

SPSO Business plan 2018-2020



**Putting people
at the heart of
public services**

SPSO Business Plan 2018-19

Introduction

This document sets out the Scottish Public Services Ombudsman's annual business plan for the period from 1 April 2018 to 31 March 2019. 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 2016-2020.

Vision

The Scottish Public Services Ombudsman contributes actively and positively to Scotland's development and delivery of first class public services: putting people and learning at the heart of what we do by being innovative and world-leading in our approach to complaints, reviews and standards.

SPSO Values

- ✓ We will work **independently** and **fairly**
- ✓ We are **people-focused** and **value integrity** and **respect**
- ✓ We **value learning** and **improvement**

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.

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.
3. Ensure that we play our part in ensuring that service providers understand their duties to promote equality within their complaints handling and review procedures.
4. Monitor the diversity of our workforce and supply chain, and take positive steps where under-representation exists.
- 5.

Strategic Aims

1. Be recognised and consulted as a world-leading Ombudsman service of independent accessible experts with a reputation for: being run transparently and efficiently, governed effectively, and leading by example in the delivery of the full range of statutory functions.
2. Develop organisational capacity to: deliver existing statutory functions efficiently, proportionately and effectively, and develop and adopt new, or enhanced, services and functions.
3. Drive improvement in Scottish public services by setting and applying high complaints handling and review standards and promoting a culture and practice where learning and improvement from complaints or reviews is embedded in practice, governance and organisational systems.
4. Enable and support the Scottish public sector to achieve and maintain high standards of policy and practice through a combination of sharing learning from SPSO complaints and reviews, monitoring, advice and guidance, training and appropriate collaboration.
5. Through active engagement, help people know about their rights to complain or request a review, and help them understand what standards and level of services they can expect and how to access them easily and responsibly.

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 budget for 2018-19 is £4,399,780, broken down as follows:

- Total staff costs £3,408,280
- Total running costs costs £1,071,500
- Less Total estimated income £80,001

Commonly used terms

BAU: Business as Usual

Priority: Relative priority

- **Statutory**, must do
- **Statutory/High**, part statutory part business high priority
- **High**, high strategic or business high priority (have a choice but achievement of strategic aims and business will suffer if not done)
- **Medium**, medium strategic or business high priority (have a choice about whether to do)
- **Low**, 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

SPSO Business Plan 2018-19: C&I

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>								<i>select</i>	<i>select</i>	<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
1	Case-handling - Advice (assess suitability and maturity; provide advice and signposting; manage freephone telephone advice service; and production of complaint files)	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	S	Dir - C&I	95% of cases closed or progressed in 10 working days or fewer	On target	
2	Case-handling - Early resolution, Investigations Level 1 & 2	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	S	Dir - C&I	95% of cases closed or progressed in 70 working days or fewer	Missed	92.4% end July. Only 5 cases in hand (if 2000 cases closed at ER), therefore, unlikely to make target. Impacted by ongoing initiative to maintain position of no holding bay. Process changes implemented from 2018 to support performance and a review of KPIs is scheduled for implementation in 2019-20
3	Case-handling - Investigations Levels 1-4	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	S	Dir - C&I	95% of cases closed within 260 working days	On target	currently 96.8% end July. 18 cases in hand.
4	Case-handling process C&I - monitor practice, review and update guidance, and disseminate through updates and training	BAU	Quarterly	01/04/2018	31/03/2019		X	X	X	X	H	Dir - C&I	Report to LT quarterly confirming learning captured and action taken and planned	Slippage	Discontinued because duplicates CS 26
5	Resourcing: monitor, plan and arrange recruitment to maintain appropriate level of staff resources for C&I	BAU	Monthly	01/04/2018	31/03/2019						H	Dir - C&I	- Achievement of KPIs - Carry forward of cases at year end in line with target of XXX	On target	
6	Review public reporting criteria and update handbook as required	Project	Project defined	01/04/2019	31/03/2019		X	X	X		H	Dir - C&I	Successful delivery of project	On target	
7	Write guidance on Proportionality of Investigation	Project	Project defined	01/04/2019	30/09/2018	X	X		X	X	M	Dir - C&I	Successful delivery of project and sign-off by LT	slippage	Slippage due to need to conduct QA of existing proportionality QA prior to commencement
8	Implement guidance on Proportionality of Investigation	Project	Project defined	01/01/2019	31/03/2019	X	X	X	X		M	Dir - C&I	Successful delivery of project	Slippage	As above
9	Assess effectiveness of Proportionality of investigation, including reputational impact	Project	Project defined	01/04/2018	31/03/2019	X	X			X	M	Dir - C&I	Report to LT quarterly confirming learning captured and action taken and planned	on target	
10	INWO: implement new complaint handling procedures (X-ref to ISE projects)	Project	Project defined	07/01/2019	01/09/2019	X	X	X	X	X	S	Dir - C&I	Successful delivery of function, on-going monitoring to be confirmed during project	Slippage	Slippage due to Scottish Government slippage in implementation timetable
11	Information sharing: OMG (Water sharing group), attendance	BAU	As required				X	X	X		M	Dir - C&I	- input information/ papers to LT - attendance at meetings - feedback to LT	On target	
12	Ombudsman groups: contribute to OA (and other) special interest groups	BAU	As required								M	Dir - C&I	- feedback for SPSO specific items - OA published minutes - ad hoc reports and recommendations as required	On target	First Contact Group meeting chaired in Belfast 22 June, with representation from Scotland, England, NI and Republic of Ireland and Wales. Presentation given to OA conference on 24 May 2018 on Proportionality in Decision making. First Contact meeting speaker agreed and draft agenda issued for Dec 2018 meeting.
13	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	BAU	As required	01/04/2018	31/03/2019	X	X	X	X	X	M	Dir - C&I	- Report to Dir(Corp Serv) for inclusion in Annual report to LT: learning captured, recommendations and details of action taken and planned	On target	Discontinued because duplicates CS 80
14	Premature study of complainants who do not return to the SPSO after being offered advice on how to progress a premature complaint.	Project	Project defined	19/03/2018			X		X	X	L	Dir - C&I	Conduct survey until total of 100 complainants have responded to telephone survey questions.	On target	50% complete.
15	Complete prison paperless pilot and consider recommendations on completion from project group	Project	Project defined	01/04/2018	31/03/2019	X	X				M	Dir - C&I	Project Group to give detail.	Completed	Draft paper with recs to LT on 24 August. LT approval to continue to manage prisons cases paperlessly

SPSO Business Plan 2018-19: C&I

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>							<i>select</i>	<i>select</i>		<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
16	Introduce survey cards to capture feedback on advice service offered to visitors to SPSO's office.	BAU	As required	01/04/2018		X	X			X	M	Dir - C&I	Capture and report findings as an addition to quarterly customer satisfaction survey report.	Completed	Assessment and Guidance Team have designed card and began to issue.
17	Develop communications materials and consider customer 'touch points' to maximise the opportunity to inform complainants of our ability to adapt our service to meet their accessibility needs.	Project	Project defined	01/04/2018	31/03/2019	X	X	X		X	M	Dir - C&I	Accessibility service standard measured in customer satisfaction survey.	Not started	CN to develop with newly established Community of Practice.
18	Develop our approach in supporting complainants who are experiencing significant delays with BUJs CHPs and gather intelligence on BUJs poor complaint handling for CSA colleagues	BAU	As required			X	X	X	X	X	M	Dir - C&I		On target	Stationery designed by Assessment and Guidance Team approved. Will be printed with new office details and new approach will begin Jan 2019.
19	Change team names to provide greater clarity to service users and update all relevant references e.g.. templates etc.	Project	Project defined	01/04/2018		x	x				M	Dir - C&I		Completed	Assessment and Guidance Team name change proposed and approved.
20	Scope out introduction of paperless working for DCR cases where the complaint has been submitted electronically.	Project	Project defined								L	Dir - C&I		Discontinued	The project has identified some issues, including the difficulty reading online complaint forms on screen, that need to be considered.

SPSO Business Plan 2018-19: SWF

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>							<i>select</i>	<i>select</i>			<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
3	Case-handling process SWF - monitor practice, review and update case handling guidance, and disseminate through updates and training	BAU	Annual	01/04/2018	31/03/2019		X	X	X	X	H	Dir - SWF	Report to LT quarterly confirming learning captured and action taken and planned	On target	Case Handling Guidance updated on 8 August 2018
5	Monitor SG SWF Guidance, provide feedback and engage in review	BAU	As required	01/04/2018	31/03/2019				X		H	Dir - SWF	Ad hoc updates and annual report to LT	On target	
7	Resourcing: monitor, plan and arrange recruitment to maintain appropriate level of staff resources for SWF	BAU	Monthly	01/04/2018	31/03/2019	X					H	Dir - SWF	Achievement of KPIs	On target	
8	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	BAU	As required	01/04/2018	31/03/2019	X	X	X	X	X	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	BAU	As required	01/04/2018	31/03/2019	X		X	X	X	M	Dir - SWF	- Quarterly report to LT as part of business plan update - Consider as part of C&E strategy once available.	On target	Two local authority sounding boards held; Visited one large LA to meet with decision makers and discuss common findings; hosted visit from one large LA; attended an SWF practitioner's forum
10	Produce SWF text for monthly commentary as well as additional comms materials as and when required.	BAU	Monthly	01/04/2018	31/03/2019	X		X	X	X	M	Dir - SWF	- monthly content to ISE	On target	
11	Review QA results (casework and telephone) and implement learning/ amend process as required.	BAU	Quarterly	01/04/2018	31/03/2019	X	X	X	X		M	Dir - SWF	- report of findings and recommendations to LT	On target	
12	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X		M	Dir - SWF	Achievement of SWF function and business plan objectives.	On target	
13	Assess customer experience of SPSO SWF quality of service delivery	BAU	Continuous	01/04/2018	31/03/2019	X	X			X	M	Dir - SWF	- report of findings and recommendations to LT	On target	
15	Review what more information SPSO can publish on SWF decision making, for example by sharing our 'Ensuring consistency in SWF Decision Making Document'; or by producing 'thematic summaries' once a quarter which detail our casework/ thinking around topics like 'exceptional pressure/ calculating awards/exceptional fourth awards'	Project	Project defined		31/03/2019	X	X	X	X		M	Dir - SWF	- Report and recommendations to LT	On target	
17	Improve the standard of internal recording of case summaries	Project	Project defined	01/09/2018	31/12/2018	X	X	X	X		M	Dir - SWF	QA of cases and customer feedback positive	On target	
19	Consider measures for encouraging councils to improve their practice. For example, via self reflective learning templates; or by conducting a pilot to provide councils with more detailed and regular information regarding their findings, where recurring issues are identified (perhaps via monthly or quarterly reports).	Project	Project defined	01/06/2018	31/03/2019	X	X	X	X		M	Dir - SWF	- Benchmark position at start and finish of project and report and make recommendations to LT	On target	

SPSO Business Plan 2018-19: Corp Services

No	Activity	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update	
				1	2	3	4	5						
	<i>description of task/ activity/ project</i>								<i>select</i>	<i>select</i>	<i>select</i>	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued		
1	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	09/01/2018	30/09/2018	X	X					S	Dir - CS	- Agreed External Audit annual plan - External Audit Report	Completed	
2	Audit, Internal: produce and deliver Internal Audit Plan	01/04/2018	31/03/2019	X	X					M	Dir - CS	- Internal Audit Plan, signed off by LT - Internal Audit reports to LT in line with plan, accompanied by Dir-CS recommendations	On target	
3	Climate change duties: implement actions from plan	01/04/2018	31/03/2019	X	X					M	Dir - CS	- Action plan implemented and reported in Climate Change Duties report	On target	
4	Climate change duties: monitor primary energy usage and waste management	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Continued reduction in our Baseline carbon footprint (2014/15 72 tCO2e)	On target	
5	Climate Change duties: review procurement processes and procedures to align with Climate Change action plans	01/04/2018	31/03/2019	X	X					M	Dir - CS	- Reduction in non-recyclable waste	Completed	
6	Climate change duties: produce and publish Climate Change Annual Report (including discharging duties under section 32 (1)(a) of the PSR Scotland Act 2010)	01/05/2018	30/09/2018	X	X					S	Dir - CS	- Published annual report	Completed	
7	Decision Review: carry out decision reviews	01/04/2018	31/03/2019	X	X					H	Dir - C&I	95% of decisions are correct, Quarterly reporting to LT	On target	
8	Decision Reviews: Review of process - complete review of Decision Review process including timescales and implement agreed changes.	01/02/2018	31/03/2019	X	X					M	SPSO	- Completion of project and sign-off by LT - Successful implementation of agreed changes.	Slippage	New timescales in place and literature amended. New target will apply from 1/10/2018. Review process report to LT for meeting of 6 November 2018
9	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	07/01/2019	31/03/2019	X	X					S	Dir - CS		On target	
10	Equalities and Human Rights: monitor, report and review practice	01/04/2018	31/03/2019	X	X					S	Dir - CS		Not started	First stage of project is the development of the current SPSO EIA approach
11	Finance: Annual Budget - plan and prepare submission for SPCB, including resource planning, staff and non-staff; profile approved budget	01/06/2018	06/09/2018	X	X					S	Dir - CS	- Annual budget submission, signed off by LT	Completed	
12	Finance: Expenditure - monitor and manage expenditure against budget plan; pay invoices against approved orders and process payment of creditors	01/04/2018	31/03/2019	X	X					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	
13	Finance: Income - issue and monitor receipt of payment for all ad hoc income	01/04/2018	31/03/2019	X	X					M	Dir - CS	- all income received in year	On target	
14	Finance: Procurement - procure and manage contracts for services and professional advice ensuring best value for money	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Published current contract list	Completed	
15	Finance: Statements of Expenditure - produce and publish under Section 31 of the PSR (Scotland) Act 2010, and details of contractors	01/05/2018	30/09/2018	X	X					S	Dir - CS	- Published annual report	Completed	
16	Governance: Business plan - coordinate and produce annual business plan	01/01/2019	31/03/2019	X	X					H	Dir - CS	- Published business plan	Completed	
17	Governance: Business plan - co-ordinate monthly update of projects	01/04/2018	31/03/2019	X	X					S/H	Dir - CS	- Updated plan completed by and circulated to LT	On target	
18	Governance: Business plan - co-ordinate quarterly update and publication	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Updated plan republished quarterly	On target	
19	Governance: Incident Register - record and report all incidents in line with the Risk and Incident policy, update Leadership Team	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Effective incident management - quarterly updates to Leadership Team	On target	
20	Governance: Project management - review and refresh project management approach	07/01/2019	31/03/2019	X	X					M	Dir - CS	- Handbook to LT for sign-off and staff training planned	On target	First stage is to bring existing project management documents to LT for consideration

SPSO Business Plan 2018-19: Corp Services

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				1	2	3	4	5						select
	<i>description of task/ activity/ project</i>										<i>select</i>	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued		
21	Governance: Risk - test and review Business Continuity Plan	01/10/2018	31/03/2019	X	X					H	Dir - CS	- Test demonstrates no significant risks - Up-to-date BCP - Staff updates/ awareness	Not started	
22	Governance: Risk Register - Strategic and Operations - prepare annually in line with business planning process, then regularly review and update	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Effective risk management	On target	
23	Governance: Secretariat - provide secretariat to Audit Advisory Committee and Leadership Team	01/04/2018	31/03/2019	X	X					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	
24	Governance: Self assessment to inform business planning	07/01/2019	31/03/2019	X	X					S/H	LT	- Completed self-assessment and identified actions acted on or incorporated into following year business plan, depending on risk and urgency	On target	
25	Governance: SPSO Handbook - review and update Records Management Plan and associated policies.			X	X					S	Dir - CS	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff	Completed	
26	Governance: SPSO Handbook - review and update complaints and investigations guidance and processes, disseminate through updates and training, and monitor practice.	01/04/2018	31/03/2019		X					H	Dir - CS	Report to LT quarterly confirming learning captured and action taken and planned	Slippage	18.06.2018 - Latest quarterly update with Dir for sign off. Urgent amendments have been included. Next release will occur in Q3
27	Governance: SPSO Handbook - review and update in line with policy review cycle and ensure effective dissemination	01/04/2018	31/03/2019	X	X					S/H	Dir - CS	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff	On target	
28	Governance: SPSO Handbook - review Risk and Incident Management Policy annually in line with business planning process	01/01/2019	31/03/2019	X	X					S/H	Dir - CS	- Approved, reviewed risk management policy	Completed	
29	Governance: SPSO Handbooks - review, update and ensure implementation of good governance arrangements for all financial processes.	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Internal audit report to LT	Completed	
30	Health, Safety and Security: Management - on-going management of the working environment to ensure compliance with legal duties including fire safety training, qualified first aiders, annual legionella assessment and annual risk assessments. Internal audit outcomes and other reports/inspections.	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Annual H&S Assurance Statement to SPSO - Training and updates disseminated to all staff - Low residual risk in operational risk register	On target	Risk Assessments up to date, renewal delayed until office is moved into new accommodation. Low risk to organisation as no major changes to building and office. Law at work month to month contract being put in place until 31 December 2018. New contract will be confirmed for BH in January 2019.
31	Health, Safety and Security: Staff Training - new staff H&S induction; annual staff questionnaire, including display screen equipment assessment.	01/04/2018	31/03/2019	X	X					S	Dir - CS	- All staff completed annual training	Completed	
32	HR: Annual staff survey and accompanying action plan	01/01/2019	31/03/2019	X	X					H	Dir - CS	- action plan produced for 2019-20 business planning.	Not started	
33	HR: Implement annual IIP assessment and agree actions	01/01/2019	31/03/2019	X	X					H	Dir - CS	- action plan produced for 2019-20 business planning.	On target	
34	HR: Learning and development - monitor progress against plan, particularly resources	01/04/2018	31/03/2019	X	X					M	Dir - CS	- Well skilled workforce - Annual report to LT	On target	
35	HR: Learning and development - prepare and fully resource annual learning and professional development plan	01/01/2019	31/03/2019	X	X					M	Dir - CS	- Plan shared with all staff	Slippage	PDPs completed, IIP initial findings received. Slippage on plan due to staff absence. Few outstanding PDP'S to be uploaded into Sharepoint. Information is being collated.
36	HR: Payroll - manage and maintain payroll	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Staff paid promptly and correctly - Successfully audited accounts	On target	
37	HR: provide the organisation with an effective HR service	01/04/2018	31/03/2019	X	X					S/H	Dir - CS	- Annual report to LT of the HR service, including absence management, staff performance management (summary level not personal information)	On target	
38	HR: Resourcing - monitor, plan and recruit to maintain appropriate level of staff resource	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Delivery of CS statutory duties - Achievement of KPIs	On target	
39	HR: Review possibility of moving HR files to paperless storage.	01/04/2018	31/03/2019	X	X					M	Dir - CS	- reduction in HR paper files	On target	Most declaration forms for current year will be electronic
40	HR: Well-being - Implement well-being strategy and plan	01/04/2018	31/03/2019	X	X					H	Dir - CS	- TBC by well-being project - % lost days due to sickness to not exceed PS average	Completed	First meeting held 13 March 2018.

SPSO Business Plan 2018-19: Corp Services

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	<i>description of task/ activity/ project</i>								<i>select</i>	<i>select</i>	<i>select</i>	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued	
41	HR: Well-being - develop well-being strategy and plan: including IIP well-being survey, review of absence monitoring and reporting, staff feedback and future actions and on-going measures	01/04/2018	31/03/2019	X	X				H	Dir - CS	- Strategy and plan to LT for sign-off	On target	Final draft Framework by end of 2018.
42	HR: Well-being - establish Well-Being group and share purpose and membership.			X	X				S/H	Dir - CS	- TBC when group is set up - future project/ policy proposals	On target	
43	ICT: Applications - Case-handling system (WorkPro) - manage the maintenance and enhancement of application and casework EDRMS	01/04/2018	31/03/2019	X	X				H	Dir - CS	- Case-handling application up-to-date and meeting business and information management requirements	On target	
44	ICT: Applications - EDMS (SharePoint) - manage the maintenance and enhancement of non-casework EDMS	01/04/2018	31/03/2019	X	X				H	Dir - CS	- EDMS meeting information management requirements	On target	
45	ICT: Application - EDRMS - move to Objective/Connect to improve compliance with GDPR and sharing electronic information	01/07/2018	31/03/2019	X	X				H	Dir - CS	Project closure report and sign-off and updated business plan	On target	
46	ICT: Applications - ensure appropriate software applications are available and fit for purpose	01/04/2018	31/03/2019	X	X				H	Dir - CS	- Appropriate applications available for staff to complete their roles and responsibilities	Completed	
47	ICT: Hardware - monitoring and management of IT hardware	01/04/2018	31/03/2019	X	X				M	Dir - CS	- Functioning, fit for purpose hardware - exception reporting - Annual statement to LT	On target	
48	ICT: Information Management - develop and maintain statistic reports from case-handling system			X	X				M	Dir - CS	- Scheduled reports accurate and issued on time	On target	
49	ICT: IS installation (network) - monitor implementation and maintenance of security and cyber resilience standards by contractor	01/04/2018	31/03/2019	X	X				H	Dir - CS	- Regular meetings with business partner and annual service report.	On target	
50	ICT: IS installation (network) - Increase SPSO understanding of network and back-end systems	01/04/2018	31/03/2019	X	X				M	Dir - CS	To be scoped and confirmed in Q1 2018-19	On target	
51	ICT: Paper-lite - completion of project and implementation of approved recommendations, progress to other areas (DCR, medical records)	01/07/2017	01/09/2019	X	X				M	Dir - CS	Project closure report and sign-off and updated business plan	Slippage	Prisons pilot completed and rolled out. Continuing to monitor to identify further learning to roll out to other areas. Partially dependent on implementation of Connect (Objective)
52	ICT: Security and cyber resilience - implement cyber resilience action plan, monitor actions and report	01/04/2018	31/03/2019	X	X				H	Dir - CS	- Acceptable level of residual risk - Exception reporting to LT - Up-to-date Information and Data related Policies and Procedures	on target	
53	ICT: Security and cyber resilience - complete Cyber Essentials accreditation	01/04/2018	31/12/2018	X	X				H	Dir - CS	As required by SG Cyber Resilience Action Plan - official deadline 31/10/2018 but SG approved us completing as soon as we can after office move.	On target	
54	ICT: Strategy - define ICT and digital strategy, including implementation plan	01/04/2018	31/12/2018	X	X				M	Dir - CS	- ICT strategy to LT for sign-off	On target	
55	ICT: Telephony - implement a telephony upgrade for new office	01/02/2018	19/11/2018	X	X				H	Dir - CS	- functioning, fit for purpose telephony	On target	
56	ICT: Telephony - monitoring and management of telephony network and hardware, including mobile communications and connectivity.	01/04/2018	31/03/2019	X	X				H	Dir - CS	- telephony functionality available for staff to complete their roles and responsibilities	On target	
57	ICT: Training and user support	01/04/2018	31/03/2019	X	X				M	Dir - CS	- Users operating all systems effectively	On target	
58	Information Management: DP - review and update policy/processes/guidance, including DP rights and personal data breaches	01/04/2018	31/03/2019	X	X				S	Dir - CS	- Updated policies and processes signed off by LT and DPO	On target	
59	Information Management: DP Compliance - deliver GDPR compliance project	01/06/2017	31/12/2018	X	X				S	Dir - CS	Project closure report and sign-off and updated business plan	On target	
60	Information Management: DP Compliance - monitor compliance with DP policies and report results of compliance testing to Leadership Team	01/04/2018	31/03/2019	X	X				S	Dir - CS	- Non compliance reported to LT	On target	
61	Information Management: DP Subject access requests	01/04/2018	31/03/2019	X	X				S	Dir - CS	- 95% of SARs responded to in 30 calendar days, 100% in 40 calendar days	Missed	Q1 and Q2 target not met, due to diversion of resources in preparation for GDPR, reduced DP timescale target and twice the monthly number of SARs received in May. Approach to planning will be reviewed in Q3/4
62	Information Management: DP Training - implement compulsory DP training annually, and provide ad hoc training and inductions when required	01/04/2018	31/03/2019	X	X				S	Dir - CS	- Evidence ALL staff receive update/ refresher training	On target	

SPSO Business Plan 2018-19: Corp Services

No	Activity	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update	
				1	2	3	4	5						select
	<i>description of task/ activity/ project</i>										<i>select</i>	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued		
63	Information Management: FOI Publication Scheme - review and update SPSO Publication Scheme to ensure compliance	07/01/2019	31/03/2019	X	X					S	Dir - CS	- Publication scheme compliant	Slippage	Full review delayed. Our publication scheme is compliant with FOISA. A best practice review wukk be carried out taking into account the actions identified by OSIC in their recent mystery shopping exercise.
64	Information Management: FOI/EIR Requests and Reviews	01/04/2018	31/03/2019	X	X					S	Dir - CS	- 95% of FOI/EIR requests and reviews responded to in 20 working days, 100% in 30 working days	On target	Target met in Q1.
65	Information Management: Records Management - ensure controls and procedures are applied	07/01/2019	31/03/2019	X	X					S/H	Dir - CS	Internal ICO report to LT	Not started	
66	Information Management: Records Management, including DP - manage information risks, coordinate mitigation procedures, and log and risk assess information assets	01/04/2018	31/03/2019	X	X					S	Dir - CS	- up-to-date log - annual report to LT	On target	
67	Information Management: Records Management, including DP - review and update security policy/processes and supporting measures			X	X					S	Dir - CS	- Review undertaken	Completed	
68	Information management: Retention and disposal - ensure retention and disposal of documents in line with policy (casework and non-casework), including annual file location audit	01/04/2018	31/03/2019	X	X					S/H	Dir - CS	- Annual assurance statement to LT - 100% of hard copy case files located securely and correctly recorded on CMS - ad hoc updating as required	On target	
69	Information management: Reuse - make SPSO Re-use regulations compliant	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Reuse compliant with regulations	On target	
70	Office relocation: plan and relocate office premises	03/01/2018	31/12/2018	X	X					S/H	Dir - CS	- Review of project demonstrates successful relocation	Slippage	Late approval of the building delayed the project. Move in date will be 1 Dec.
71	Ombudsman groups: contribute to OA (and other) special interest groups	01/04/2018	31/03/2019	X	X					L	Dir - CS	- As required	On target	
72	Ombudsman groups: manage membership	01/04/2018	31/03/2019	X	X					M	Dir - CS	- Representatives identified and resource available	On target	
73	Performance management information: review in line with outcome of internal audit	01/09/2017	30/06/2018	X	X					M	Dir - CS	- Recommendations from internal audit report considered by LT and action plan prepared	Discontinued	Internal Audit review discontinued due to change of direction and governance arrangements.
74	Performance management: review of current casework performance measures (KPIS) and timescales/resources in light of changes to process including developing mechanisms for tracking post closure activity (including time spent on reviews and generating more easily available, transparent performance data and provision (in conjunction with ISE)	07/01/2019	31/03/2019	X	X					M	Dir - CS	- Review outcome to LT for sign-off	Not started	
75	Performance reporting: collation of Complaints statistics and year-to-date performance	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Dashboard - monthly analysis report to LT	On target	
76	Performance reporting: collation of Corporate statistics and year-to-date performance	01/04/2018	31/03/2019	X	X					S	Dir - CS	- quarterly analysis report to LT	On target	
77	Performance reporting: collation of Professional Advice statistics and year-to-date performance	01/04/2018	31/03/2019	X	X					H	Dir - CS	- quarterly analysis report to LT	On target	% advice received on time: SPSO 84% - Scotland 47% - UK 57%
78	Performance reporting: collation of quarterly FOI statistics and year-to-date performance	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Submitted to SIC on time - quarterly analysis report to LT	On target	
79	Performance reporting: collation of SWF statistics and year-to-date performance	01/04/2018	31/03/2019	X	X					S	Dir - CS	- Dashboard - monthly analysis report to LT	On target	
80	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	01/04/2018	31/03/2019	X	X					M	Dir - CS	- Annual report to LT with: learning captured, recommendations and details of action taken and planned	On target	
81	Professional Advice Service: deliver a well-resourced professional advice service	01/04/2018	31/03/2019	X	X					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	
82	Professional Advice Service: Review of effectiveness	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Review of service demonstrates efficient and effective function	On target	
83	Quality Assurance: Casework	01/04/2018	31/03/2019	X	X					H	Dir - CS	- 95% of decisions correct - Quarterly report to LT of learning and action taken and recommendations for wider improvement initiatives	On target	
84	Quality Assurance: Telephone	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Managers assess calls against customer service standards and findings are summarised	On target	
85	Quality Assurance: Professional advice	01/04/2018	31/03/2019	X	X					H	Dir - CS	- Quarterly report to LT of learning and action taken, and recommendations for wider improvement initiatives	On target	

SPSO Business Plan 2018-19: Corp Services

No	Activity	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
				1	2	3	4	5					
	<i>description of task/ activity/ project</i>								<i>select</i>	<i>select</i>	<i>select</i>	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued	
86	Quality Assurance: SWF decisions	01/04/2018	31/03/2019	X	X				H	Dir - CS	- 95% of decisions correct - Quarterly report to LT of learning and action taken and recommendations for wider improvement initiatives	On target	
87	Quality Assurance: draw up programme for 18-19, taking into account lessons learned and feedback	01/04/2018	30/04/2018	X	X				M	Dir - CS	- QA plan against which to act and monitor performance	Completed	Complete
88	Survey management: administration and advice on all electronic surveys issued, including Customer, BUJ, SWF, Staff, etc.	01/04/2018	31/03/2019	X	X				M	Dir - CS	- Results provided on time	On target	
89	UAP: monitor application and effectiveness	01/04/2018	31/03/2019	X	X				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	Now sits within the governance framework

SPSO Business Plan 2018-19: ISE

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>			<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>select</i>	<i>select</i>	<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
1	Model CHP: monitor and report on compliance in all sectors	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	S	HoISE	- Annual report - Quarterly report to LT	On target	
2	Model CHP - support public bodies to co-ordinate, report and benchmark complaints handling performance information through existing complaint handling networks and regulatory structures, including through self-assessment	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X		S	HoISE	- Annual report - Quarterly report to LT - New project proposals and recommendations to LT as required	On target	
3	Model CHP: Survey authorities to assess effectiveness of MCHP, positives and issues	Project	Project defined	01/07/2018	30/09/2018		X	X	X	X	H	HoISE	Successful completion of project and plan to implement any learning identified	Slippage	This piece of work is being managed as a project, underpinned by a project plan. The project incorporates a range of elements including gathering internal information to inform the survey and revisions to the model CHPs, review of implementation requirements and performance reporting.
4	Comms materials: regular review, update and production of e-newsletters, FAQs, leaflets and website, media relations, Ombudsman's Compendium, SPSO external publications	BAU	Continuous	01/04/2018	31/03/2019	X		X	X	X	H	HoISE	- Updated materials to support office relocation - Ad hoc updates to all staff - Annual update to LT/ Annual report	On target	
5	Stakeholder engagement: engage with major stakeholders through meetings, sounding boards, forums and surveys	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	H	HoISE	Engagement plan for LT sign-off Feedback to LT and other teams as needed	On target	
6	Parliament Local Government Committee: attend annually to give evidence on Annual Report and Accounts	BAU	Annual	01/04/2018	31/01/2019	X	X	X			H	SPSO	- Feedback, reflected in published transcript - Narrative in current Annual Report and Accounts highlighting main points, learning and action taken	On target	
7	Parliament: engage with committees as required or requested	BAU	As required	01/04/2018	31/03/2019	X	X	X	X		H	SPSO	- Feedback, reflected in published transcript - Narrative in current Annual Report and Accounts highlighting main points, learning and action taken	On target	
8	Consultations: monitor and coordinate submissions as required	BAU	As required	01/04/2018	31/03/2019	X	X	X	X	X	M	HoISE	- Consultation responses (or links) published on SPSO website - Demonstrable influence reflected in final outcome/ external reporting	On target	
9	Develop system for recording internal and external information, data and intel on complaint and SWF themes	Project	Project defined	01/04/2018	30/06/2018	X	X	X	X	X	M	HoISE	- effective recording system, including impact on business as usual activity	Completed	
10	Track, monitor and identify trends, themes and issues in external practice (complaints and SWF applications) to support external stakeholder practice improvement. Drawing on recommendations and other information sources	BAU	Continuous	01/04/2018	31/03/2019	X		X	X	X	H	HoISE	- Quarterly report to LT on findings, learning and actions taken or proposed for external improvements, including outcomes - Operational performance meeting to raise issues and recommendations as needed with LT	On target	
11	Track, monitor and identify trends and issues to support internal SPSO practice improvement, drawing on recommendations and other information sources	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	H	HoISE	'Input monthly to C&I operational performance meeting' Report to LT on findings, learning and actions taken or proposed for SPSO improvements, including outcomes	On target	
12	Provide advice and support on following up recommendations as appropriate.	BAU	As required	01/04/2018	31/03/2019	X	X	X	X		S/H	HoISE	- report quarterly to LT on number and status of recommendations where advice/support provided - report to Ombudsman as appropriate	On target	
13	Develop Support and Intervention Policy and Procedures, through co-production approach with internal and external stakeholders	Project	Project defined	01/04/2018	30/09/2018	X	X	X	X		H	LT	- prepare scoping document for LT - PID and project plan (on-going measurement & reporting to be identified as part of project) - Signed-off policy	Completed	

SPSO Business Plan 2018-19: ISE

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>			1	2	3	4	5	<i>select</i>	<i>select</i>	<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
14	Implement Support and Intervention Policy and Procedures (including training and awareness for SPSO, dissemination and communication)	Project	Project defined	01/10/2018	31/12/2018	X	X	X	X	X	H	HoISE	Confirmation to LT of successful implementation	On target	
15	Complaints handling: engage with and support public bodies to develop implement good complaint handling and a positive complaints culture, through advice, training, guidance and the Valuing Complaints website	BAU	As required	01/04/2018	31/03/2019	X	X	X	X	X	S/H	HoISE	- Public reporting on activity through SPSO Annual Report and Accounts, including demonstrable positive impact - Quarterly report to LT, including demonstrable positive impact	On target	
16	Complaints handling: develop new training and guidance to support public bodies and complainers	Project	Project defined	01/10/2018	31/03/2019	X		X	X		H	HoISE	Update to LT	Discontinued	Cross reference to unallocated 12. "Carry out an audit of training and guidance materials to identify what we have and whether fit for purpose". Work to develop new guidance will not commence until this audit is completed. There is no resource availability to do this work in the current business year.
17	Legislative, regulatory and other changes that impact on SPSO: engage with SG, SPCB and stakeholders through parliamentary process and direct engagement about changes relating to current, new jurisdictions or complaints handling arrangements as appropriate	Project	Project defined	01/04/2018	31/03/2019	X	X	X			S/H	LT	Report to LT as required	On target	
18	Legislative, regulatory and other changes that impact on the SPSO: plan and implement changes in consultation with internal and external stakeholders.	BAU	As required	01/04/2018	31/03/2019	X	X	X	X	X	S	HoISE	Report to LT as required	On target	
19	INWO: develop SPSO complaint handling procedures and write handbook	Project	Project defined	01/04/2018	31/12/2018	X	X	X	X	X	S	HoISE	- PID developed Project plan to develop reporting requirements	On target	
20	SPSO Customer Service Complaints: ensure Stage 1 complaints handled effectively	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	H	HoISE	- 95% of complaints escalated or at stage 1 responded to in 5 working days (or as agreed) - Quarterly report to LT on statistics, themes, lessons learned and actions taken/ planned	On target	Q2 Stage 1 Timescales met in 6 of 7 cases = 86% Quarterly report to LT The LT team considers performance acceptable. Given the very low volume of cases, consideration to be given to the performance measure to be used going forward.
21	SPSO Customer Service Complaints: ensure Stage 2 complaints handled effectively	BAU	Continuous	01/04/2018	31/03/2019	X	X	X	X	X	H	HoISE	- 95% of complaints escalated or at stage 2 responded to in 20 working days Quarterly report to LT - Quarterly report to LT on statistics, themes, lessons learned and actions taken/ planned	On target	Q2 Stage 2/esc Timescales met in 4 of 5 cases = 80% Quarterly report to LT The LT team considers performance acceptable. Given the very low volume of cases, consideration to be given to the performance measure to be used going forward.
22	SPSO Customer Service Complaints: enable and support the independent review of complaints by the Independent Customer Complaints Reviewer	BAU	Continuous	01/04/2018	31/03/2019	X	X			X	H	HoISE	- Quarterly report to LT on statistics, themes, lessons learned and actions taken/ planned/ recommended - Responses to ICRS requests for information or comment within 10 working days, or specifically agreed deadline	On target	
23	SPSO Customer service complaints procedure: review to ensure compliance with CSA model CHP, and effectiveness	BAU	Annual	01/04/2018	31/03/2019	X	X			X	H	HoISE	Annual report to LT on CSC complaints handling procedure	On target	
24	Communications: develop communications strategy and implementation plan	Project	Project defined	01/04/2018	30/09/2018	X	X	X	X	X	H	LT	Signed-off communication strategy and supporting plan	Slippage	Expected Q3
25	Recommendations: Undertake internal analysis of 2017-18 recommendations	Project	Project defined	01/04/2018	30/06/2018	X	X		X		H	HoISE	Paper to LT	Completed	
26	Communications: review sounding boards and customer forum approach, including development of new forums (e.g. chairs/ reps of Complaints Network Groups)	Project	Project defined	01/04/2018	30/09/2018	X	X	X	X	X	M	HoISE	- briefing document from LT - scoping document and recommendations for feasibility and delivery of project to LT	On target	
27	Produce a Complaints Good Practice guide for the Housing Sector in collaboration with external partner organisations (identified through the Housing Network)	Project	Project defined	01/04/2018	30/06/2018	X		X	X	X	M	HoISE	Published and disseminated guide	Slippage	Staffing changes mean work has been delayed. Final product expected 2019.
28	Communications: review and refresh Visual Identity and Style Guide	Project	Project defined	01/04/2018	30/09/2018	X	X			X	H	HoISE	Signed off refreshed VI and style guide(s)	Completed	
29	Communications: A staged implementation of new Visual Identity and Style Guide	Project	Project defined	01/10/2018	31/03/2019	X	X			X	H	HoISE	Progress made against plan for a staged implementation of the refreshed VI and Style Guide	On target	
30	Comprehensive review of MOUs and other agreements with third-party organisations, including implementation of a regular review cycle	Project	Project defined	01/10/2018	31/03/2019	X	X			X	M	HoISE	- Current and relevant MOUs and agreements	On target	

SPSO Business Plan 2018-19: ISE

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						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>								<i>select</i>	<i>select</i>	<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
31	Information sharing: Sharing intelligence with Health and Care Group, including SPSO input and attendance to meetings	BAU	Quarterly	01/04/2018	31/03/2019	X	X	X	X		H	HoISE	- input information/ papers to LT - attendance at meetings - feedback to LT	On target	
32	Information sharing: respond to ad hoc requests for data and information.	BAU	As required	01/04/2018	31/03/2019	X	X	X	X		H	HoISE	- input information/ papers to LT - attendance at meetings - feedback to LT	On target	
33	Information sharing: OMG (Water Information sharing group). Prepare information for Dir C	BAU	As required	01/04/2018	31/03/2019	X	X	X	X		M	HoISE	- input information/ papers to Dir C&I	On target	
34	Information sharing: horizon scanning to identify other sectorial groups for information sharing and engagement	BAU	As required	01/04/2018	31/03/2019	X	X		X		M	HoISE	- report to LT with recommendations and issues as required	On target	
35	Information sharing: develop internal guidance for the setting up and running of communities of practice	Project	Project defined	01/07/2018	31/12/2018	X	X	X	X	X	H	HoISE	- Guidance (including subjects/ focus, TOR, dissemination of outputs and how learning will be captured & shared) to LT for sign-off and use of all staff - Awareness an training session	Completed	
36	Scope development of tools to support external SWF decision making, with particular emphasis on digital strategy and future development	Project	Project defined	01/10/2018	31/03/2018	X	X	X	X		H	HoISE	- report to LT and Dir (CorpS) on lessons and challenges to inform digital strategy and future development - proposals for on-going monitoring and evaluation	On target	
37	Develop QA tool for external SWF Decision Making, using a co-design approach with volunteers	Project	Project defined	01/04/2018	30/09/2018	X	X	X	X		H	HoISE	- PID and project plans to LT - reporting against project plan - QA tool - Project completion report with recommendations for implementation and further development to LT	Slippage	Expected Q3
38	Annual Report and Accounts: coordinate drafting, prepare and lay	BAU	Annual	01/04/2018	31/03/2019	X	X	X	X	X	S	HoISE	- Annual Report and Accounts laid on time	Completed	
39	INWO: Lead on the development of Whistleblowing Principles, Standards and Guidance	Project	Project defined	01/04/2018	31/12/2018	X	X	X	X	X	S	HoISE	- PID developed - Project plan to develop reporting requirements	Slippage	Draft Standards and Principles prepared for consultation. Draft legislation not complete, therefore consultation not commenced, as 2 consultation exercises will run in parallel.
40	Quality assurance of decision summaries for publication	BAU	Quarterly	01/04/2018	31/03/2019	X	X	X	X	X	H	HoISE	- Lessons learned to Managers - Summary to Dir- C&I	On target	
41	Communications: produce, lay and publish compendium of decisions	BAU	Monthly	01/04/2018	31/03/2019	X	X	X	X	X	S	HoISE	Compendium published and laid before Parliament	On target	
42	Communications: produce and issue hard copy of decisions and summary for FM and SPICE	BAU	2 monthly	01/04/2018	31/03/2019	X		X			L	HoISE	- Hard copy produced and issued - Feedback on usefulness and impact	On target	
43	Communications: Produce and publish BSL plan for 2018-2023	Project	Project defined	01/04/2018	30/09/2018	X	X		X	X	S	HoISE	- SPSO is compliant with the requirements of the BSL (Scotland) Act 2015	On target	
44	Communications: Policy update to LT	BAU	Continuous	01/04/2018	31/03/2019		X	X			H	HoISE	- Policy updates to LT - All staff policy update as appropriate	On target	
45	Resourcing: monitor and plan and arrange recruitment to maintain appropriate level of staff resources for ISE	BAU	Monthly	01/04/2018	31/03/2019	X	X	X	X	X	H	HoISE	- Delivery of business plan targets	On target	
46	Ombudsman groups: contribute to OA (and other) special interest groups	BAU	As required	01/04/2018	31/03/2019	X				X	M	HoISE	- PID and project plans to LT - reporting against project plan - QA tool - Project completion report with recommendations for implementation and further development to LT	On target	

SPSO Business Plan 2018-19: ISE

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						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>			<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>select</i>	<i>select</i>		<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>
47	Communication in healthcare: complete assessment and scope further work needed in this area by SPSO	Project	Project defined	01/07/2018	31/03/2019	X	X	X	X		H	HoISE	- report to LT with recommendations for further work (e.g. internal guidance, training, thematic report, further research, stakeholder engagement)	Completed	
48	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	BAU	As required	01/04/2018	31/03/2019	X	X	X	X	X	M	Dir - C&I	- Report to Dir(Corp Serv) for inclusion in Annual report to LT: learning captured, recommendations and details of action taken and planned	On target	
49	Communication in healthcare: Agree and undertake joint stakeholder engagement work with GMC and SG to raise awareness of communication as a recurrent theme in healthcare complaints and to explore possible improvements.	Project	Project defined	01/07/2018	31/03/2019	X	X	X	X		H	HoISE	- Stakeholder engagement work agreed by LT and delivered. Internal training/workshops delivered based on the joint work	On target	
50	Information sharing: scope SPSO communities of practice. Draft proposal for LT including subjects/ focus, TOR, dissemination of outputs and how learning will be captured	Project	Project defined	01/07/2018	30/09/2018	X	X	X	X		M	HoISE	CoP introduced	Completed	New item added mid year

SPSO Business Plan 2018-19: Completions

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>							<i>select</i>	<i>select</i>			<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>	
1	Carstairs research	Project	Project defined					X	X		L	HoISE	Project lead updated 15/8/18 - ISE activity 99% complete	Completed	In Q2
2	Input to NHS review of sector-wide complaints categories with a view to SPSO adopting the same	Project	Project defined			X	X	X	X		H	HoISE	- report and recommendations to LT - with NHS for NCSPAS to discuss	On target	
3	Complete targeted e-learning on complaint handling for SPS	Project	Project defined			X	X	X	X		H	HoISE	- acceptance of e-learning tool by SPS - project closure report to LT	Completed	
4	Update on line complaints form to include subject specific information	Project	Project defined									Dir - C&I	- impact of providing more detailed, subject specific information as part of the application process on the quality and outcomes of complaints submissions	Completed	
5	Complaints Improvement Framework: complete revision of CIF and make available to public sector	Project	Project defined	01/04/2018	30/06/2018	X	X	X	X	X	M	HoISE	Revised CIF published. Still needs to be formally published - with HoISE	Slippage	Q4

SPSO Business Plan 2018-19: Unallocated
(Work to be included in future plans or if resources become available)

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure	Status	Comment/ update
						1	2	3	4	5					
	<i>description of task/ activity/ project</i>	<i>select</i>	<i>select</i>			1	2	3	4	5	<i>select</i>	<i>select</i>		<i>select</i>	<i>E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued</i>
1	Information sharing: scope SPSO communities of practice. Draft proposal for LT including subjects/ focus, TOR, dissemination of outputs and how learning will be captured	Project	Project defined			X	X				M	HoISE		On target	IIP item 8, and part 12 and 13
2	Complaints Improvement Framework: gap analysis and revision of SPSO tools and resources based on current CIF	Project	Project defined			X	X	X	X	X	M				
3	Complaints Improvement Framework: scoping paper on how CIF can be developed into a suite of guidance and tools, including digital and on-line	Project	Project defined			X	X	X	X	X	H				
4	Develop effective communication approach of lessons learned from SPSO investigations for internal and external stakeholders	Project	Project defined			X	X	X	X	X	M				
5	Work with ICT to develop improved searching of recommendations and findings on case management system	Project	Project defined			X	X	X	X	X	H				
6	Develop searchable open data resource of SPSO recommendations	Project	Project defined			X	X	X	X	X	M				
7	Annual report and Accounts: produce AR&A action plan and timetable for future years	Project	Project defined			X	X				L				
8	Review and publish report on Use of SPSO Apologies SPSO Guidance	Project	Project defined			X	X	X	X	X	M				
9	Communications: develop scorecard approach to user feedback	Project	Project defined			X	X	X	X	X	M				
10	Recommendations: develop approach to measuring impact of recommendations, involving internal and external stakeholders	Project	Project defined			X		X	X		H				
11	Complaints Improvement Framework: complete gap analysis of CIF including SPSO tools and resources linked to CIF	Project	Project defined			X	X	X	X	X	M				
12	Carry out an audit of training and guidance materials to identify what we have, whether fit for purpose. Project brief will be produced by LT when work is allocated.	Project	Project defined			X		X	X		H				
13	Gap analysis of whether we complete all the statutory reporting we should under public administration legislation	Project	Project defined			X					S				This could be outsourced to legal advisors if funds permitted.
14	Retender for Internal Audit Services	Project	Project defined								H				