellbeing perspective	Capacity	Project	Project defined	01/09/2020	01/12/2020				**Slippage**	Review of the impact of this new policy delayed due to the suspension of the allocations process at the start of lockdown
22	Bed in new team structures and use as an opportunity for team building and knowledge sharing	Capacity	Project	Project defined	01/06/2020	31/03/2021	H	Dir - C&I		**On target**	Team Managers appointed and in place (end of Q1).
23	Review how extensive complaint submissions are managed to ensure the right information is received at the right time	Capacity	Project	Project defined	01/10/2020	31/03/2021	M	Dir - C&I		C/F	Carried forward to 2021-22 BP
24	Reviewing input of data into Workpro to minimise duplication	Capacity	Project	Project defined	01/10/2020	31/03/2021	M	Dir - C&I		C/F	Carried forward to 2021-22 BP
25	Develop 'time saving tool' in line with SWF product	Capacity	Project	Project defined			H	Dir - C&I	Increase in case closures.	C/F	Carried forward to 2021-22 BP
2020-21 Additions											
26	Allocation pool project - to reduce allocation pool.	Access to justice	Project	Project defined	01/04/2020	01/09/2020	H	Dir - C&I	Delivery of project to reduce allocation pool below 300	**Completed**	
27	Develop resolution guidance	Access to justice	Project	Project defined	01/10/2020	31/03/2021	H	Dir - C&I	Delivery of guidance	Not started	
2019-20 Carry forwards											
14	Prison health care premature study : gather qualitative and quantitative information to identify issues that require to be considered in improving access via THE CHP.		Project	Project defined	01/07/2019	31/12/2019	M	Dir - C&I	Report of findings and recommendations to LT.	**Slippage**	Proposal agreed by LT November 2019. Will commence August 2020. Has been delayed as this project has been allocated to IS Intern who has been unable to work during Q1.
18	Develop wording for SPSO to include information leaflets and on website and for BUJ's to include in stage 2 responses who sign post common OOJ subjects of complaint to SPSO to assist in managing expectations.		Project	Project defined	01/10/2019	31/03/2020	L	Dir - C&I	Production of information	**Slippage**	High complaint work loads mean limited availability in investigations teams

C&I SWF

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	description of task/ activity/ project	List which strategic	select	select			select	select		select	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued
1	Case-handling times - SWF Reviews of **Crisis** Grants	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - SWF	95% of cases closed or progressed in **1** working day or fewer (from receiving all information)	On target	100% achieved
2	Case-handling times - SWF Reviews of **Community Care** Grants	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - SWF	95% of cases closed or progressed in **21** working days or fewer (from receiving all information)	On target	98% achieved
3	Case-handling process **SWF** - monitor practice, review and update case handling guidance, and disseminate through updates and training	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - SWF	Report to LT quarterly confirming learning captured and action taken and planned	On target	
4	Reconsiderations	Access to justice	BAU	As required	01/04/2020	31/03/2021	H	Dir - SWF	95% of decisions are correct, Quarterly reporting to LT	On target	100% achieved
5	Monitor SG SWF Guidance, provide feedback and engage in review (perhaps to include a suggested restructure of the guidance to more clearly reflect the decision making process).	Access to justice	BAU	As required	01/04/2020	31/03/2021	H	Dir - SWF	Ad hoc updates and annual report to LT	On target	There has not been a formal review of the guidance since May 2019. However, we continue to track sections which require clarity. A meeting is planned with SG for 6 November to discuss the guidance and communications.
6	Produce content for SWF section of annual report and annual letters for comms	Access to justice	BAU	Annual	01/04/2020	31/03/2021	M	Dir - SWF	Published Annual Report	Completed	
7	Resourcing: monitor, plan and arrange recruitment to maintain appropriate level of staff resources for **SWF**	Capacity	BAU	Monthly	01/04/2020	31/03/2021	H	Dir - SWF	Achievement of KPIs	On target	New case reviewer started on 6 July (start date delayed due to COVID-19).
8	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	Access to justice	BAU	As required	01/04/2020	31/03/2021	M	Dir - SWF	- Quarterly report to LT as part of business plan update	On target	
9	Maintain effective engagement with stakeholders via appropriate channels, working with ISE	Accessibility	BAU	As required	01/04/2020	31/03/2021	M	Dir - SWF	- Quarterly report to LT as part of business plan update - Consider as part of C&E strategy once available.	On target	We communicated with stakeholders as far as possible. In Q3 further engagement is planned via virtual methods.
10	Produce SWF text for monthly commentary as well as additional comms materials as and when required.	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	M	Dir - SWF	- monthly content to ISE	On target	
11	Review QA results (casework and telephone) and implement learning/ amend process as required.	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	M	Dir - SWF	- report of findings and recommendations to LT	On target	QA completed in Q2. Meeting to discuss learning arising from QA arranged for November 2020.
12	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	Capacity	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - SWF	Achievement of SWF function and business plan objectives.	On target	Ensured staff had appropriate guidance and support during lockdown. New member of staff induction period is on-going.
13	Assess customer experience of SPSO SWF quality of service delivery	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - SWF	- report of findings and recommendations to LT	Slippage	Our former 'in process' methodology of phoning customers three times in the process wasn't possible when working from home due to the technology and staffing pressures. A new methodology is planned for Q3.
14	Review the communication we have with applicants at the start of the process to ensure that the message is consistent and clear	Access to justice	Project	Project defined	01/07/2020	20/09/2020	M	Dir - SWF	- report of findings and recommendations to LT	Slippage	
15	Review our communication with councils to facilitate greater understanding of our findings	Access to justice	Project	Project defined	01/07/2020	31/12/2020	M	Dir - SWF	- report of findings and recommendations to LT	C/F	Carried forward to 2021-22 BP
16	Review the decision letter to remove repetition and unnecessary content	Access to justice	Project	Project defined	01/07/2020	30/09/2020	M	Dir - SWF	- Report and recommendations to LT	Slippage	
17	Conduct a seminar(s) for decision makers in Bridgeside house covering key topics such as reinforcing the role of the Ombudsman and important casework themes.	Standards	Project	Project defined	01/09/2020	13/03/2021	M	Dir - SWF	- Report and recommendations to LT	C/F	Carried forward to 2021-22 BP
19	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	01/04/2020	30/06/2020	M	Dir - SWF	- report of findings and recommendations to LT	Slippage	Due to staff absence this piece of work was not completed in Q1. Carrying over to Q3.
20	Newsletter to councils once a year to update them on learning activities/ themes (this may require some limited support from comms in terms of presentation	Standards	Project	Project defined	01/10/2020	31/03/2021	M	Dir - SWF	- report of findings and recommendations to LT	C/F	Carried forward to 2021-22 BP
21	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	01/04/2020	31/03/2021	M	Dir - SWF	- report of findings and recommendations to LT	Slippage	This has been started but further time needs to be invested in this piece of work now that staffing levels have returned to normal.
22	Completion of an online decision making tool that councils can refer to as a learning tool. This would enable us to refer to this as guidance for decision makers on specific points/ how to follow the decision making process in general (support from ISE south)	Access to justice	Project	Project defined			M	Dir - SWF	- report of findings and recommendations to LT	Slippage	Options still under consideration including production of an online resource/video

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	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*	E.G. *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
1	Monitor and raise SPSO's public profile.	Accessibility	BAU	As required	01/04/2020	31/03/2021	H	HoISE	- Media monitoring – number of media mentions, media types - Engagement with SPSO newsletter, social media - Web traffic	On target	
2	Produce & finalise Communications Strategy	Capacity	Project	As required	01/04/2020	31/09/2020	H	HoISE	Strategy signed off by LT	Slippage	
3	Implement (and monitor) the introduction of the Communications Strategy .	Capacity	BAU	As required	01/10/2020	31/03/2021	H	HoISE	Were communication(s) received by target audience? When/how did they access information? Are target needs being met?	On target	
4	Compile and Publish monthly compendium	Accessibility	BAU	Monthly	01/04/2020	31/03/2021	S	HoISE	Compendium prepared to time and quality standard. Compendium published on time.	On target	
5	Compile, draft, coordinate and Publish Annual Report and Accounts 2019/20	Capacity	BAU	As required	01/04/2020	31/03/2021	S	HoISE	Publish Annual Report and Accounts: Draft report by June 2019 Final report prepared for September 2019, Annual Report and Accounts 2018/19 laid before Parliament October (and published) 2019	On target	
6	Communications support for other internal business areas	Capacity	BAU	As required	01/04/2020	31/03/2021	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
7	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	01/04/2020	31/03/2021	S	HoISE	-Public reporting on activity through SPSO Annual Report and Accounts, including demonstrable positive impact-Updates to LT, to demonstrable activity	On target	
8	Support/play an active role in sector wide complaints networks.	Standards	BAU	As required	01/04/2020	31/03/2021	H	HoISE	SPSO (ISE) presence at each of the sector network events held through the year	On target	
9	Standards support advice and awareness for internal business areas	Standards	BAU	As required	01/04/2020	31/03/2021	H	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
10	Conduct data & intelligence analysis to monitor performance	Capacity	BAU	Continuous	01/04/2020	31/03/2021	S	HoISE	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	Q2 - achieved. Information supplied for Casework Performance Meetings, as well as providing additional data to support Leadership Team COVID-19 response and liaison with other Ombs offices. New reports built to identify cases with COVID-19 flags. Information broken down by sector / organisation to provide early warning system.
11	Policy and legal support for other internal business areas	Capacity	BAU	As required	01/04/2020	31/03/2021	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
12	Learning and Improvement support for other internal business areas	Accessibility	BAU	As required	01/04/2020	31/03/2021	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	Q2 update - Continue to offer support to teams; intra-team communications more tricky in virtual working environment. Some good practice - Kinship Care paper to LT - produced by ISE Officer & 2 CRs - working remotely collaboratively (video calls and eRDM document sharing) AB 05/10

ISE

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	description of task/ activity/ project	List which strategic	select	select			select	select		select	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued
13	Customer Service Complaints, monitor and report on performance in service complaints handling	Accessibility	BAU	Quarterly	01/04/2020	31/03/2021	H	HoISE	Preparation of quarterly customer service complaints reports presented to Leadership Team	On target	Q2 update - CSC Workpro reports have had further redesign, in consultation with HoISE. Reports are working as expected; some data entry problems identified. AB 05/10
14	Customer Service Complaints, liaise with the Independent Customer Complaints Reviewer	Accessibility	BAU	As required	01/04/2020	31/03/2021	H	HoISE	Respond to ICCR requests in a timely manner as required of ICCR	On target	
15	Training: research and development of training materials	Accessibility	Project	As required	01/04/2020	31/03/2021	H	HoISE	Scoping paper agreed and signed off by LT	On target	
16	Training: deliver agreed SPSO training products through for example new Webinars, class based, e-learning and training specific guides as appropriate.	Capacity	BAU	As required	01/04/2020	31/03/2021	H	HoISE	Respond to customer requests in a timely manner. Provide quarterly update on training delivery	On target	
17	Develop links with SPSO COPs in delivering ISE objectives for relevant sectors	Capacity	BAU	As required	01/04/2020	31/03/2021	M	HoISE	ISE attend CoP meeting(s)/CoP rep attends sector network meeting	On target	
18	Training: rollout of agreed training products and offerings (MCHP & INWO)	Capacity	Project	Project defined	01/10/2020	31/03/2021	H	HoISE	Project plan presented & agreed. Timetable met	On target	INWO training products being developed and due for completion by early 2021
19	INWO - comms launch	Accessibility	Project	Project defined	01/04/2020	31/03/2021	H	HoISE	All appropriate stakeholders notified. Monitoring of feedback and Comms activity undertaken & reported.	On target	Project to establish BAU Comms activities, as well as launch of advice line and INWO powers
20	INWO: prepare SPSO for implementation of new jurisdiction	Access to justice	Project	Project defined	01/04/2020	31/03/2021	S	HoISE	Progress (against plan - signed off by LT) being made to developing INWO Business Process Model, and supporting guidance/products.	On target	Project plan revised in light of COVID-related delay to implementation, and to incorporate development and delivery of advice line and training products.
21	Develop methodology for monitoring standards (CHP, INWO, SWF)	Standards	Project	Project defined	01/04/2020	21/12/2020	H	HoISE	Project scope prepared and signed off, methodology meets specification in plan	Not started	To include covering new MCHP implementation: test by case sampling the approach to recording 'resolved' outcomes - share learning Monitoring CHP implementation is underway via liaison with Network groups. Now team has resource, this task will be allocated before end of Q3 - there may be slippage in completion, however.
22	Seek extension to SPSO powers	Accessibility	Project	Project defined	01/04/2020	31/12/2020	H	HoISE	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	Carried forward to 2021-22 BP Lack of resource within Scottish Government to take this work forward. To be picked up in next year's BP
23	Project: SPSO Change Control process. Two main workstreams: 1. review identify and catalogue all SPSO products produced on same format as public authority publication scheme; 2. Develop product change control policy/procedure.	Capacity	Project	Project defined	01/07/2020	31/12/2020	H	HoISE	Project scope prepared and signed off, change control process developed for LT sign off.	Not started	New resource in ISE will allow this project to be allocated during Q3, with completion during Q4
24	Project - Scope and if appropriate develop bespoke Workpro reports to support ISE functions	Capacity	Project	Project defined	01/07/2020	31/03/2021	H	HoISE	Project scope prepared and signed off, Workpro reports to support ISE functions developed for LT sign off.	On target	
25	INWO - lead on introduction of INWO practitioners network	Standards	Project	Project defined	01/09/2020	31/03/2021	H	HoISE	Invite expressions of interest, convene inaugural meeting, develop and agree terms of reference	Not started	Project to establish BAU, not started due to COVID-related delay in implementation. Delays in Go live date
27	Scope new dashboard for measuring performance against Service Standards (QA, CSCs, Surveys)	Capacity	Project	Project defined	01/10/2020	31/03/2021	H	HoISE	Project scope approved by the LT	On target	
28	Review first year of the Support & Intervention policy	Capacity	Project	Project defined	01/07/2020	31/12/2020	H	HoISE	Report and if appropriate, recommendations to the LT	On target	Q2 update - project underway. Methodology discussed and data gathering underway. Scope of review will take into account new organisational structure. AB 05/10
29	Review ISE resource requirement, plan, prepare and run ISE recruitment as required.	Capacity	Project	Project defined	01/07/2020	31/03/2021	H	HoISE	Recruitment needs agreed by LT. Recruitment exercise successfully completed	Completed	
30	UAP - revise and refresh (including Expected Behaviours)	Accessibility	Project	Project defined	1/4/20	31/3/21	M	HoISE	Revised approach to managing behaviours presented to LT and signed off for implementation	On target	
2019-20 Carry forwards											

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	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
18	Map, evaluate and review the customer communications journey to identify and recommend areas for improvements to our communications, including web site accessibility.		Project	Project defined	01/04/2019	30/09/2019	H	HoISE	- Map of customer journey identifying frequency and forms of communication. - Review paper with recommendations and action plan developed an agreed by LT.	Completed	
19	Develop internal communications strategy and plan.		Project	Project defined	01/04/2019	30/09/2019	M	HoISE	Strategy developed and agreed by LT. Plan developed and agreed by LT.	Completed	
20	Develop stakeholder engagement strategy and plan.		Project	Project defined	02/09/2019	30/09/2019	H	HoISE	Strategy developed and agreed by LT. Plan developed and agreed by LT.	Completed	
25	Undertake review/evaluation of SPSO training provisions for external bodies to support the achievement of SPSO's strategic goals to contribute actively and positively to Scotland's development and delivery of first class public services. The primary objective being to ensure the training unit evolves to meet the growing demands for training and support across the public sector		Project	Project defined	01/07/2019	30/09/2019	M	HoISE	Review completed. Findings/recommendations reported to LT.	Completed	
2018-19 Carry forwards											
CI 6	Review public reporting criteria and update handbook as required		Project	Project defined	01/04/2018	31/03/2019	H	Dir - C&I	Successful delivery of project	Slippage	Proposal has been put to CRs and due to go to LT in September 2019
CI 9	Assess effectiveness of Proportionality of investigation, including reputational impact		Project	Project defined	01/10/2019	31/03/2020	M	Dir - C&I	Report to LT quarterly confirming learning captured and action taken and planned	Slippage	As above. Agreed to carry forward to 2019-20 once guidance in place
CS20	Governance: **Project management** - review and refresh project management approach		Project	Project defined	07/01/2019	31/03/2019	M	HoISE	- Handbook to LT for sign-off and staff training planned	Slippage	Existing documents circulated and to be reviewed by LT and experienced project officers - Approach to project scoping and planning now updated. (can this be cleared?)
CS84	Quality Assurance: Telephone		BAU	Quarterly	01/04/2018	31/03/2019	H	Dir - CS	- Managers assess calls against customer service standards and findings are summarised	Slippage	Q2 and Q3 suspended as per revised QA schedule. Team managers to complete telephone QA in Q4. UPDATE - continued delay due to call recording and legal advice
6	Expected behaviours project (to update SPSO UAP and to inform the revised MCHP)		Project	Project defined	02/09/2019	30/12/2019	H	HoISE	Project sign off, SPSO policy informed, MCHP draft updated	Completed	
10	Customer Journey Communications project, mapping, reviewing, and analysing all communications that a customer receives from SPSO.		Project	Project defined	01/12/2019	31/03/2020	L	HoISE	QA and Customer Survey Results	Completed	
17	Review of UAP to include refresh of social media policy		Project	Project defined	10/09/2019	31/08/2020	M	HoISE	BUJ Survey Results	Completed	

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	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
1	BH Handbook: Health, safety, security - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/06/2020	30/09/2020	S	Dir - CS	- LAW review report to LT	On target	
2	BH Handbook: MoU - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/06/2020	30/09/2020	S	Dir - CS	- Review undertaken and signed off by BHMG	C/F	Carry forward to 2021-22 BP. MoU project (CS87) has not been completed, therefore, review not required in this business year. BHMG not meeting as frequently due to common need to address COVID-19 lockdown requirements for orgs.
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	01/04/2020	31/03/2021	S/H	Dir - CS	- Bridgeside House facilities maintained - prioritised preventative maintenance actioned	On target	
4	BH: Health, Safety and Security (management) - promoting health, safety & security with on-going management in Bridgeside House working environment ensuring statutory regulations are complied with records are maintained for legal duties including - fire safety training, fire tests, fire drills, qualified first aiders, Office risk assessment, legionella risks controlled, Security management, workplace inspections, Internal audit outcomes, actions and other reports/inspections while also testing business continuity plans (BCP)	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - CS	- 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	Exceeded	Meeting all additional requirements to ensure a safe environment when staff can return to the workplace.
5	BH: Health, Safety and Security (staff training) - new staff H&S induction; annual H&S+ S staff questionnaire, Annual Display Screen Equipment assessment (DSE).	Access to justice	BAU	Annual	01/07/2020	30/09/2020	S	Dir - CS	- All new staff completed H&S+S building Induction - Annual H&S + S training	On target	Implemented remotely. Will be producing a short video of the building layout and facilities to show new starts.
6	BH: Mail & delivery management - provide efficient service for pick-up of all mail & deliveries	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- secure & timely mail support services	Exceeded	Ensured a continuous courier and mail service was available during the COVID-19 restrictions.
7	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	01/04/2020	31/03/2021	H	Dir - CS	- contracts delivering on service expectations	On target	Amended contract provisions to take account of the limited use of the building.
8	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	01/04/2020	31/03/2021	H	Dir - CS	- shared space, AV & equipment requirements managed fairly and rooms fit-for-purpose	On target	
9	Climate change duties: implement actions from plan	Access to justice	BAU	Continuous	01/10/2020	31/03/2021	M	Dir - CS	- Action plan implemented and reported in Climate Change Duties report	On target	
10	Climate change duties: monitor primary energy usage and waste management	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	Dir - CS	- Continued reduction in our Baseline carbon footprint (2015/16 72 tCO2e)	Completed	2016/17 71 tCO2e 2017/18 59.92 tCO2e 2018/19 54.2 tCO2e (8 months Melville St and 4 months all users BH) 2019/20 - 45.4 tCO2e
11	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	01/04/2020	30/09/2020	S	Dir - CS	- Published annual report	On target	Report has been drafted. Will be published following approval by LT.
12	Decision Review: carry out decision reviews in a timely manner	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - C&I	40% in 50 working days, 95% in 90 working days	Slippage	95% target met for Q2. Given the inability to triage cases and the departure of ECO, the 40% target has been missed. New ECO took up post on 2 Nov 2020 and it is anticipated we will make rapid improvement on the 40% target.
13	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	01/08/2020	31/03/2021	S	Dir - CS	- Annual budget submission, signed off by LT	Completed	
14	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	01/08/2020	31/10/2020	S	Dir - CS	- Annual budget submission, signed off by LT	Completed	
15	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	01/12/2019	31/10/2020	S	Dir - CS	- Agreed External Audit annual plan - External Audit Report	Completed	
16	Finance: Audit, Internal - produce and deliver Internal Audit Plan	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- Internal Audit Plan, signed off by LT - Internal Audit reports to LT in line with plan, accompanied by Dir-CS recommendations	Completed	

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17	Finance: Expenditure BH - monitor and manage expenditure against budget plan and report to BHMG; pay invoices against approved orders and process payment of creditors	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- 5% variance: budget to actual spend at year end - monthly spend against budget statement to LT with recommendations - 95% of undisputed invoices paid within 10 working days - 100% of undisputed invoices paid within 30 working days - Reported in Annual Report and Accounts	On target	
18	Finance: Expenditure SPSO - monitor and manage expenditure against budget plan; pay invoices against approved orders and process payment of creditors	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- 5% variance: budget to actual spend at year end - monthly spend against budget statement to LT with recommendations - 95% of undisputed invoices paid within 10 working days - 100% of undisputed invoices paid within 30 working days - Reported in Annual Report and Accounts	On target	
19	Finance: Income BH - issue and monitor receipt of payment for all ad hoc income	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- all income received in year	On target	
20	Finance: Income SPSO - issue and monitor receipt of payment for all ad hoc income	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- all income received in year	On target	
21	Finance: Procurement - procure and manage contracts for services and professional advice ensuring best value for money	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - CS	- Published current contract list	On target	Translation contract awarded to Global Language Services in Q1 following procurement exercise in 2018-19 Q4
22	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	01/04/2020	30/09/2020	S	Dir - CS	- Published annual report	Completed	
23	Governance: Business plan - coordinate and produce annual plan	Access to justice	BAU	Annual	01/01/2021	30/04/2020	H	Dir - CS	- Published business plan	Completed	
24	Governance: Business plan - co-ordinate quarterly update and publication	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	H	Dir - CS	- Updated plan republished quarterly	On target	
25	Governance: Incident register - record and report all incidents in line with the Risk and Incident policy and data breach procedures	Access to justice	BAU	As required	01/04/2020	31/03/2021	S/H	Dir - CS	- Effective incident management - quarterly updates to Leadership Team	On target	
26	Governance: Risk - strategic and operations registers - prepare annually in line with business planning process, then regularly review and update	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- Effective risk management	On target	
27	Governance: Secretariat - provide secretariat to Advisory Audit Board and Leadership Team	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	H	Dir - CS	- Annual meeting schedule planned and issued - Papers prepared and issued at least one week prior to meeting - Declarations of interest published	On target	
28	HR: Annual staff survey and accompanying action plan	Access to justice	BAU	Annual	01/04/2020	31/03/2021	H	Dir - CS	-Analysis of 2018-19 survey and action plan produced for 2019-20 business planning.	On target	
29	HR: Equalities and Human Rights: monitor, report and review practice	Access to justice	BAU	Annual	01/04/2020	01/07/2020	S	Dir - CS	- include in annual HR report	On target	
30	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	01/04/2020	31/03/2021	H	Dir-MHWB Chair	Continue to encourage support from colleagues and deliver objectives of group.	On target	
31	HR: Implement annual IIP assessment and agree actions	Access to justice	BAU	Annual	01/04/2020	31/03/2021	H	Dir - CS	- IIP review and report completed and action plan produced for 2019-20 business planning.	On target	
32	HR: Learning and Development - annual manager training	Capacity	BAU	Annual	01/04/2020	01/06/2020	M	Dir - CS	- Plan and deliver annual manager training session	On target	
33	HR: Learning and development - monitor progress against plan, particularly resources.	Capacity	BAU	Quarterly	01/04/2020	31/03/2021	M	Dir - CS	- Well skilled workforce - Annual report to LT	On target	
34	HR: Learning and development - prepare and fully resource annual learning and professional development plan, including specialist technical training for different staff groups as requested	Capacity	BAU	Annual	01/04/2020	31/03/2021	M	Dir - CS	- PDPs completed with analysis, survey and IIP action plan incorporated - Plan shared with all staff	On target	
35	HR: Payroll - manage and maintain payroll	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	Dir - CS	- Staff paid promptly and correctly - Successfully audited accounts	On target	
36	HR: provide the organisation with an effective HR service	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- HR stats report to LT of the HR service, including workforce composition, absence management, staff performance management (summary level not personal information)	On target	
37	HR: Resourcing - monitor, plan and recruit to maintain appropriate level of staff resource	Capacity	BAU	Monthly	01/04/2020	31/03/2021	H	Dir - CS	- Delivery of CS statutory duties - Achievement of KPIs	On target	
38	HR: Well-being - IIP Health and Wellbeing review	Capacity	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- Maintain Healthy Working Lives Accreditation	On target	
39	HR: Well-being - Implement well-being strategy and plan	Capacity	BAU	Annual	01/04/2020	31/03/2021	H	Dir - CS	- TBC by well-being group - % lost days due to sickness to not exceed PS average	On target	

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40	ICT: Applications - Ad hoc - ensure appropriate software applications are available and fit for purpose	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- Appropriate applications available for staff to complete their roles and responsibilities	On target	
41	ICT: Applications - Case-handling system (Workpro) - manage the maintenance and enhancement of application and casework EDMS	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- Case-handling application up-to-date and meeting business and information management requirements	On target	
42	ICT: Applications - eRDM - manage the maintenance and enhancement of non-casework electronic document file system	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- EDMS meeting information management requirements	On target	
43	ICT: Hardware - monitoring and management of IT hardware	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- Functioning, fit for purpose hardware - exception reporting - Annual statement to LT	Exceeded	Brought forward the hardware refresh project from 2022 to enable full remote working for all staff members by July 2020.
44	ICT: Induction, training and user support	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- Users operating all systems effectively	On target	
45	ICT: Information management - develop, build and maintain statistical reports from case-handling system	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- Scheduled reports accurate and issued on time	On target	
46	ICT: IS installation (network) - monitor implementation and maintenance of security and cyber resilience standards by contractor	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- Regular meetings with business partner and annual service report.	On target	
47	ICT: Security and cyber resilience - implement Public Sector Action Plan for Cyber Resilience, monitor actions and report	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	H	Dir - CS	- Acceptable level of residual risk - Exception reporting to LT - Up-to-date Information and Data related Policies and Procedures	On target	
48	ICT: Security and cyber resilience - Annual refresher training on IT Code of Conduct and Cyber Security	Access to justice	BAU	Annual	01/04/2020	31/03/2021	S	Dir - CS	- Appropriate use of ICT systems	On target	
49	ICT: Security and cyber resilience - Cyber Essentials re-certification	Access to justice	BAU	Annual	01/10/2020	31/12/2020		Dir - CS	- Cyber Essentials re-certification achieved	On target	Cyber Essentials achieved November 2019. Re-certification due Nov annually (part of PSAP)
50	ICT: Strategy - develop and maintain ICT and digital strategy	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	M	Dir - CS	- Review undertaken and signed off by LT	On target	
51	ICT: Telephony - monitoring and management of telephony network and hardware, including mobile communications and connectivity.	Accessibility	BAU	Continuous	01/04/2020	31/03/2021	H	Dir - CS	- telephony functionality available for staff to complete their roles and responsibilities	On target	
52	Information Governance: DP Subject access requests (including all DP rights requests)	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - CS	- Reporting performance against statutory target of one month	On target	
53	Information Governance: FOI/EIR Requests and Reviews	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S	Dir - CS	- Reporting performance against statutory target of 20 days	On target	
54	Information Governance: manage information risks, coordinate mitigation procedures, and log and risk assess information assets	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- up-to-date log - report to LT in line with governance arrangements	On target	
55	Information Governance: monitor compliance, and ensure documentation, controls and procedures are in place and applied	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- Non compliance reported to LT	On target	
56	Information Governance: Publication Scheme - review and update SPSO Publication Scheme, and Re-use, to ensure compliance	Access to justice	BAU	Annual	01/01/2021	31/03/2021	S	Dir - CS	- Publication scheme compliant	On target	
57	Information Governance: Retention and disposal - ensure retention and disposal of documents in line with policy (casework and non-casework)	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	S/H	Dir - CS	- 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	Awaiting the File Management module in Workpro to be functioning effectively before casework file disposal can recommence - expected September 2020. Non-casework file management is fully up-to-date following migration to eRDM in March 2020.
58	Information Governance: Training - implement compulsory data protection and ad-hoc information governance training and inductions	Access to justice	BAU	As required	01/04/2020	31/03/2021	S	Dir - CS	- Evidence ALL staff receive update/ refresher training	On target	
59	Ombudsman groups: contribute to OA (and other) special interest groups	Access to justice	BAU	As required	01/04/2020	31/03/2021	L	Dir - CS	- As required	On target	
60	Ombudsman groups: manage membership	Access to justice	BAU	As required	01/04/2020	31/03/2021	M	Dir - CS	- Representatives identified and resource available	On target	
61	Performance Reporting: Annual stats - preparation and data cleansing	Access to justice	BAU	Annual	01/01/2021	31/03/2021		Dir - CS		Completed	
62	Performance Reporting: Annual stats - Stats production and checking	Access to justice	BAU	Annual	01/04/2020	30/06/2020		Dir - CS		Completed	
63	Performance reporting: Complaints - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	Dir - CS	- Dashboard - monthly analysis report to LT	On target	Q2 note - decision approved by Director to move to quarterly performance Dashboard in line with quarterly CPM. AB 05/10
64	Performance reporting: Corporate - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	Dir - CS	- quarterly analysis report to LT	On target	
65	Performance reporting: FOI/EIR - collation of quarterly statistics and year-to-date performance	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	H	Dir - CS	- Submitted to SIC on time - quarterly analysis report to LT	On target	
66	Performance reporting: Professional advice - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	H	Dir - CS	- quarterly analysis report to LT	On target	
67	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	Access to justice	BAU	As required	01/04/2020	31/03/2021	M	Dir - CS	- Annual report to LT with: learning captured, recommendations and details of action taken and planned	On target	
68	Performance reporting: SWF - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	S	Dir - CS	- Dashboard - monthly analysis report to LT	On target	Q2 note - decision approved by Director to move to quarterly performance Dashboard in line with quarterly CPM. AB 05/10
69	Professional Advice Service: Annual Report on advice service	Access to justice	BAU	Annual	01/04/2020	31/03/2021	M	Dir - CS	Report on service	On target	

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70	Professional Advice Service: deliver a well-resourced professional advice service	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- Continued reduction in the % of advice responses received in excess of 20 working days. (2016-17 Baseline 64.1%)	On target	Q1 average advices received within 20 working days = 61% (Q1 was 58%)
71	Quality assurance: annual quality assurance plan proposal	Access to justice	BAU	Annual	01/04/2020	01/07/2020	H	Dir - CS		On target	Annual QA schedule completed and signed off. QA completed and underway and the remaining QA on schedule.
72	Quality assurance: Casework	Access to justice	BAU	Annual	01/04/2020	31/03/2021	H	Dir - CS	- 95% of decisions correct - annual N77 report to LT of learning and action taken and recommendations for wider improvement initiatives	On target	Casework scheduled to be completed by year end.
73	Quality assurance: Professional advice	Access to justice	BAU	6 monthly	01/04/2020	31/03/2021	H	Dir - CS	- Six monthly report to LT of learning and action taken, and recommendations for wider improvement initiatives	On target	Advice QA started and will be completed end Nov 2020
74	Quality assurance: SWF decisions	Access to justice	BAU	6 monthly	01/04/2020	31/03/2021	H	Dir - CS	- 95% of decisions correct - Annual report to LT of learning and action taken and recommendations for wider improvement initiatives	On target	SWF QA completed Q1 2020
75	Quality assurance: Telephone	Access to justice	BAU	Annual	01/04/2020	31/03/2021	H	Dir - CS	- Annual report to LT - assessment of quality of telephone calls against customer service standards. Actions taken and recommendations for wider improvement initiatives made	On target	
76	SPSO Handbook: all volumes - ensure reviewed by owners and update in line with policy review cycle and ensure effective dissemination	Access to justice	BAU	Continuous	01/04/2020	31/03/2021	S/H	Dir - CS	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff	Slippage	
77	SPSO Handbook: Complaints and investigations guidance and processes - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Quarterly	01/04/2020	31/03/2021	H	Dir - CS	Report to LT quarterly confirming learning captured and action taken and planned	On target	
78	SPSO Handbook: Finance- review, update and ensure implementation of good governance arrangements.	Access to justice	BAU	Annual	01/10/2020	31/03/2021	S	Dir - CS	- Internal audit report to LT	Completed	
79	SPSO Handbook: Governance, risk and incident management policy - review annually in line with business planning process	Access to justice	BAU	Annual	01/10/2020	31/03/2021	S/H	Dir - CS	- Internal audit report to LT	Slippage	
80	SPSO 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	01/07/2020	31/10/2020	H	Dir - CS	- Review undertaken and signed off by LT	On target	
81	SPSO Handbook: ICT - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/07/2020	31/10/2020	H	Dir - CS	- Review undertaken and signed off by LT	On target	
82	SPSO Handbook: Information governance - review and update information governance policies, processes and guidance covering data protection (including rights, breaches, security), FOI/EIR, records management, and supporting measures	Access to justice	BAU	Annual	01/04/2020	30/06/2020	S	Dir - CS	- Review undertaken and signed off by LT	Slippage	Handbook is ready for publication in Q3
83	Survey management: administration and advice on all electronic surveys issued, including Customer, BUJ, SWF, Staff, etc.	Access to justice	BAU	As required	01/04/2020	31/03/2021	M	Dir - CS	- Results provided on time	On target	
84	Training Unit: administrative support to the training unit. Booking forms, invoices, handouts and updating of materials	Access to justice	BAU	As required	01/04/2020	31/03/2021	H	Dir - CS		On target	Providing support as required.
85	UAP: monitor application and effectiveness	Access to justice	BAU	Monthly	01/04/2020	31/03/2021	H	Dir - CS	- 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	
86	BH: Bridgeside House Memorandum of Understanding	Access to justice	Project	Project defined	01/04/2020	31/03/2021	H	Dir - CS	-Ensure MOU is complete and published for all 3 organisations	Slippage	
87	BH: Project to improve facilities - enhance shared areas to promote enhanced conference communication with remote video to reduce environmental impact and enhance changing facilities to improve clean environment and wellbeing	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	- Delivery video conference to Boardroom - Deliver enhanced changing facilities	C/F	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.
88	Governance: Risk - BCP - Recommend changes to our working practices, as a result of our learnings from responding to COVID-19 lockdown	Access to justice	Project	Project defined	01/06/2020	31/03/2021	M	Dir - CS	Working practices implemented	On target	
89	HR: Develop and implement people strategy	Capacity	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	- People strategy to LT	C/F	Carried forward to 2021-22 BP
90	HR: Development of an Interactive Skills Refresher Programme for staff training purposes - scoping and testing	Capacity	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	Implemented training programme	C/F	Carried forward to 2021-22 BP
91	HR: Diversity - Review SPSO approach to diversity, inclusion and equality across all areas of work: what we measure, how and how frequently, and develop new Diversity and Inclusion policy and plan	Accessibility	Project	Project defined	01/04/2020	31/03/2021	S	Dir - CS	Approved and effective Diversity and Inclusion Policy and Plan	C/F	Carried forward to 2021-22 BP
92	HR: HR policy review	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	- Up-to-date HR policies	Not started	
93	HR: INWO resourcing, consultation and learning and development including refreshing existing job descriptions as required	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	- Fully resourced INWO team and reorganisation	On target	

No.	Activity	Strategic Aims	Type	Frequency	Start	End	Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/Update
	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
94	HR: Learning and development - Explore best practice mechanisms for further raising awareness of and access to learning and development opportunities, including external opportunities. Links to 25 & 26	Capacity	Project	Project defined	01/04/2020	31/03/2021	M	Dir-CS	Report to LT and include any recommendation within the IIP/staff survey action plan recommendations	C/F	Carried forward to 2021-22 BP
95	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	Dir - CS	- Updated and approved values-based competency framework - Update recruitment, performance management, learning and development processes and documents in line with outcomes	Slippage	Project on hold while working remotely
96	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	01/09/2020	31/03/2021	M	Dir - CS	Project findings and recommendations	C/F	Carried forward to 2021-22 BP
97	HR: Resourcing - explore option of creating additional complaints investigation capacity through establishment of a pool of contractor CRs	Capacity	Project	Project defined	01/09/2020	31/03/2021	M	Dir - CS	- Delivery of project outcome	Slippage	
98	HR: Scope HR and payroll information systems	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	- Report to LT with recommendations	On target	Contributing to the SPCB shared service project on payroll providers.
99	ICT: Applications - Case-handling system (Workpro) - changes to accommodate new INWO jurisdiction	Access to justice	Project	Project defined	01/10/2019	30/09/2020		Dir - CS	- Case-handling application up-to-date and meeting INWO business and information management requirements	Slippage	started in Q3 2019/20 To be completed in Q4 2020/21, in time for INWO go-live. Slippage by agreement with INWO manager - not required to be live by the original project target date as INWO live date delayed.
100	ICT: Applications - Case-handling system (Workpro) - changes to fix and update Workpro File Management processes (new timescales and anonymisation rules)	Access to justice	Project	Project defined	01/07/2019	30/06/2020		Dir - CS	File management running successfully with new timescales and anonymisation rules	Completed	File Management live in Workpro as of November 2020 with minimal snagging
101	ICT: Applications - Case-handling system (Workpro) - changes to identify Prisons as a standalone sector, separate from Scottish Government from 1 April 2020	Access to justice	Project	Project defined	01/01/2020	30/06/2020		Dir - CS	Reports with Sector breakdowns show Prisons as a distinct sector, separate from SG	Completed	
102	ICT: Applications - Case-handling system (Workpro) - using the CAS Anonymous Product Usage Tracking report and data, and their User Experience specialist team, review the application's design and assess any training requirements for users.	Access to justice	Project	Project defined	01/06/2020	31/03/2021	M	Dir - CS	Project findings and recommendations	On target	
103	ICT: Applications - Connect - move to eRDM Connect to improve compliance with GDPR and sharing electronic information	Access to justice	Project	Project defined	01/03/2020	31/07/2020	H	Dir - CS	Project closure report and sign-off and updated business plan	Completed	Connect rolled out end of August 2020.
104	ICT: Hardware - refresh plan	Access to justice	Project	Project defined	01/04/2020	31/03/2021		Dir - CS		Exceeded	All staff now have access to a SCOTS laptop.
105	ICT: Internal Support - review and evaluate effectiveness of ICT champion structure	Access to justice	Project	Project defined	01/09/2020	31/03/2021	M	Dir - CS	Project findings and recommendations	C/F	Carried forward to 2021-22 BP Dept. undergoing resource changes and the outcomes of the WP User Experience project.
106	ICT: INWO Team Induction and training	Access to justice	Project	Project defined	01/04/2020	30/09/2020		Dir - CS	- INWO users on-boarded and operating all systems effectively	Completed	
107	ICT: User Support - develop 'ICT Help' area of SPSO Intranet.	Access to justice	Project	Project defined	01/04/2020	31/03/2021	M	Dir - CS	ICT help area available to support and inform staff	Completed	
108	Information Governance: Progress Update Review - self assessment of agreed Records Management Plan	Access to justice	Project	Project defined	01/04/2020	31/05/2020	M	Dir - CS	- Self assessment submitted to the Keeper within 3 month	Completed	
109	INWO Preparation: implement floor plan changes and purchase required furniture	Access to justice	Project	Project defined	01/04/2020	30/06/2020	H	Dir - CS	ICT in place for new starts	Discontinued	ICT in place, but working from home. In office floor plan changes overtaken by Future Working Practices workstream.
110	INWO Preparation: plan and purchase required ICT	Access to justice	Project	Project defined	01/04/2020	30/06/2020	H	Dir - CS	Floor plan in place and INWO team established in the building	Completed	
111	INWO Preparation: purchase required stationery and equipment	Access to justice	Project	Project defined	01/04/2020	30/06/2020	H	Dir - CS		Completed	Hardware and furniture purchased and available for new INWO team. Stationery and any additional equipment will be ordered upon return to the office.
112	Quality assurance: Increase knowledge of proportionality guidance, and confidence in proportionality decisions through training	Access to justice	Project	Project defined	01/04/2019	31/03/2021	S	Dir - C&I	Training session delivered on time and reduction in review requests relating to proportionality decisions	On target	proportionality QA completed in Q1 and will be continued into the future. On job training and ad-hoc guidance given regularly to staff by ECO.
113	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	01/10/2019	31/03/2021	M	Dir - CS	Report of findings and recommendations to LT.	C/F	Carried forward to 2021-22 BP Telephone Recording Policy still under review.
20-21 Additions											
114	Inv 1/2 - pilot/introduce paperless professional advice system - to improve security of confidential health files leaving Bridgeside House, reduce carbon foot print in transporting files, reduce SPSO administration time and reduce large courier costs incurred.	Capacity	Project	Project defined	01/04/2020	30/09/2020	H	Dir - CS		Completed	Connect application in place and training uptake maximised. Primary method of sharing casework information, wherever possible.
115	Launch of lockdown survey workstreams	Capacity	Project	Project defined	01/11/2020	31/03/2021	H	Dir - CS		On target	LT invitations issued.
2019-20 Carry forwards											
18	INWO resourcing, consultation and learning and development	Access to justice	Project	Project defined	01/11/2019	31/03/2020	H	Dir - CS	INWO team established and trained by INWO launch date	Completed	Team in place.
66	SPSO Handbooks (finance) - review, update and ensure implementation of good governance arrangements.	Capacity	BAU	Annual	01/01/2020	31/03/2020	S	Dir - CS	- Internal audit report to LT	Completed	Published Q2 2020-21

Corp Services

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	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
67	Survey management: administration and advice on all electronic surveys issued, including Customer, BUJ, SWF, Staff, etc.	Standards	BAU	As required	01/04/2019	31/03/2020	M	Dir - CS	- Results provided on time	**Completed**	On target for 2020-21
74	HR: Achieve Carer First Accreditation	Capacity	Project	Project defined	01/07/2019	31/03/2020	M	Dir - CS	Accredited	**Slippage**	Research and scoping in progress
75	HR: Learning and development - Explore best practice mechanisms for further raising awareness of and access to learning and development opportunities, including external opportunities.	Access to justice	Project	Project defined	0/10/2019	31/03/2020	M	Dir-CS	Report to LT and include any recommendation within the IIP/staff survey action plan recommendations	**Slippage**	Is being considered as part of the IIP/Staff survey action plan
76	HR: Learning and Development - Review of competency framework and associated HR activities	Capacity	Project	Project defined	01/04/2019	30/09/2019	M	Dir - CS	- Updated and approved values-based competency framework - Update recruitment, performance management, learning and development processes and documents in line with outcomes	**Slippage**	Phase 1 (values refresh) of project complete. Phase 2 (review of the competency and behavioural framework) planning underway.
81	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.	Access to justice	Project	Project defined	01/01/2020	31/03/2020	M	Dir - CS	- Publication scheme compliant, demonstrating best practice	**Slippage**	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.

Unallocated

No	Activity	Strategic Aims	Type	Frequency	Start	End	Priority	LT owner	Measure	Status
	description of task/ activity/ project	*List which strategic*	*select*	*select*			*select*	*select*		*select*
2	Healthcare Communications project	Standards	Project	Project defined			M	HoISE	ID performance measure if goes ahead.	Not started
3	Develop effective communication approach of lessons learned from SPSO investigations for internal and external stakeholders	Access to justice	Project	Project defined			M	HoISE	ID performance measure if goes ahead.	Not started
4	Develop searchable open data resource of SPSO recommendations	Access to justice	Project	Project defined			M	HoISE	From unallocated	Not started
5	Recommendations: develop approach to measuring impact of recommendations, involving internal and external stakeholders	Access to justice	Project	Project defined			H	HoISE	From unallocated	Not started
6	Assess accessibility to the CHP & complaints information within the (NHS complaints handling project)	Standards	Project	Project defined			M	HoISE	From unallocated	Not started