



Business plan 2023-24

Scottish Public Services Ombudsman

**INDEPENDENT
NATIONAL
WHISTLEBLOWING
OFFICER**

People Centred | Improvement Focused



**SCOTTISH
PUBLIC
SERVICES
OMBUDSMAN**

People Centred | Improvement Focused



Introduction

This document sets out the Scottish Public Services Ombudsman’s annual business plan for the period from 1 April 2023 to 31 March 2024. It sets out what we will do this year to deliver our strategic vision and aims. It should be read in conjunction with our Strategic Plan 2020-2024.

Vision

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

Strategic themes

- Accessibility
- Access to justice
- Capacity
- Standards

Values



SPSO Strategic aims 2020-2024

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

Equalities Commitments

- 1 Take proactive steps to identify and reduce potential barriers to ensure that our service is accessible to all.
- 2 Identify common equality issues (explicit and implicit) within complaints or reviews brought to our office and feed back learning from such cases to all stakeholders.
- 3 Ensure that we inform people who are taking forward a complaint or review of their rights and of any available support, and that we encourage public authorities to do the same.
- 4 Ensure that we play our part in ensuring that service providers understand their duties to promote equality within their complaints handling and review procedures.
- 5 Monitor the diversity of our workforce and supply chain, and take positive steps where under-representation exists.

Resources

Total SPSO budget for 2023-24 is £6,744,000 broken down as follows:

- Staff costs £5,494K
- Running costs £613K
- Bridgeside House costs £637k management of Bridgeside House for SPSO, SHRC, SBC and CYPCCS)
- Less Total estimated SPSO income (£80,000)

Commonly used terms

BAU: Business as usual

C&I: Complaints and investigations

CS/ Corp Serv: Corporate Services

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

HoISE: Head of Improvement, Standards and Engagement

INWO: Independent National Whistleblowing Officer Complaints

ISE: Improvement, Standards and Engagement

LT: Leadership team

Omb / SPSO: the Ombudsman

Priority: strategic and business priority

Statutory: delivers a duty SPSO must meet

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

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

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

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

PSC: Public Service Complaints

SWF: Scottish Welfare Fund

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CS001	BH Handbook: Health, safety, security - review and update with Hybrid working, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- FD People Review report to LT	On target	* Reviewing over November with FD People and finalise with Future Working
CS002	BH Handbook: MoU - review and update, disseminate through updates and training, and monitor practice.	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- Review undertaken and signed off by BHMGM	Exceeded	* Updated and BHMGM Agreed
CS003	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 and contractors. Ensure good carbon management practices maintained, supplies and equipment maintained,	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Bridgeside House facilities maintained - prioritised preventative maintenance actioned	On target	* Maintenance updated no issues all fixed
CS004	BH: Health, Safety and Security (H&S service) - promoting health, safety & security with on-going management in Bridgeside House working environment. Provide ongoing effective health and safety service and advice to staff in office, WFH and hybrid.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	-Provide Qtly update -H&S group meeting deliver on actions -Deliver H&S aspects of work from home policy	On target	*Quarterly H&S group meeting *Maintained -19 office risk assessment with inline with updated guidance from Scottish Government *Assisted with Chairs, Monitors, Keyboard and Mouse for WFH for 3 staff
CS005	BH: Health, Safety and Security (Hybrid Working) - review first aider requirements in building consider and review fire warden requirements for a hybrid working building with shared option considerations.	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	S	- New Building First Aid and Fire Warden management arrangements in place	Completed	* First Aiders updated for coverage across BH * appropriate Self Nominated Fire Marshals across building
CS006	BH: Health, Safety and Security (management) - Ensuring statutory regulations are complied with records maintained for legal duties including - fire safety training, fire tests, fire drills, qualified first aiders, legionella risks controlled, emergency lighting, electrical appliance testing. Office and Home Risk Assessment are reviewed inline with workplace audits including security management. External audit outcomes, actions and other reports/inspections. Testing business continuity plans (BCP) in line with health and safety	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Annual H&S Assurance Statement to SPSO - Training and updates disseminated to all staff - Low residual risk in operational risk register - 2 fire drills annually evacuate in 3 minutes - Pass annual H&S audit	On target	*Complete 2 fire drills *Completed in person Self-Nominated Fire Marshal Training for Hybrid working for all staff across all office holders * Tested fire evacuation role play with main fire escape cut off due to fire and successfully evacuated in 3m 12 secs
CS007	BH: Health, Safety and Security (staff training) - new staff H&S inductions; annual H&S+ S staff questionnaire, Annual Display Screen Equipment Assessment (DSE) for Working from Home (WFH), Ongoing Awareness training for staff and managers for home, Hybrid & office work environments	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- All new staff completed H&S + Security - Annual H&S + Security training - Annual DSE training	On target	*completed Online DSE training via Learning hub for Office and Home DSE *Updated and improved DSE assessment & Training for Learning Hub for Office and Home
CS008	BH: Mail & delivery management - provide efficient service for pick-up of all mail & deliveries, update and maintain courier procedures in hybrid working.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- secure & timely mail support services	On target	* Manage all mail across all office holders both incoming and outgoing reducing issues and mistakes
CS009	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 money (BVM) and meets sustainable procurement practices.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- contracts delivering on service expectations	On target	* Changed office cleaning to Morning shifts improving communication * achieved 97% in cleaning Audit
CS010	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, AV & Hybrid technology, supporting events, monitoring costs and billing, Health and Safety security coordination.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- shared space, AV & equipment requirements managed fairly and rooms fit-for-purpose.	On target	* supported several external and internal meetings including interviews, filming, catering provision and help manage AV, ventilation and various room setups
CS011	Climate change duties: CCAT actions - Develop a carbon emergency strategy and organisational changes	Access to justice	Project	Annual	01/04/2023	30/09/2023	S	Climate Change Strategy complete and approved	On target	* Finalise strategy Q3 * agreed to add staff environmental responsibilities into appropriate policy and strategy *Carry out new CCAT workshop in Q3

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CS012	Climate change duties: CCAT actions - Implement actions from plan; working towards 2030 target of Net Zero.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Action plan implemented and reported in Climate Change Duties report	On target	* Started plastic recycling, food recycling across BH * started regular glass milk bottle delivery and recycling including oat milk * completed Scotland's climate week 2023 with inclusive and interactive activities and resources to encourage action
CS013	Climate change duties: CCAT actions - include Carbon Management as part of responsibilities on Job Descriptions	Standards	Project	Project defined	01/04/2023	30/06/2023	M	- All staff job descriptions updated to support climate change	Discontinued	Related to CS011
CS014	Climate change duties: CCAT Actions - Manage Climate Risk Assessment	Capacity	BAU	Quarterly	01/07/2023	31/03/2024	H	- Climate Risk Assessment and approved by LT to be reviewed Qtly	On target	* Started Q2 and complete by Q3
CS015	Climate change duties: monitor primary energy usage and waste management	Access to justice	BAU	Monthly	01/04/2023	31/03/2024	S	- Continued reduction in our Baseline carbon footprint (2015/16 72 tCO2e)	On target	
CS016	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	01/04/2023	30/11/2023	S	- Published annual report	On target	Q1 - Carbon emission figures calculated for 2022-23 for SPSO annual report. Q2 - report drafted, will be submitted to LT for approval in Q3 and published
CS017	Climate change duties: produce and publish Environment, Sustainability and Biodiversity Annual Report	Access to justice	BAU	Annual	01/04/2023	30/11/2023	S	- Published annual report	On target	Q1 - Carbon emission figures calculated for 2022-23 for SPSO annual report. Q2 - report drafted, will be submitted to LT for approval in Q3 and published
CS019	Climate change duties: Sustainable Procurement - ensure staff receive basic awareness training on sustainable procurement.	Standards	Project	Project defined	01/05/2023	31/08/2023	M	- Staff receive basic sustainability training at induction.	Completed	*Completed training ready to Review actions to improve in Q2
CS018	Climate change duties: Sustainable Procurement - Identify a Sustainable Procurement Champion to lead sustainable procurement with objectives, job description and stays updated	Capacity	Project	Project defined	01/07/2023	30/11/2023	M	- Updated on Job Description published on intranet. Key sustainable goals. Champion keeps Updated on sustainability	On target	* Champions Agreed in Q2 * Q3 to discuss with CS Manager & HR regarding JD & role to agree correct way to proceed.
CS020	Decision Review: carry out decision reviews in a timely manner	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	40% in 50 working days, 95% in 90 working days	Slippage	Meeting 95% in 90 days, but not 40% in 50 days due to higher volumes of cases received and closed generating a higher number of reviews.
CS021	Decision Review: review the feedback provided in 2022-23 Review Requests to CRS to identify any common areas for training or further development of the guidance	Access to Justice	BAU	Continuous	01/04/2023	01/07/2023	M	Report to LT with recommendations	On target	introduced quarterly tracking system to communicate common areas for learning
CS022	Decision Review: Review the guidance, template letters, and the literature provided to complainants/BUJS about the review process including i) the importance of providing information and evidence at as early a stage as possible ii) keeping BUJ staff informed and updated throughout the investigation process and prior to review iii) late review requests and iv) reviews relating to heads of complaint	Access to justice	Project	Project defined	01/04/2023	01/07/2023	M	Project to review literature that is sent to complainants and BUJS.	Completed	Review form and review leaflet reviewed and updated.
CS023	Finance: Annual Budget - Shared service: BH Plan and prepare submission for SPCB, including resource planning, staff and non-staff; profile approved budget	Access to justice	BAU	Annual	01/07/2023	01/10/2023	S	- Annual budget submission, signed off by LT	Completed	Budget submitted on time
CS024	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	01/07/2023	01/10/2023	S	- Annual budget submission, signed off by LT	Completed	

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CS025	Finance: Annual publications - Shared service: SBC, SHRC Statements of Expenditure and Contract Register - draft the statements of expenditure and register for the SBC to publish	Access to justice	BAU	Annual	01/07/2023	01/10/2023	S	draft issued to SBC	Completed	
CS026	Finance: Annual publications - Shared service: SPSO, BH Statements of Expenditure and Contract Register - produce and publish under Section 31 of the PSR (Scotland) Act 2010, and details of contractors	Access to justice	BAU	Annual	01/07/2023	01/10/2023	S	- Published annual report	Completed	
CS027	Finance: Audit, External - Shared service: SPSO, SBC, SHRC - prepare and provide all financial statements to External Auditors;	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	Provide financial statements and supporting evidence in line with agreed dates - External Audit Report	Completed	
CS028	Finance: Audit, External - SPSO Annual report and Financial Statements (including BH shared service) - prepare contributors, review requirements, coordinate contributions and timelines for the three sections - Coordinate the provision of information and evidence to support the performance reporting	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	Draft Annual Report and Accounts provided to Auditor and Ombudsman in good time	Completed	
CS029	Finance: Audit, External - SPSO Annual report and Financial Statements (including BH shared service) - agree annual external audit plan with auditors; - provide information and access to External Auditors; - prepare fully audited Financial and Governance Statements for SPSO Annual Report and Accounts ((including discharging duties under section 32 (1)(b) of the PSR (Scotland) Act 2010) - including Trade Union Publication of Facility Time Data Regulations Reporting	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- Agreed External Audit annual plan - External Audit Report	Completed	
CS030	Finance: Audit, Internal - produce, coordinate activities and deliver Internal Audit Plan	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- Internal Audit Plan, signed off by LT - Internal Audit reports to LT and AAB, accompanied by Dir-CS responses to any recommendations	On target	Two activities completed, third scheduled for November, final in February.
CS031	Finance: Expenditure - Shared service: SPSO, SBC, SHRC - pay invoices against approved orders and process payment of creditors	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	100% of undisputed invoices paid within 30 working days Reported in Qtlly to LT	On target	
CS032	Finance: Expenditure: Shared service: SPSO, BH - monitor and manage expenditure against budget plan	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- 5% variance: budget to actual spend at year end - monthly spend against budget statement to LT with recommendations - Reported in Annual Report and Accounts	On target	
CS033	Finance: Income - SPSO - issue and monitor receipt of payment for all Training Unit and ad hoc income	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- all income received in year	On target	
CS034	Finance: Procurement - SPSO professional advice - procure and manage contracts for services and professional advice ensuring best value for money	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Published current contract list	On target	
CS035	Finance: Procurement (consumables): Shared Service - SPSO, BH - procure and manage office stock, travel, accommodation arrangements and support tender processes, ensuring SPSO procurement policy is followed.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Published current contract list	On target	
CS036	Finance: Procurement (ICT): Shared Service - SPSO, BH, SBC - procure and manage ICT hardware requirements, including tracking and future planning for replacement equipment.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- staff have suitable equipment to carry out their roles.	On target	
CS037	Governance: Corporate Social Responsibility policy - draft policy document in conjunction with the COP, incorporating Fair Work Practice.	Access to justice	Project	Project defined	01/10/2023	31/03/2024	L	Draft policy issued to LT	Not started	

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CS038	Governance: Business plan - coordinate and produce annual plan	Access to justice	BAU	Annual	01/04/2023	31/03/2024	H	- Published business plan	Completed	
CS039	Governance: Business plan - coordinate quarterly update and publication	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	H	- Updated plan republished Qtly	On target	
CS040	Governance: Incident register - record and report all ICT incidents in line with the Risk and Incident policy and data breach procedures	Access to justice	BAU	As required	01/04/2023	31/03/2024	S	- Effective incident management - Qtly updates to Leadership Team	On target	
CS041	Governance: Risk - Business Continuity Plan - review and update annually, undertake tests with IRT	Capacity	BAU	Annual	01/09/2023	31/03/2024	H	- Effective risk management	On target	BC training attended by BCP Leader and Deputies in Q2
CS042	Governance: Risk - strategic and operations registers - prepare annually in line with business planning process	Capacity	BAU	Annual	01/04/2023	31/03/2024	H	- Effective risk management	Completed	
CS043	Governance: Risk - strategic and operations risk registers - coordinate regular reviews, update, and publish strategic risk register.	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	H	- Effective risk management	On target	
CS044	Governance: Secretariat - provide secretariat to Advisory Audit Board and Leadership Team	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	H	- Annual meeting schedule planned and issued - Papers prepared and issued at least one week prior to meeting - Declarations of interest published	On target	
CS045	Governance: Shared service: SPSO, SBC, SHRC Provide a service performance report for HR, ICT, Governance activities provided	Capacity	BAU	Continuous	01/04/2023	31/03/2024	H	Performance report to SBC on service provided	On target	
CS046	Governance: Shared service: SPSO, SBC, SHRC Provide information, support and resources to ensure a robust public service organisation	Capacity	BAU	Project defined	01/04/2023	31/03/2024	H	Performance report to SBC on service provided	On target	This is a full year project as we adopt and bed in SHRC finance processes.
CS047	ICT: Applications - Ad hoc - ensure appropriate software applications are available and fit for purpose	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Appropriate applications available for staff to complete their roles and responsibilities	On target	
CS048	ICT: Applications - Case-handling system (Workpro) - Complete ICT user needs analysis to assess areas for additional training and support (linked to CS116)	Access to justice	Project	Project defined	01/04/2023	31/03/2024	M	Review submitted to LT	C/F to next year	Q2 - decision made to carry this project to 2024-25. ICT will focus on implementing other outstanding Workpro development in 2023-24.
CS049	ICT: Applications - Case-handling system (Workpro) - Enable Multi-factor authentication for all Workpro users	Access to justice	Project	Project defined	01/04/2023	30/06/2023	H	MFA enabled for all staff - Project end notice submitted to LT	Slippage	Q2 - approved by LT, but still experiencing issues with testing where MFA is requested too frequently. Discussed with CE provider - can achieve re-certification without this in December if necessary.
CS050	ICT: Applications - Case-handling system (Workpro) - manage the maintenance and enhancement of application and casework EDMS	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Case-handling application up-to-date and meeting business and information management requirements	On target	Q2 - DCR development work provided for testing, to be implemented in Q3.
CS051	ICT: Applications - Communication tools - training and support to embed MS teams and functions into the working environment for all staff.	Access to justice	BAU	As required	01/04/2023	31/03/2024	H	MS Teams training and guidance materials provided to staff on aspects to support roles and responsibilities	On target	Q2 - shared webinar links and updates to functionality with staff. CIGO discussing recording and transcription with staff.

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CS052	ICT: Applications - Communication tools, including video conferencing - ensure appropriate software applications are available and fit for purpose	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Appropriate communication channels available for staff to complete their roles and responsibilities	On target	
CS053	ICT: Applications - Document management (eRDM) - manage the maintenance and enhancement of non-casework electronic document file system	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- EDMS meeting information management requirements	On target	
CS054	ICT: Applications - Document sharing (Connect) - ensure application is fully embedded and fit for purpose	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Appropriate document sharing applications available for staff to complete their roles and responsibilities	On target	Q2- made improvements to Workpro document size limit to improve use of Connect. Assisted ITM with speaking to health boards to increase usage of Connect.
CS055	ICT: Applications - Drive Management Change Project - manage the removal of Outlook public folders	Access to justice	Project	Project defined	01/04/2023	31/12/2023	H	Public folders transferred successfully to Shared email folders	Slippage	Dependent on SCOTS timetable for changeover - other project priorities have delayed the implementation of this.
CS056	ICT: Applications - Outlook - manage the migration to Exchange Online	Access to justice	Project	Project defined	01/04/2023	31/12/2023	H	All staff migrated to Exchange Online for email.	Completed	Q1 - All staff migrated by end of June 2023. Minimal issues identified. ISA will provide additional update on changes to archiving in ASM in 08/23.
CS057	ICT: Applications - Performance reporting - support the development of statistical reports from case-handling system, providing liaison with contractor.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- SQL Report builder and data bases are correct and working, all issues reported to Contractor on time	On target	Q2 - ISA and ISE Officer completed SQL Report Builder training. Made improvements to CSC reporting.
CS058	ICT: Electronic working arrangements - Review arrangements and processes for working electronically to ensure these are efficient and fit for purpose including document scanning, editing, formatting and systematising formats SPSO accepts as submission	Capacity	Project	Project defined	01/07/2023	30/09/2023	M	Review submitted	On target	Supporting the move to sharing medical scans securely while maintaining IPA privacy. Also increased file size limit of Workpro for sharing in Connect following feedback from CRs and advisers.
CS059	ICT: Hardware - monitoring and management of IT hardware	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Functioning, fit for purpose hardware - exception reporting - Annual statement to LT	On target	
CS060	ICT: SBC Shared Service - provide an ICT support service, that compliments the SCOTS provision, across all disciplines to the SBC as required.	Capacity	BAU	Continuous	01/04/2023	31/03/2024	H	Performance report to SBC on service provided	On target	Q2 - provided cyber security webinar for SBC and SHRC and rolled out mandatory cyber security training.
CS061	ICT: Security and cyber resilience - Annual refresher training for all staff on Cyber Security and IT Code of Conduct	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- Appropriate use of ICT systems	On target	Q2 - staff completed Q2 cyber training which included reviewing the IT Code of Conduct.
CS062	ICT: Security and cyber resilience - contribute to iTECS Cyber Security Awareness Leads group	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	Attend meetings, report to LT as required	On target	Attended Q2 meeting where additional e-learning resources were provided.
CS063	ICT: Security and cyber resilience - Cyber Essentials re-certification	Access to justice	BAU	Annual	01/11/2023	31/03/2024	S	- Cyber Essentials re-certification achieved	Not started	
CS064	ICT: Security and cyber resilience - implement Public Sector Action Plan for Cyber Resilience, monitor actions and report	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	H	- Acceptable level of residual risk - Exception reporting to LT - Up-to-date Information and Data related Policies and Procedures	On target	
CS065	ICT: Security and cyber resilience - Induction, training and user support	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- Users operating all systems effectively	On target	Q2 - shared resources for cyber security awareness month and added cyber induction pathway to SPSO Learning Hub.

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CS066	ICT: Security and cyber resilience - IS installation (network) - monitor the maintenance of security and cyber resilience standards by contractor	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Regular meetings with business partner and annual service report.	On target	
CS067	ICT: Technical Support - Level 1 ICT support - provided to ICT champs and staff, monitoring of ICT mail box, logging and tracking escalated calls with external contractors where required, providing IMSO support for eRDM system	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Appropriate response times for level 1 ICT requests - Escalated calls logged with external contractors in good time	On target	
CS068	ICT: Technical Support - Team ICT Champions - manage and support the network of Level 1 ICT support in teams.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- ICT Champs informed and confident, providing support effectively to team members	On target	Q2 - group continued to report developments to ICT and assisted with testing the DCR developments.
CS069	ICT: Technical Support - Video conferencing tools - provide support and administration for executive level on-line meetings	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Appropriate communication channels available for LT/Management to complete their roles and responsibilities	On target	
CS070	ICT: Telephony - monitoring and management of telephony network and hardware, including mobile communications and connectivity; providing technical support where required.	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	H	- telephony functionality available for staff to complete their roles and responsibilities	On target	
CS071	ICT: Telephony project - explore using MS Teams for telephony for areas of organisation with low volume of calls	Accessibility	Project	Project defined	01/04/2023	31/03/2024	M	End of project notice submitted to LT	Slippage	Q2 - iTECS have delayed the implementation of MS Teams Telephony due to resource being required for other key projects. iTECS have informed us that recording of MS Teams calls will not be available, ICT are exploring options.
CS072	Information Governance: Data protection group - maintain regular data protection group meetings with representatives across business areas raising awareness and feeding back learning	Standards	BAU	Quarterly	01/04/2023	31/03/2024	H	- report to LT in line with governance arrangements	On target	
CS073	Information Governance: Advice - provide a data protection and information governance advice and consultancy service for all SPSO business areas	Standards	BAU	As required	01/04/2023	31/03/2024	S	- actions and recommendations reported to LT	On target	
CS074	Information Governance: Breach response and monitoring - manage, record, review and monitor data security incidents and personal data breaches, and feedback learning	Standards	BAU	As required	01/04/2023	31/03/2024	S	- effective incident management and up to date log - Qtly updates to Leadership Team	On target	
CS075	Information Governance: Compliance - monitor data protection and information governance compliance (e.g. security and records management, risks, data processors etc.) and test the effectiveness of measures, and adherence to policies and procedures (and contracts)	Standards	BAU	As required	01/04/2023	31/03/2024	S	- Qtly assurance reporting to LT - data protection and information governance audits and compliance checks reported to LT	On target	
CS076	Information Governance: Data protection fee - review and update details and pay annual fee to the Information Commissioner (ICO)	Standards	BAU	Annual	26/11/2023	26/11/2023	S	- fee paid & registration up to date	Completed	
CS077	Information Governance: Data Protection Impact Assessments - carry out screening checklists and DPIAs of new and high risk processing, and review existing DPIAs	Standards	BAU	As required	01/04/2023	31/03/2024	S	- signed off by LT	On target	
CS078	Information Governance: Data Protection Officer - review and update DPO service Memorandum of Understanding	Standards	BAU	Annual	01/01/2024	31/03/2024	S	- MoU signed	Not started	
CS079	Information Governance: FOI and EIR statistics - submit data to Scottish Information Commissioner about our requests to see how FOI is used in Scotland, for publication.	Standards	BAU	Quarterly	01/04/2023	31/03/2024	H	- stats submitted to SIC	On target	

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CS080	Information Governance: Freedom of Information - log, track, monitor, and deal with FOI/EIR requests and reviews within statutory timescales	Standards	BAU	As required	01/04/2023	31/03/2024	S	- reporting performance against statutory target of 20 days	On target	
CS081	Information Governance: Freedom of Information - manage and respond to FOI appeals to the Scottish Information Commissioner	Standards	BAU	As required	01/04/2023	31/03/2024	S	- reporting to LT	On target	
CS082	Information Governance: Individual rights - log, track, monitor, and deal with data protection requests and complaints within statutory timescales	Standards	BAU	As required	01/04/2023	31/03/2024	S	- reporting performance against statutory target of one month	On target	
CS083	Information Governance: Individual rights - manage and respond to data protection complaints to the UK Information Commissioner	Standards	BAU	As required	01/04/2023	31/03/2024	S	- reporting to LT	On target	
CS084	Information Governance: Information asset register - maintain, review and update the asset register, and risk-assess information assets	Standards	BAU	As required	01/10/2023	31/03/2024	S	- up-to-date register - report to LT in line with governance arrangements	On target	Due to timeframe for data maturity catalogue, review now being carried out separately in Q4.
CS085	Information Governance: Leadership and oversight - data protection and information governance assurance reporting	Standards	BAU	Quarterly	01/04/2023	31/03/2024	h	- Qtly / YE assurance paper - DPO assurance statements - reporting to AAB - Annual report and accounts	On target	
CS086	Information Governance: Policies and procedures - maintain, review and update data protection and information governance policies and procedures (for e.g. FOI/EIR, rights, records management and security, breach management, business continuity, risks and DPIAs, data sharing, restricted transfers, purpose limitation, transparency, DP by design and default etc.) and supporting measures	Standards	BAU	As required	01/04/2023	31/03/2024	S	- signed off by LT	On target	
CS087	Information Governance: Publishing information - maintain, review and update SPSO Publication Scheme (incl. Re-use, and Open data)	Standards	BAU	As required	01/04/2024	31/03/2024	S	- publication scheme compliance reported to LT	On target	Combining a review with website refresh
CS088	Information Governance: Records Management Plan - maintain, review and update our RMP	Standards	BAU	Annual	01/04/2023	31/06/2023	S	- progress update review submitted to Keeper of Records Scotland	On target	PUR submitted - awaiting report.
CS089	Information Governance: Register of processing activities and lawful basis - maintain, review and update the ROPA (carry out information audits / data mapping exercises)	Standards	BAU	As required	01/10/2023	31/03/2024	S	- up-to-date register - report to LT in line with governance arrangements	On target	Due to timeframe for data maturity catalogue, review now being carried out separately in Q4.
CS090	Information Governance: Retention and disposal - ensure retention and disposal of casework documents in line with policy (non-casework automated in eRDM)	Standards	BAU	Quarterly	01/04/2023	31/03/2024	S	- annual assurance statement to LT - annual file location audit - 100% of hard copy case files located securely and correctly recorded on CMS - ad hoc updating as required	On target	WP file management issues resolved, file disposal up to date.
CS091	Information Governance: Training and awareness - maintain, review and update data protection and information governance training programme, provide induction and refresher training, and additional training for specialised roles, verify and monitor understanding, maintain, review and update guidance, and raise awareness of data protection, information governance and associated policies and procedures	Standards	BAU	As required	01/04/2023	31/03/2024	S	- evidence ALL staff receive induction/ update/ refresher training - annual declarations - training program signed off by LT	On target	
CS092	Information Governance: Transparency - maintain, review and update privacy information and notices	Standards	BAU	As required	01/04/2023	31/03/2024	S	- report to LT	On target	Updated as required. Review underway

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CS093	Ombudsman groups: contribute to OA (and other) special interest groups	Access to justice	BAU	As required	01/04/2023	31/03/2024	L	- As required	On target	
CS094	Ombudsman groups: manage membership	Access to justice	BAU	As required	01/04/2023	31/03/2024	L	- Representatives identified and resource available	On target	
CS095	Performance Reporting: Information governance - collation of quarterly statistics and year-to-date performance (FOI/EIR and DP rights requests, enquiries, appeals, incidents and complaints)	Standards	BAU	Quarterly	01/04/2023	31/03/2024	H	- Qtly / YE analysis report to LT	On target	
CS096	Performance reporting: Professional advice - collation of statistics and year-to-date performance	Access to justice	BAU	Monthly	01/04/2023	31/03/2024	H	- Qtly analysis report to LT	On target	
CS097	Performance Reporting: UAP - monitor application and effectiveness	Access to justice	BAU	6 monthly	01/04/2023	31/03/2024	H	- 6-monthly report to LT of effectiveness, including summary of who is being managed under policy, when it was applied, when review is due and who has been removed	On target	
CS098	Policy Handbook: all volumes - ensure reviewed and updated by owners, issued to LT for approval and published in line with policy review cycle and ensure effective dissemination	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff	Slippage	Some handbooks behind schedule, reasons noted by LT.
CS099	Policy Handbook: Complaints and investigations guidance and processes - review and update, disseminate through updates and training, and monitor practice	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	H	Report to LT Qtly confirming learning captured and action taken and planned	On target	Q1 changes made.
CS100	Policy Handbook: Finance- review, update and ensure implementation of good governance arrangements.	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- Internal audit report to LT	Completed	
CS101	Policy Handbook: Governance, risk and incident management policy - review annually in line with business planning process	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- Internal audit report to LT	Completed	
CS102	Policy Handbook: Information and Communication Technology (ICT): review, maintain and update ICT and digital Strategy and supporting guidance, particularly focussing on cyber security and resilience; disseminate through updates and training, and monitor practice.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Annual review undertaken and signed off by LT	Completed	Updated and published in Q2
CS103	Professional Advice Service: Annual Report on advice service	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	M	Report on service	On target	Year-end report, Q1 and Q2 reports issued
CS104	Professional Advice Service: deliver a well-resourced professional advice service	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	Continued reduction in the % of advice responses received in excess of 20 working days. (2016-17 Baseline 64.1%)	On target	Q2 advice turnaround time = 14.5 days Advices provided within 20 days = 75% Average allocation time = 6.4 days
CS105	Quality assurance: annual quality assurance plan proposal including QA of generic areas and specified identified areas - resolutions, DCR and telephone use	Access to justice	BAU	Annual	01/04/2023	01/07/2023	H	Proposal paper to QCPM.	On target	

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CS106	Quality assurance: Generic annual casework for PSC, SWF, INWO and advice	Access to justice	BAU	Annual	01/04/2023	31/03/2024	H	QA findings shared with all involved staff and summary reports and recommendations to QCPM	On target	DCR QA complete subject to final report being issued.
CS107	Service standards - monitor performance against service standards using internal and stakeholder feedback, and benchmarking against other ombudsmen services as far possible, and identify and implement improvements, feeding back to ISE for public reporting purposes and	Standards	BAU	As required	01/04/2023	31/03/2024	M	- Qly 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	On target	
CS110	Survey management: administration and advice on all electronic surveys issued, including Staff, ad hoc working groups, etc.	Access to justice	BAU	As required	01/04/2023	31/03/2024	M	- Results provided on time	On target	
CS111	Survey management: support the general use of MS forms or Survey Monkey application by other colleagues	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	L	Support provided on request	On target	
CS112	Climate change duties: Climate Change Assessment Tool - Workshop to reassess for 2023, and establish new actions for 2024-27	Access to justice	Project	Project defined	01/08/2023	01/12/2023	S	New assessment results and action plan	In-year addition: unallocated	* Planned to carry over to 2024-25, focussing on Climate Change Strategy to complete in Q4.
CS113	Review Climate change activities	Access to justice	Project	Project defined	01/07/2023	30/09/2023	H	Review of activities planned for year	C/F to next year	* To be reviewed after Climate Change Assessment Workshop CCAT in 2024-25
CS114	Performance Reporting: Equalities Monitoring - report regularly	Access to justice	BAU	6 monthly	01/04/2023	31/03/2024	H	6-monthly report to LT on equalities monitoring	On target	
CS115	BH: Facilities - SPSO office use revision project	Access to justice	BAU	Project defined	01/01/2024	31/03/2024	M	Scoping document to LT for project to implement agreed changes to use of office space.	Not started	Dependent on report from Future Working Group.
CS116	ICT: Applications - Case-handling system (Workpro) - Scope project for implementing enhancements to the system, including user interface (linked to CS048)	Access to justice	Project	Project defined	01/04/2023	31/03/2024	M	Project scoping document with options submitted to LT	C/F to next year	Q2 - decision made to carry this project to 2024-25. ICT will focus on implementing other outstanding Workpro development in 2023-24.
CS117	ICT: Applications - Case-handling system (Workpro) - develop e-learning on SPSO Learning Hub to improve induction and training experience	Access to justice	Project	Project defined	01/10/2023	31/03/2024	M	Workpro training uploaded to SPSO Learning Hub and accessible to staff	Not started	
CS118	ICT: Telephony - tender for SPSO casework telephony provider	Accessibility	Project	Project defined	01/11/2023	31/03/2024	H	Tender completed and successful supplier awarded.	In-year addition: on target	

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HR01	Finance: Audit, External - Shared services - Prepare and provide payroll, pension, staff and contractor information - provide evidence to External Auditor in good time	Access to justice	BAU	Annual	01/04/2023	31/08/2023	S	- Provide HR information in line with agreed dates	Completed	
HR02	Finance: Audit, External - SPSO Annual report and Financial Statements (including BH shared service) - Prepare and provide payroll, pension, staff and contractor information - provide evidence to External Auditor in good time	Access to justice	BAU	Annual	01/04/2023	31/08/2023	S	- Provide HR information in line with agreed dates	Completed	
HR03	Accreditation: Health and Wellbeing - Achieve Carer Positive Accreditation	Access to justice	Project	Project defined	01/10/2023	31/12/2023	L	- Research and scoping - Report and recommendations to LT - Accredited	On target	Research and scoring started in Q3
HR04	Accreditation: Corporate Social Responsibility - Maintain Living Wage status	Access to justice	BAU	Annual	01/04/2023	31/03/2024	H	- Annual accreditation with Living Wage Foundation - Annual pay negotiations with trade union	On target	
HR05	Accreditation: Become a Disability Confident employer	Access to justice	Project	Project defined	01/10/2023	31/03/2024	M	- Research and scoping - Report and recommendations to LT - Accredited	Not started	
HR06	Equalities, Diversity and Inclusion: Monitor, report and review practice	Access to justice	BAU	Annual	01/04/2023	31/03/2024	S	- Annual HR reporting process	Completed	EDI monitoring report completed in Q2
HR07	Equalities, Diversity and Inclusion: Develop EDI strategy and plan	Access to justice	Project	Project defined	01/07/2023	31/03/2024	H	- Research and development of strategy and plan with IDEA group - Report to LT with recommended strategy and plan	On target	
HR08	Equalities, Diversity and Inclusion: Develop EDI policy	Access to justice	Project	Project defined	01/07/2023	31/03/2024	H	- Research and development of policy - Consultation and agreement of policy with relevant IDEA group, LT and trade union	On target	
HR09	HR: Health and wellbeing - Implement well-being strategy and plan	Capacity	BAU	Annual	01/04/2023	31/03/2024	H	- Up to date wellbeing action plan - Quarterly HR reporting - % lost days due to sickness to not exceed PS average	On target	
HR10	Health and Wellbeing - Monitor and report on the activities and achievements of the Wellbeing Action Group.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Continue to encourage support from colleagues and deliver objectives of group. - Report summary of activities in the quarterly HR report	On target	
HR11	Health and Wellbeing - Implement recommendations following review mental health first aid provision	Access to justice	Project	Project defined	01/04/2023	30/09/2023	H	- Scoping training providers - Trained mental health first aiders in place (managers and volunteers)	Completed	Training delivered to managers and volunteers in Q2 and Q3
HR12	Learning and Development: Annual learning and professional development plan - annual manager training	Capacity	BAU	Annual	01/04/2023	31/03/2024	M	- Plan and deliver annual manager training sessions	On target	
HR13	Learning and development: Annual learning and professional development plan - prepare and fully resource plan, including specialist technical training for different staff groups as requested	Capacity	BAU	Annual	01/04/2023	31/03/2024	M	- PDPs completed and analysed with survey and IIP actions incorporated into L&D plan - Plan shared with all staff	On target	

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HR14	Learning and development: Annual learning and professional development plan - monitor progress against plan, particularly resources	Capacity	BAU	Quarterly	01/04/2023	31/03/2024	M	- Well skilled workforce - Collect feedback and evaluation of L&D activities - Quarterly report to LT - L&D activities delivered to budget	On target	
HR15	Learning and development: SPSO Learning Hub - Development and delivery of mandatory training, new start induction programme and skills refresher programme, recording and monitoring of training records	Capacity	Project	Project defined	01/04/2023	31/03/2024	M	- Implemented training programme - Producing individual training records - Producing management information reports - Quarterly HR reporting	On target	H&S, data protection and cyber security training being delivered through the Learning Hub, roll out of all mandatory training due to end in Q3
HR16	Learning and development: Explore best practice mechanisms for further raising awareness of and access to learning and development opportunities, including external opportunities.	Capacity	Project	Project defined	01/10/2023	31/03/2024	M	- Report to LT with recommendations	On target	Research into best practice started in Q3
HR17	Learning and Development: Review of competency framework and associated HR activities	Access to justice	Project	Project defined	01/01/2024	31/03/2024	M	- Updated and approved values-based competency framework - Update recruitment, performance management, learning and development processes and documents in line with review outcomes	Not started	
HR18	Learning and Development: Review offering, giving consideration to setting a minimum offering/CPD requirement, and access to external development opportunities	Capacity	Project	Project defined	01/10/2023	31/03/2024	M	- Project findings and recommendations	On target	Research into best practice started in Q3
HR19	Learning and Development: Performance Development Planning - Review PDP process and documentation	Capacity	Project	Project defined	01/10/2023	31/03/2024	M	- Research and scoping - Report and recommendations to LT	On target	Research into best practice started in Q3
HR20	Payroll: Shared Services - Manage and maintain payroll	Access to justice	BAU	Monthly	01/04/2023	31/03/2024	S	- Staff paid promptly and correctly - Successfully audited accounts	On target	
HR21	Payroll: SPSO - Manage and maintain payroll	Access to justice	BAU	Monthly	01/04/2023	31/03/2024	S	- Staff paid promptly and correctly - Successfully audited accounts	On target	
HR22	HR Operations: SPSO - Provide an effective HR service	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Quarterly and annual HR stats report to LT of the HR service, including - workforce composition, absence management, staff performance management (summary level not personal information) - trade union interaction - employee relations matters (including high level reporting on HR procedures e.g. capability, disciplinary, grievance, etc) - HR enquiries tracking	On target	
HR23	HR Operations: Shared Services - Provide an effective HR service	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	- Enquiries and time recording log - Service complaints performance	On target	
HR24	HR Strategy: Annual staff survey and accompanying action plan	Access to justice	BAU	Annual	01/04/2023	31/03/2024	H	- Analysis of survey and action plan produced for business planning	Slippage	Headline data shared with all staff, full report with accompanying action plan to be completed in Q3
HR25	HR Strategy: Workforce Planning - Development of a formalised workforce plan template outlining the current workforce, the future workforce and how the organisation can achieve its required future	Capacity	Project	Project defined	01/01/2024	31/03/2024	M	- Scoping, and report to LT with recommended template and plan	Not started	

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HR26	HR Strategy: Develop and implement HR and people strategy	Capacity	Project	Project defined	01/01/2024	31/03/2024	M	- HR and people strategy to LT - Incorporated workforce/succession plan	Not started	
HR27	HR Strategy: Hybrid working trial and policy development	Capacity	Project	Project defined	01/04/2023	31/12/2023	H	- Monitoring of trial and feedback to LT - Development of policy as agreed in consultation with LT, staff, managers and trade union	On target	Final survey feedback completed in Q2 and shared with LT, FWG and TU reps for comment. Manager workshop to look at business impacts planned for Q3
HR28	HR Strategy: Implement annual IIP assessment and agree actions	Access to justice	BAU	Annual	01/04/2023	31/03/2024	H	- IIP accreditation report with action plan produced for business planning - Annual IIP meetings to discuss progress against recommendations	Slippage	Slippage to action plan development due to HR capacity (links to HR24 above)
HR29	Resourcing: Monitor, plan and recruit to maintain appropriate level of staff resource	Capacity	BAU	Monthly	01/04/2023	31/03/2024	H	- Delivery of CS statutory duties - Achievement of KPIs	On target	
HR30	Reward and Benefits: Implement recommendations following review of staff benefits and reward mechanisms to raise awareness	Access to justice	Project	Project defined	01/07/2023	31/12/2023	M	- Clear and visible rewards and benefits offerings	On target	Awaiting ISE team project on Website review. WAG and CSR groups scoping options for Give As You Earn and Credit Unions.
HR31	Policy Handbook: Shared services - review and update, disseminate through updates and training, and monitor practice. (3-yr. rolling review of volumes)	Access to justice	BAU	Annual	01/04/2023	30/09/2023	H	- Review undertaken, consultation with trade union and signed off by LT	Slippage	
HR32	Policy Handbook: SPSO - review and update, disseminate through updates and training, and monitor practice. (3-yr. rolling review of volumes)	Access to justice	BAU	Annual	01/04/2023	30/09/2023	H	- Review undertaken, consultation with trade union and signed off by LT	Slippage	
HR33	Survey management: administration and advice on electronic surveys issued internally and relating to Staff, Learning and Development, etc.	Access to justice	BAU	As required	01/04/2023	31/03/2024	M	- Results provided on time - Results collated in quarterly HR reports, etc.	On target	
HR34	Survey management: support the general use of MS forms for internal feedback surveys that don't require complicated analysis	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	L	- Support provided on request	On target	
HR35	HR: Enhanced disclosure updated for all staff - implement a rolling process to ensure all staff have an up-to-date disclosure as appropriate to their role and SPSO security requirements.	Access to justice	Project	Project defined	01/06/2023	01/04/2024	S	Process for updating disclosures in place on a rolling 3-year basis.	On target	Planning for roll out of security checking began in Q3
HR36	Health and Wellbeing: Support Wellbeing Action Group to develop Health and Wellbeing Strategy	Capacity	Project	Continuous	01/04/2023	30/09/2023	L	Health and wellbeing strategy produced	Slippage	Draft strategy developed in Q1. Review of draft strategy in Q2 by the Wellbeing Action Group
HR37	HR: Records management - Preparing shared HR mailboxes for future Outlook mailbox migration	Capacity	Project	Continuous	01/06/2023	31/12/2023	L	- Plan for email records management - Improved long term electronic records filing process	Slippage	Plan for migration developed in Q1 but some slippage due to HR capacity

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IN01	Case-handling - Advice (provide advice and signposting; and manage Freephone telephone advice service)	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	95% of cases advice stage completed within 5 working days	Exceeded	Q1& Q2: 100% cases closed in 5 working days
IN02	Case-handling - Initial Assessment (assess suitability and maturity; take action on premature cases)	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	80% of cases closed/ moved to Investigation within 30 working days 95% of cases closed/ moved to Investigation within 60 working days	Slippage	Q1: 0% closed in 30 days 100% closed in 60 days Q2: 78% closed in 30 days 100% closed in 60 days
IN03	Case-handling - Investigations (including direct investigations and discontinued investigations)	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	90% of investigations completed within 260 working days	Slippage	Q1: No cases closed in Q1, but anticipate, given current case ages, that there will be slippage in future quarters. Q2: 80% closed in 360 days.
IN04	Case-handling - Recommendations and post closure engagement (follow up on recs and apply SIP as appropriate)	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	95% of recommendations followed up by deadline, and SIP engaged as appropriate	On target	No recommendations due to close in Q1 or Q2. 8 are pending for Q3.
IN05	Ensure INWO guidance and templates are updated regularly and in line with evolving case handling practices, including updates for 'discontinued' and 'resolved' cases, in year changes from peer review and L&D activities	Standards	BAU	Continuous	01/04/2023	31/03/2024	M	- Improvements identified through casework and QA - Guidance docs updated to reflect practices - LT informed of changes via quarterly reporting	On target	
IN06	Resourcing: Monitor case volumes and complexity to identify as soon as case numbers indicate the need for additional resourcing; take steps to seek resources and then recruit as appropriate	Capacity	BAU	Monthly	01/04/2023	31/03/2024	S/H	Adequate resources to complete statutory functions to time and quality. Report to LT through quarterly reporting	On target	
IN07	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	Capacity	BAU	Continuous	01/04/2023	31/03/2024	H	PDPs and team training plan in place	On target	
IN08	Performance standards - monitor performance against service standards using internal and stakeholder feedback and CSC, and identify and implement improvements	Standards	BAU	Quarterly	01/04/2023	31/03/2024	H	Quarterly report to LT as part of business plan update, including learning, recs and details of action taken and planned	On target	
IN09	Engage with ISE colleagues on intelligence on effective implementation of the Standards, supporting and advocating good practice. To include working with ISE to develop method for Standards monitoring.	Standards	BAU	Continuous	01/04/2023	31/03/2024	H	- See ISE BP - Implement an effective evaluation method to monitoring Standards - Updates and support for ISE work	On target	
IN10	Engage with other regulators on case-work, to ensure effective handling of high risk/ overlapping cases and effective signposting	Standards	BAU	Continuous	01/04/2023	31/03/2024	M	- Regular meetings with regulators - Case specific engagement where appropriate - report of activity to LT	On target	
IN11	Share casework intelligence, feeding into ISE and SHICG on themes and trends	Standards	BAU	Monthly	01/04/2023	31/03/2024	H	- Provide casework updates for SHICG as appropriate - Share relevant intelligence of themes and trends	On target	
IN12	Produce content for INWO section of the Annual Report and Accounts	Access to justice	BAU	Annual	01/04/2023	30/09/2023	S	AR performance content	Completed	

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IN13	Produce Prescribed Persons report for relevant period	Access to justice	BAU	Annual	01/04/2023	30/09/2023	S	Report given LT sign off and published	Completed	
IN14	Develop framework for speak up culture investigations with reference to WB Principles, reflecting INWO investigation practices, in consultation with NHS stakeholders.	Standards	Project	Project defined	01/04/2023	31/12/2023	L	- Framework developed - Incorporated internal and external stakeholder feedback - Sign off by LT and publish	Slippage	
IN15	Continue INWO customer survey approach for advice, monitored referrals and investigations; link with wider SPSO customer survey for advice	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- Continue customer service feedback system - Analyse feedback to identify service improvements - Report learning and improvements to LT	On target	
IN16	Update peer review process, with focus on qualitative outputs	Standards	Project	Project defined	01/04/2023	30/06/2023	M	- Revise peer review process - Update LT via quarterly reporting	Slippage	Through a series of meetings and actions, changes have been made. Draft produce 01/10/23 to be reviewed by TM & Holnv then to LT
IN17	Implement revised peer review process and take forward service improvements	Standards	Project	Quarterly	01/04/2023	31/03/2024	M	- Implement peer review process - Update LT via quarterly reporting	On target	
IN18	Review Workpro functioning, and work with ICT to take forward appropriate changes	Capacity	Project	Project defined	01/04/2023	30/09/2023	M	- Engage with team to identify improvements - Liaise with LT re scale of changes suggested - Liaise with ICT to take forward changes	Slippage	Draft produced by OCH, budget discussions. Holnv to approve Oct. 23. Completion date likely to be 31/03/23 dependent on ICT and budget.
IN19	Develop new SPSO whistleblowing policy	Standards	Project	Project defined	01/04/2023	31/09/2023	M	- Provide input to HR guidance - Gain LT sign off on guidance	Slippage	TM completing final amendments. New completion date likely to be 30/11/23.
IN20	Shadowing/ learning from site inspections (HIS) and culture reviews (NGO)	Standards	Project	Project defined	01/04/2023	31/03/2024	M	- Engage with HIS/ NGO - Set up inspection shadowing visits/ meetings - Reflect and report on learning via quarterly reporting	On target	
IN21	Regular and ad hoc engagement with WB Champions and their network	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	M	- Attendance at WBC network meetings - Ad hoc engagement with WBCs as requested	On target	
IN22	Review casework KPIs for 2024-5	Capacity	Project	Project defined	01/10/2023	31/03/2024	M	- Full analysis of case timescales at each stage of process - LT sign off revised KPIs	Not started	TM & Holnv to meet Nov 23. to discuss before bringing to Director at monthly managers meeting, likely to be Jan 24.
IN23	Develop the use of mediation in INWO, including developing mediation skills within the team	Capacity	Project	Project defined	01/04/2023	31/03/2024	M	- Update team skills - Develop standard approaches to mediated resolution - Include in INWO guidance - Evidence reduced timescales	On target	

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IN24	Develop methodology & implementation of staff surveys during info gathering & investigations with a few to BAU and best practice	Standards	Project	Project defined	01/04/2023	31/03/2023	M	- Build on work carried out during investigations - Develop methodology in INWO guidance - Develop team survey skills - Provide guidance to support boards	On target	
IN25	Work with HR to develop safety guidance for INWO site visits, following HIS site inspections	Capacity	Project	Project defined	01/04/2023	30/09/2023	L	- Provide input to HR guidance - Gain LT sign off on guidance	Slippage	CR has carried out some initial work and spoken to HRM. The thinking is to wait until at least one CR has been on a HIS inspection, completed the training and use that to feed in to this.
IN26	Support ISE with engagement work, including ad hoc INWO resources and materials, speak up week transition, contributions to network events and training materials as appropriate	Standards	Project	Project defined	01/04/2023	31/03/2024	M	- Work with ISE colleagues, providing input to resources and initiatives - Led by ISE timescales and commitments	In-year addition: on target	Delays in ISE recruitment has limited capacity. CO started Oct 23.
IN27	Work with ISE in reviewing data capture and use, particularly in relation to process for steering intervention based on casework intelligence	Standards	Project	Project defined	01/04/2023	30/09/2023	M	- Support ISE review, providing input as requested	In-year addition: on target	Delays in ISE recruitment has limited capacity. CO started Oct 23. CO has started analysis of Board annual reports Oct 23. HoInv will speak to CR in Nov to identify any other data sources.
IN28	Working with the Advice Coordinator, reflect on independent advice obtained on casework and identify learning/ improvements for process and advice received	Standards	Project	Project defined	01/10/2023	31/03/2024	L	- Review advice submissions for INWO with AC - Identify process changes - Report changes to LT	In-year addition: unallocated	Not started.
IN29	Develop and produce training materials for boards.	Standards	Project	Project defined	01/04/2023	30/06/2023	M	Measure engagement with resources through board feedback	Completed	
IN30	Analyse board annual reports, update good practice guide and produce findings report.	Standards	Project	Project defined	01/08/2023	30/10/2023	H	Report to LT. Measure against KPIs within the standards. Produce findings and update guide.	Slippage	Started Oct. 23 Analysis against KPI's - target date for completion including drafting of good practice guidance and findings report 30/12/2023.
IN31	Develop method and agreement for action learning project with NHS HR Teams	Standards	Project	Project defined	01/05/2023	31/03/2023	M	Hold feedback session (Niki to be involved). Report to LT. Get participant feedback.	In-year addition: on target	

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Team Role Descriptors & BAU										
1	To provide leadership and strategic direction to the ISE team, by empowering officers to lead, develop and reflect on practice that promotes continuous improvement. As a member of the Leadership Team work collaboratively with the Ombudsman & Director to ensure effective governance, discharge the functions of the strategic plan & provide evidence to the LGHC. Responsible for stage 2 CSC responses.	Capacity	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. BP quarterly meetings with the Ombudsman. 2. 6 monthly S&Q report feeding into AR. 3. Quarterly governance meetings. 4. Oversight and overall responsibility for project completion for each officer of ISE projects. 5. External Audit 6. ISE Internal S&Q report 7. CSCs	On target	Draft SQR in progress In office meetings to develop engagement strategy Weekly Officer 1-1s & PDPs
2	To lead, support and develop officers and administrators in the Engagement & Communications team to effectively achieve ISE team objectives. To deliver, review and report on the objectives of the Engagement and Communications Strategy. Provide a supportive role for everyone at the organisation to ensure we embed our principles of engagement and communications at the heart of the services we provide.	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Completion of ISE projects linked to Engagement and Communications team. 2. 6 month reporting on progress against the objectives in the Engagement and Communications Strategy. Review and updating of objectives as required. 3. Reporting on Engagement and Communications impact through internal S&Q report.	On target	
3	Provide internal legal and policy support across the office to further SPSO's strategic engagement goals and improve the quality and efficiency of casework and standards advice.	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Producing timely and regular horizon scanning information 2. Identifying and drafting responses to consultations and significant policy developments 3. Preparing briefings and other documents on request to support LT parliamentary and other engagements 4. Responding to requests from colleagues for support interpreting and applying legal advice or dealing with legal challenges 5. Liaising with solicitors when we need formal legal support for casework	On target	
4	To provide advice and guidance across SPSO and externally around compliance with the Model Complaints Handling Procedures and good practice in complaints handling in order to support learning and improvement.	Standards	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Responding to internal and external enquiries and requests for support 2. Participation in external networks and related meetings 3. Participation in and presenting to non-network meetings and engagement events 4. Drafting and issuing MCHPs and related guidance to BUJs 5. Standards monitoring, including intervention (SIP) and compliance checks where necessary (currently reactive, aiming to move to a more proactive footing). 6. Responding to LT ad hoc project requests	On target	
5	Project manager and service designer for development of a child friendly public service complaints process with responsibilities for supporting the standards and improvement work of the wider team	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Responding to internal and external enquiries and requests for support 2. Participation in external networks and related meetings 3. Development of, and lead on, project related workshops and meetings 4. Effective, efficient and timely management of the child friendly complaints project 5. Service design support & expertise for wider team projects	On target	
6	Building the public profile of SPSO and promoting our work, while providing support, knowledge and expertise in communications to all SPSO staff, ensuring our service is accessible to all	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Completion of ISE projects linked to communications. 2. Respond to requests for communications support from other internal business areas. 3. Publish compendium on time 4. Lead on and provide support for external and internal communications	On target	
7	Provide support and opportunity across SPSO for effective engagement and communication in a people centred and proactive way. Building trust in our service by communicating our brand in a positive manner, embedding wider knowledge sharing and learning and improvement to both internal and external stakeholders	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Completion of assigned ISE projects in Business Plan 23/24 2. Timely ad hoc communications support. 3. Publish compendium on time. 4. Lead on and provide support for external engagement activity	On target	Compendium continually published on time and ad hoc communications support and external engagement activity completed in a timely manner.
8	Provide support, develop and lead on the co-ordination and monitoring of information and data linked to SPSO performance reporting on a monthly, quarterly and annual basis both internally and externally.	Standards	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Quarterly reports prepared accurately and within deadline for QCPC 2. Annual statistics prepared for internal guidance and external publication 3. Respond to internal and external enquiries on SPSO statistics 4. Chair and participate in quarterly internal stats meetings 5. Build relationships internally across all levels and externally 6. Provide guidance, support and advice on SPSO stats/data capture 7. Build relationships and understanding of performance stats with participation in Workpro upgrade testing and Workpro report writing for all areas of SPSO	On target	
9	To provide support to the wider ISE team including handling the administration of the training courses, uploading reports, maintaining records of publications etc. To provide assistance for the Child Friendly Complaints Project by helping with administration. To maintain contact with the ICSCR and the Head of ISE regarding CSCs. Further assistance to other ISE team members as required. Triage of all ISE mailboxes daily	Capacity	BAU	Continuous	01/04/2023	31/03/2024	S/H	1. Effective management of ISE shared inboxes and timely response to emails. 2. Support for ISE team meetings and other ad hoc meeting support. 3. Other admin support for ISE team as required. 4. Calendar deadlines for all ISE team to be checked and updated quarterly 5. Specific measure for CSC/ICSCR work - report generation and narrative TBD 6. Maintaining records of products, policies and publications.	On target	
Statutory & High Priority Projects										
10	Website Refresh	Accessibility	Project	Project defined	01/04/2023	31/03/2024	H	1. Project scoping and planning complete in Q1. 2. Put in place process to monitor baseline analytics of current website. 3. Define statutory content requirements. 4. Identify accessibility requirements. 5. Develop user-tested website design. 6. Develop impact reporting methods.	On target	Q1: Project outline approved. Back end audit for efficiency and accessibility improvements completed. Agency sourced and contracted for front end accessibility audit. This audit is being conducted free of charge thanks to funding from Scot Gov totalling a cost saving of £9,000. Q2: Accessibility audits completed and reviews underway. A number of high priority actions identified which will be taken forward as part of the project. Back end audit reviewed and actions taken forward. User feedback survey in development for data collection in Q3.

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11	GCH & CIS review and update	Capacity	BAU Plus	6 monthly	01/04/2023	31/03/2024	H	1. Collect and analyse feedback from course surveys. 2. Make and implement agreed recommendations for course updates. 3. Annual reporting on feedback and changes.	On target	Q1: Implemented ongoing feedback and small changes made to administration of training to improve process. Set up of short term training working group in Q2. Q2: Collection of feedback as BAU. Minor updates made to courses.
12	NHS MCHP refresh	Standards	Project	Project defined	01/04/2023	31/03/2024	H	NOTE: exact plan/timings dependent on SG funding 1. MCHP drafting (statutory requirements) and preparation for consultation 2. Consultation 3. MCHP redrafting, finalising and publication 4. Engagement and familiarisation	Discontinued	The Scottish Government are not minded to progress with the review and refresh of the NHS CHP following the three supportive options from SPSO. We will continue to share good practice guidance and engage with NHS boards and networks to support good complaints handling.
13	Pilot of draft Child Friendly Principles & MCHP	Standards	Project	Project defined	01/04/2023	31/03/2024	H	1. Pilot in progress by start of year 2. Suite of KPIs 3. Qualitative & quantitative feedback during & after pilot from participants	On target	Agreed at LT meeting 11/10/23 to extend pilot indefinitely to allow maximum practical testing, with end of pilot and launch of MCHP linked to the UNCRC bill.
14	Development of Child Friendly SPSO C&I Guidance	Standards	Project	Project defined	01/04/2023	31/03/2024	H	1. Workshops w/ SPSO staff 2. Targeted pilot of proposals 3. New section of C&I guidance	On target	Initial workshop held w/ SPSO, HoISE & CFC project lead. Agreed next step is to arrange workshops w/ managers across SPSO.
15	Consultation on draft Child Friendly Principles & MCHP	Standards	Project	Project defined	01/11/2023	01/01/2023	H	1. Public consultation survey 2. Additional steps to consult in a child friendly manner 3. Findings to be fed into final versions to be laid before parliament	On target	Timescales changed to allow additional pilot testing, agreed at LT 11/10/23 to aim for a 1 November launch of consultation on CFC Principles.
16	Soft launch & Monitoring of Child Friendly Principles & MCHP	Standards	Project	Project defined	01/11/2023	31/03/2024	H	1. Final versions of CFC Principles & MCHP 2. Public awareness campaign 3. Suite of KPIs to monitor uptake and effectiveness of process	On target	Agreed at LT meeting 11/10/23 that launch will be postponed pending further info on timescales of UNCRC bill. Possible carry forward, will keep under review
17	SIP refresh training & monitoring of SIP	Capacity	Project	Project defined	01/04/2023	31/03/2024	H	1. Monitoring measure: developing how we will monitor this across the SPSO 2. Awareness raising of the SIP process internally	On target	Q1: Updated all staff at meeting on 4/4. Also met with PSC, INWO and SWF teams over April to cover changes to SIP (apart from one PSC team due to other diary commitments - planning to meet in Q2). Started developing set of narrated slides as a resource for new staff /refresher for current staff Q2: In July the narrated slides giving an overview of SIP were finalised, approved and shared with all staff; and the revised policy and information leaflet were published online and the information about SIP was also updated on our internal intranet. Covered changes to the policy with the last remaining team. Developed SIP level 1 email template for three separate teams and uploaded this to casework management system. Began monitoring SIP application and recording from the policy since the policy was revised.
18	Data strategy & Data maturity	Standards	Project	Project defined	01/04/2023	31/03/2024	H	1. Data action plan and strategy drafted. 2. Mechanism for monitoring progress to be built in to strategy.	Completed	Q1: Data action plan and strategy drafted and approval received from Leadership Team. Shared approach internally with SPSO staff. Initial conversations have taken place with team managers around resource need. Initial planning work has started to take forward objectives related to people (data working group, internal comms) and process (data catalogue).
19	Data strategy & Data maturity	Standards	Project	Project defined	01/07/2023	31/03/2024	H	1. Complete a data audit 2. Produce a data catalogue 3. Set up a Data Working Group 4. Develop internal comms for Data	On target	Q2: Data working group publicised internally and request for volunteers sent out. Secured numbers, may need more managerial input. Will have first meeting in Q3. Ongoing work towards a full data audit is underway by DL across Q2 & Q3.
20	Accessible and inclusive communications project	Accessibility	Project	Project defined	01/04/2023	31/03/2024	H	1. Review our current digital and print accessibility and inclusion against basic standards. 2. Project scoping and planning. 3. Implement changes and improvements (linked to web refresh project). 4. Develop internal guidance and training 5. Put in place process for review	On target	Q1: Linked to website refresh (BP10), we have contracted agency to conduct website accessibility audit. Q2: Website accessibility audits completed and actions taken forward in next Q.

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21	INWO SUW	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Agree theme for SUW 2023 2. Engage with Boards to launch and support plans for the week 3. Agree and develop INWO events/tools for SUW 4. Monitor and report on feedback from the week (engagement with events, social media, website traffic, feedback from meetings, etc.) 5. Monitor quarterly report data pre-and post-SUW to track impact	Completed	1. Theme agreed as Learning for Concerns for SUW 2023, with a daily focus Monday-Friday during the week 2. Launch webinar held at the end of August with territorial and special Boards to promote INWO planned events and resources for Boards, as well as offer an opportunity for Boards to share and discuss their plans for the week. Recording of the session was shared online. 3. Two main events planned: a recorded discussion between the Ombudsman/INWO and Executive Medical Director at NHS Lothian around encouraging a good speak up culture and a live webinar chaired by the SPSO Director with three speakers from within the NHS. Resources and events promoted in SPSO newsletter and INWO bulletin in the months leading up to SUW 4. Feedback from the week will be gathered and reported on in Q3 5. Quarterly report data pre-and post-SUW will be monitored in Q3
22	Stakeholder engagement	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Report to LT on progress against relevant objectives in the Engagement and Communications Strategy. 2. Launch new collection and reporting process for BUJ and customer satisfaction survey's across all business areas. 3. Delivery of virtual conference day. 4. Proactive support for ISE team on priority engagement activity. Monitoring and reporting on ISE engagement activity.	On target	Q1: Internal progress on developing our customer insight work. Review of survey design and distribution and scoping for insight gathered from interviews. Ongoing planning for SPSO conference day including sourcing venue and designing agenda.
23	Stakeholder engagement - satisfaction surveys	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Design and relaunch BUJ and customer surveys 2. Implement process for using data to inform service improvements	On target	Q2: Customer survey redesigned to be used for multiple case closure points.
24	Stakeholder engagement - SPSO conference	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Deliver in person conference in Q3. 2. Collect feedback and monitor impact	On target	Q2: Conference planning, marketing and communications ongoing.
25	Report writing skills training to ISE team	Standards	Project	Project defined	01/04/2023	31/03/2024	H	Complete initial training session and identify any further support needed	Completed	
26	Annual Reporting & S&Q report	Access to justice	Project	Project defined	01/04/2023	31/03/2024	S/H	1. ALL ISE team members will report on their BP items in the AR focussing on impact & outcomes of BAU & projects. 2. These will be less text heavy than previous years. 3. Interim ISE internal S&Q report at 6 month 4. Full Internal ISE S&Q report at year end	On target	Draft report started Team meeting to develop engagement strategy and awareness using data
27	Annual Performance and Finance Report	Accessibility	Project	Annual	01/04/2023	31/10/2023	S/H	1. Publication of Annual Performance Report and lay before Parliament on time	Completed	Q1: Annual report drafted and submitted to auditors on time. Q2: Annual report complete and signed off by auditors. Will be laid before Parliament and published online in October.
In-year, ongoing & Short life projects										
28	Prison communications	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Evaluate content, accessibility and availability of current prison-based SPSO materials (for both SPS and NHS complaints) 2. Determine prisoner needs re SPSO materials 3. Draft content for new materials 4. Engage with SPS and NHS to ensure materials available to prisoners	On target	Q1: Ongoing attendance at the Prisons collaborative to scope out communications resources need. Q2: Ongoing discussion in relation to content, accessibility and availability of prison-based SPSO materials. Meeting Independent Prison Monitors in Q3 as part of the collaborative and will discuss materials as an ongoing theme.
29	INWO training development	Access to justice	Project	Project defined	01/01/2024	31/03/2024	M	1. Engagement and Comms to work with INWO to migrate training to our Moodle platform. 2. Develop/adapt Investigation Skills training course for INWO	On target	Q2: Research of available whistleblowing training completed. Recommendations for improvements will be reviewed and actions taken forward.
30	Positive feedback	Access to justice	Project	Quarterly	01/04/2023	31/03/2024	M	1. Process for business wide positive feedback collection standardised and communicated internally. 2. Plan developed for using positive feedback for L&I and communication purposes.	Completed	Q1: Coding of unsolicited positive feedback ongoing. Initial planning to introduce data into internal communications and reporting. Q2: Data is now being reported and shared at internal performance meetings. Project complete and further usage of feedback will be taken forward in project 43.
31	ChF training development	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Development of a suite of online training for public sector staff on child friendly complaints.	C/F to next year	
32	ChF suite of resources	Access to justice	Project	Project defined	01/04/2023	31/03/2024	H	1. Development of a suite of materials to support stakeholders in their understanding of children's rights in the complaint system.	C/F to next year	
33	Baseline catalogue of policies and due dates for updating	Capacity	Project	Project defined	01/04/2023	31/03/2024	M	1. Catalogue complete and plan in place for monitoring and updating.	Completed	
34	Training support & advice for other internal business areas' projects	Capacity	BAU	As required	01/04/2023	31/03/2024	M	Support provided as required for training development to support value added / new guidance or policies across SPSO and external	In-year addition: on target	
35	Update CSC to align with MCHP	Standards	Project	Project defined	01/04/2023	31/03/2024	H	1. CSC, as our procedure for dealing with service complaints, should align with published MCHP (SG etc model) 2. Awareness raising sessions with staff	On target	Draft to be sent to LT for comment then approval in Q3 and Q4, for use from 24/25 onwards.
36	Work with SWF to develop web tools, resources and training materials for LAs, to improve practice and promote learning	Capacity	Project	Project defined	01/04/2023	31/03/2024	L	1. Project scoping complete and development of new training module(s) and/or resources.	On target	Q2: Initial discussions and scoping.
37	Create complaints handlers forum for water providers	Standards	Project	Project defined	01/04/2023	31/03/2024	L	Consider creating a good practice forum (not a network) run by ISE with support from PSC for water providers.	In-year addition: unallocated	Forum will meet infrequently, to emphasise and supplement good practice materials

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38	Update PSC case assessment form	Standards	Project	Project defined	01/04/2023	31/03/2024	M	Updated case assessment form to direct consideration at the start to identify if there is a possibility of good or poor complaints handling.	In-year addition: unallocated	Based on feedback and analysis this would add value and enhance data collection. Would allow CRs to pick this up in addition when assessing cases. Q1: Legal Group looking into this form generally as a project.
39	Review Customer Service Standards	Standards	Project	Project defined	4/1/2022	3/31/2023	M	Review wording to simplify and streamline and allow better data collection / application of the standards. Ensure that template letters at stage 2 link directly in wording to the standard being referenced.	In-year addition: unallocated	Consider after CSC updated into MCHP.
40	SPS Residential First Line Manager CH Practitioners Network	Standards	Project	Project defined	10/1/2023	3/31/2024	H	Collaborative approach agreed with SPSO LT (for CR involvement) and with the SPS. Working jointly with 'expert CR' Terms of reference for network identified and agreed. Network introduced as BUA with support from ISE/Standards staff.	On target	Following SPSO meeting with SPS CEO in Q3 and follow-up meeting of Prisons Collaborative, ISE will contact SPS HQ and prison complaints handlers to set up first meeting of network.
41	INWO stakeholder Engagement	Access to justice	Project	Project defined	4/1/2023	3/31/2024	H	Activities to include: Launch of speak up week (Oct 23) Launch of toolkit and resources (Q1/2) Further activities for consideration 23/24: 1. Proactive engagement with Confidential Contact network (including presentations and supporting network events) 2. Draft INWO e-bulletin (with support from INWO team)	On target	Continued from this years work including SUW to be moved up when new ISERO in post.
42	Develop methodology for monitoring standards (PSC and INWO)	Standards	Project	Project defined	4/1/2023	3/31/2024	S/H	PSC: 1. Identify and confirm data sources to be used for monitoring e.g. BUJ annual reports, MCHP KPIs, SIP data, Workpro complaints handling marker, recommendations database, ongoing engagement with BUJs. 2. Develop method for using data sources to monitor standards, e.g. targeted sampling, benchmarking 3. Consider most useful output from monitoring, e.g. biannual standards and quality report. INWO: 1. Review current approach to monitoring Standards for INWO (engagement with INWO) 2. Develop approach to monitoring Standards for INWO (see above possible PSC approach)	Not started	Will be started in Q3 after Speak Up Week 2023 is over and resources become available. Outline plan to be discussed with HoISE before sending to LT for comment.
43	Monitor and seek to influence legislative developments that affect complaints handling and SPSO. Including responding to appropriate consultations; actively seek out opportunities to engage with key stakeholders.	Accessibility	Project	Project defined	4/1/2023	3/31/2024	S/H	We've told parliament this is on hold because of the volume of legal change in the social care/health sector. We are now pursuing this through other vehicles such as the HR bill.	On target	
44	Proactive media relations	Accessibility	Project	Project defined	01/04/2023	31/03/2024	M	1. Project scope prepared and signed off 2. Refreshed media monitoring	Completed	Q1: issued press release for launch of annual stats. Media monitoring and reporting built into new quarterly communications report. Q2: Project completed. Proactive PR to be taken forward as BAU. Media monitoring process established and reporting quarterly.
45	e-newsletter refresh	Accessibility	Project	Project defined	04/01/2023	3/31/2024	M	1. Review and refresh newsletter design 2. Monitoring impact	Completed	Q1: Refreshed designs have been developed for testing and new process for tracking impact implemented. Q2: new newsletter design launched. Ongoing impact monitoring.
46	Internal communications refresh	Capacity	Project	Project defined	04/01/2023	3/31/2024	M	1. COPs and Working Group engagement and communications 2. Intranet updates 3. Teams usage and guidance 4. Use of positive feedback (see line 31) for internal comms	On target	Q1: Linked to Data project, planning ongoing to launch internal newsletter. Q2: No further update to project.
47	Develop/refresh protocol for dealing with new BUJs	Standards	Project	Project defined	01/04/2023	31/03/2024	M	Either create new protocol, or refresh existing protocol, for introducing new BUJs (and possibly OBOs) to SPSO and their complaints handling responsibilities.	On target	Although new BUJs/OBOs are not common, there is a risk in not getting it right first time in our interactions with new BUJs. First step is establishing if the new BUJ or OBO is within SPSO jurisdiction. Simple operational protocol to be developed in Q3 and Q4 by ISE for approval by HoISE.
48	Scope out project for Rights based approaches to investigating complaints	Standards	Project	Project defined	04/01/2023	3/31/2024	L	Work with SHRC and ChF ISERO / ISERO (NHS CHP) to embed rights based approaches	Not started	This will be dependent on further information regarding how SPSO's role might be affected by the outcome of the Human Rights Bill, and SG updates from NHS CHP
49	Develop INWO Speak Up Culture framework	Access to justice	Project	Project defined	01/04/2023	31/03/2024	M	1. Work with INWO Team to develop a best practice tool/framework relating to Good Speak Up Culture	Not started	Joint project with INWO Team. Development will be influenced by review of/feedback about SUW2023 and NHS Board annual whistleblowing reports.
50	Change internal inboxes to all start with ISE-	Accessibility	Project	Project defined	01/04/2023	08/05/2023	M	1. All inboxes will be changed	Completed	
51	Create internal sheet to direct CRs in direction of relevant ISE team member	Accessibility	Project	Project defined	01/04/2023	29/09/2023	M	1. ISE directory sheet to be completed with job titles and contacts for areas	Completed	
52	Create external sheet to direct BUJs in direction of relevant ISE team member	Accessibility	Project	Project defined	01/04/2023	29/09/2023	M	1. ISE directory sheet to be completed with job titles and contacts for areas with only shared mailboxes for external use.	Completed	
53	Create external directory of key contacts for officers to direct them towards relevant BUJs / Contact network chairs etc.	Accessibility	Project	Project defined	01/04/2023	08/05/2023	M	1. External directory created 2. 6 monthly update / check on key contacts on a cyclical basis	Completed	
54	Develop FAQs for BUJs under 'For Organisations' section of SPSO website	Standards	Project	Project defined	01/10/2023	31/03/2024	M	1. Identify key FAQs asked by BUJs 2. Draft answers for FAQs 3. Request Comms to create FAQs webpage and publish FAQs	On target	First FAQs to be written after Q3's SPSO Conference and posted on SPSO website during Q4.

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55	Rewording how we define our purpose	Standards	Project	Project defined	01/10/2023	31/03/2024	L	Wording to be defined and updated in line with our statutory functions	Not started	Aim to consider in Q3/Q4 after Speak Up Week 2023 is over and resources become available, and after LT consider updates to SPSO values.
56	Complaints & Vulnerability mapping project	Standards	Project	Project defined	01/06/2023	31/03/2024	H	1. Map complaints data against geographical areas, SIMD and demographics. (Insight Off) 2. Map third sector organisations in targeted areas to engage with. (Insight Off) 3. Develop stakeholder engagement groups to raise awareness. (ISEROs)	On target	Insight officer to lead with HoI support in stages 1&2. DL Q1 Update: began gathering and cleansing PSC closed case data from 22/23 and linking to SIMD data. DL Q2 Update: Report of total complaints by Authority and SIMD Decile 1-4 cases by Authority drafted for review by ISE team 23/10/23. After NIPSO presentation 04/10/23 SWF Mgr expressed interesting in plotting SWF cases by SIMD, provisionally scheduled for Nov/Dec'23. E&C team to support with visual mapping. ISEROs to support with engagement and networks.
57	Section 19 - Guidance project	Accessibility	Project	Project defined	5/1/2023	3/31/2024	H	Guidance for using section 19 when there are adult and child protection issues developed and shared with CRs.	On target	
55	Excel Training *new addition	Capacity	Project	Project defined	4/1/2023	1/31/2024	M	1. All ISE officers will be training to a minimum standard as defined by HoISE 2. Officers will have the opportunity to develop advanced skills following on from the minimum requirements	On target	TA researched Excel training, shared with CS. Existing training provider supplying excel training based over a series of modules, last two are advanced skills that are optional.
56	Hosting vulnerabilities workshop resources	Capacity	Project	Project defined	8/1/2023	3/31/2024	M	Resources hosted and shared	On target	Q2: Initial discussions and scoping.
Other BAU that are not contained in section 1										
57	Customer Service Complaints, monitor and report on performance in service complaints handling. SIP reporting to be included in BUJ themes and trends on a separate tab for all levels showing actions taken. Linked to LT issue log	Accessibility	BAU	Quarterly	01/04/2023	31/03/2024	S/H	Preparation of quarterly customer service complaints reports presented to Leadership Team. Data TA and TA supporting development and fulfilment of reports.	On target	Comms to publish following sign off. New format CSC quarterly report to be replicated for Q1, further development expected for Q2. SIP - new Workpro drop down launched which should improve reporting. Q2 Update: DL has taken on CSC reporting.
58	Customer Service Complaints, liaise with the Independent Customer Service Complaints Reviewer ICSCR	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	H	Respond to ICSCR requests in a timely manner as required of ICSCR. 3 weekly catch up with ICSCR.	On target	Q1: TA supporting collation of data on CSCs including time spent for TA and ICSCR. TA developing shared workspace to cut down on time. Q2 Update: Connect workspace in place for ICSCR to use to access files. Random file read will take place in Oct / Nov.
59	Refine INWO related training materials based on feedback	Capacity	BAU	Monthly	01/04/2023	31/03/2024	L	Refinement of TURAS modules	On target	User surveys analysed monthly. Changes made as necessary. Q2: feedback analysed. No updates required.
60	Whistleblowing practitioners forum.	Standards	BAU Plus	Project defined	01/04/2023	31/03/2024	M	Regular meetings of a forum for whistleblowing practitioners.	On target	Once forum chair is found from NHS, this item will be completed and move to BAU along with existing BUJ networks - it is important for sectors to take ownership of their networks.
61	Review ISE resource requirement, plan, prepare and run ISE recruitment as required.	Capacity	BAU	Quarterly	01/04/2023	31/03/2024	H	Recruitment needs agreed by LT.	On target	HoISE completed recruitment of temp post. New ISERO starts October 2023.
62	Performance Reporting: Annual stats - preparation and data cleansing Stats production and checking	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	Published on website	Completed	2022-23 Annual stat reports prepared and passed to Comms for checking and publication. Annual stats were published June 2023.
63	Information Management - build, develop and maintain statistical reports from case-handling system (Workpro)	Capacity	BAU	Continuous	01/04/2023	31/03/2024	S/H	Scheduled reports accurate and issued on time	On target	DL Q1 Update: current ad hoc work on reports with ICT Analyst until report writer training in Aug '23. DL Q2 Update: training completed, currently updating the Reports Subscriptions and Dataset Index as part of data audit (see BP5 Data Strategy), development paused due to Workpro freeze (expected to be lifted mid-October).
64	Sharing Casework Intelligence COP information/learning with Reviewing Officers to ensure learning improvement or SIP work is effective	Standards	BAU	Continuous	01/04/2023	31/03/2024	M	Ensure casework intel feeds into learning and improvement work	Discontinued	DL Q1 23/24 Update: this COP will be superseded by the Data Strategy Project / Data Working Group
65	Build capacity throughout office in knowledge sharing, and monitoring performance through information from SPSO casework management system	Standards	BAU	Project defined	01/04/2023	31/03/2024	S/H	Identifying opportunities and supporting initiatives to build confidence and skills within office to run statistical reports and/or draw down information from casework management system.	On target	DL Q1 Update: pre-QCPM meetings will be held with Heads Of to review Dashboard, BUJ T&T and develop understanding / build knowledge. DL Q2 Update: in addition to QCP meetings, developing knowledge through work with ICT Analyst on Workpro reports (amendments/building new) and ongoing work on Equalities report with LPO & A&G Mgr.
66	National Care Service - engagement and support	Standards	Project	Project defined	04/01/2023	31/03/2024	H	Establishment of NCS complaints service/CHP (with SG's Directorate for Social Care and NCS development).	On target	Yet to be confirmed how much time and resource this will need from SPSO, working with SG to confirm.
67	Style and Hub guide	Accessibility	Project	Project defined	01/04/2023	31/03/2024	H	1. Brand and Style Hub launched including training. 2. Review and update of hub as needed.	Completed	Q1: Hub launched internally.
68	Short life paper on what papers / documents are public or not and from which court system they come	Access to justice	BAU Plus	Continuous	01/04/2023	31/03/2024	M	Confirm scope and prepare paper	Completed	
69	Tracking CSC recommendations / actions	Standards	BAU	Project defined	01/04/2023	31/03/2024	H	1. Fortnightly report for LT to track CSC recommendations and findings for ICSCR Tracker	Completed	Q4 22/23: added Recommendations to CSC Received and Closed report for manually tracking cases, draft report to AS for comment - new CSC case type will track this.
70	Revisit Quarterly basic data set?	Standards	BAU Plus	Project defined	4/1/2023	3/31/2024	H	Can we have a pilot with a sector to upload basic MCHP data that will generate the opportunity for us to look for themes and trends and then put in support	C/F to next year	

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71	Development of analysis of data sets captured by LA / NHS	Accessibility	Project	Project defined	01/04/2024	31/03/2025	M	Development of the use of Scotland wide data that will influence reporting, engagement and theme analysis	C/F to next year	Follow on from Vulnerabilities project.
72	Support for active litigation	Capacity	Project	Continuous	01/09/2023	31/03/2024	H	SPSO respond appropriately to claims or legal action taken by others in relation to casework	On target	
73	Human Rights Framework	Access to justice	Project	Project defined	01/09/2023	31/03/2024	H	Support for engagement with SG and stakeholders around proposals for a human rights framework bill	On target	
74	Mediation Project Group	Access to justice	Project	Project defined	8/1/2023	3/31/2024	M	Participate in SPSO project to produce internal guidance for SPSO CRs to use mediation in case handling.	On target	ISE staff involved in several project workstreams. ISE will have role in developing and publishing engagement materials about SPSO's approach to mediation.

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PS01	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	01/04/2023	31/03/2024	S	PI1 95% of cases where advice stage was completed within 5 days	On target	Q1 - 98% Q2 - 99%
PS02	Case-handling - Early resolution, Investigations Level 1 & 2	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	PI2-30 50% of cases where ER stage was completed within 30 days PI2 95% of cases where ER stage was completed within 80 days	Slippage	External target: Q1 - 53% Q2 - 58% Internal target: Q1 - 33% Q2 - 33% We are continuing to close older, covid legacy cases and this will continue to impact on this PI for the remainder of the year. Older cases are being monitored closely and prioritised to continue to work towards the PI target by the end of the year.
PS03	Case-handling - Investigations Levels 1-4	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	PI3-130 20% of cases where Investigation stage was completed within 130 days PI3-195 50% of cases where Investigation stage was completed within 195 days PI3 85% of cases where Investigation stage was completed within 260 days	Slippage	External target (260 days): Q1 - 25% Q2 - 26% 195 days target: Q1 - 17% Q2 - 12% 130 days target Q1 - 5% Q2 - 2% As above, we are continuing to close older, covid legacy cases and this will continue to impact on this PI for the remainder of the year. Older cases are being monitored closely and prioritised to continue to work towards the PI target by the end of the year.
PS04	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	01/04/2023	31/03/2024	M	- input information/ papers to LT - attendance at meetings - feedback to LT	On target	
PS05	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	01/04/2023	31/03/2024	M	- feedback for SPSO specific items - OA published minutes - ad hoc reports and recommendations as required	On target	OA First Contact Network chaired 30/6/23 with good attendance from members from across the UK.
PS06	Service standards - regularly review our communications with complainants about timescales and delays to our service to complainants and BUJs through the process to ensure it accurately reflects what is happening in practice	Capacity	BAU	Continuous	01/04/2023	31/03/2024	H	Improved communication with complainants.	On target	May 2023 - Website and new complaint acknowledgments updated to notify of reduced allocation time - 4 months.
PS07	Resourcing: monitor and plan recruitment to maintain appropriate level of staff resources for C&I	Capacity	BAU	Monthly	01/04/2023	31/03/2024	S/H	- Achievement of KPIs - Carry forward of cases at year end in line with target of less than 1000	On target	Continuing to ensure recruit to full capacity as required, although noting that from August 23 the additional 5 FTE fixed term cry covid recovery resource came to an end.
PS08	Manage, monitor and report on the performance of the Service Improvement Forum	Standards	BAU	Quarterly	01/04/2023	31/03/2024	M	Report of actions to Casework Performance Management Meeting	On target	SIF have met, April, July and October. Completed : Responding to challenging correspondence LT commissioned project. Ongoing : agile project development PSC & SWF (see internal comments for link to tracker). HSCP generic mail boxes - LT paper prepared for consideration Oct 23.

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PS09	Close monitoring of allocation pool management to ensure all cases are progressed within agreed parameters (reviewed regularly by PSC management team), in particular priority cases	Capacity	BAU	Continuous	01/04/2023	31/03/2024	H	Regular reporting and review through PSC monthly meetings to monitor and ensure quarterly improvements	On target	Agreed to move HE/FE subject specific form into next years BP to allow time to pilot health subject specific form.
PS10	Ongoing roll out of Workpro training activities to ensure all users are familiar with requirements and functions	Capacity	BAU	Continuous	01/04/2023	31/03/2024	M	Regular training and updates throughout the year	On target	
PS11	Workpro development work to improve efficiency and impact including i) exploring the option of adding a new section to Workpro to capture added value of SPSO involvement/activity ii) reviewing fields to ensure they are capturing only information we require iii) improving the movement of complaints to/from dcr and iv) exploring the option of embedding the case assessment form into Workpro once it has been reviewed and revised to ensure fit for purpose	Capacity	Project	Project defined	01/04/2023	31/03/2024	H	Recommendation agreed and implemented	On target	i)Project to consider this started in October 2023. Contact has been made with other Ombudsman organisations to ask if/how they record this. ii) Project team have reviewed Workpro fields and a final report has been drafted. iii) Complete A&G & DCR. improvements to go live on 30 October. iv) this is being taken forward by Legal Group.
PS 12	Review our templates to ensure they are consistent with our current process, contain subject specific information and appropriately manage expectations including i) implementing and monitoring the new health online complaint form ii) designing HE/FE subject specific online complaint form update with a self assessment tool to assist complainants to provide the information we need to investigate iii) considering the use of videos/alternative formats to explain our role and process iv) reviewing the use of leaflets v) ensuring we have clear up front communications of what we expect from complainants, proportionality/proportion of complaints to investigation, the use of the term investigations and redress (updating our redress policy to clearly explain what we can achieve)	Accessibility	Project	Project defined	01/04/2023	31/03/2024	M		On target	Agreed to move HE/FE subject specific form into next years BP to allow time to pilot health subject specific form
PS13	Review and produce guidance for BUJs on the way in which they share information with us, including scans	Capacity	Project	Project defined	01/04/2023	31/03/2024	H	Guidance produced	On target	We have met NHS Boards who do not currently use Connect to ask that they start doing so. Sectra IEP has been trialled and meets our needs. Three CRs are trialling PSOW approach to sharing evidence with advisers.
PS 14	Develop prisons action plan to include i) building links with prisons monitors to ensure effectively signposting ii) reviewing and improving SPSO stationery to support prisoners in progressing their complaints iii) working with NCPAS prison complaint handlers to improve stationery used within SPS	Accessibility	Project	Project defined	01/04/2023	01/07/2023	M	Action plan produced	On target	Prison collaborative have developed a briefing and issues document (rather than action plan). i)Meeting has been arranged for Prison collab members and A&G colleagues to meet with Prison Monitors, Nov 23. ii) A&G have developed stationery to support prisoners progressing health complaints. iii) CSA to progress via NCPAS
PS15	Review the learning from the unallocated pool project to identify mechanisms for sifting and triage of post DCR cases going forwards	Capacity	Project	Project defined	01/04/2023	01/07/2023	H	Proposed changes to allocation pool management	On target	Project timescale extended to end year to allow monitoring of reduction in staffing in this area alongside significant reduction in allocation pool size since the start of the project. Allocation pool continues to be closely monitored in the meantime and temporary resourcing identified with 2xCRs providing assistance.
PS16	A&G develop personal self-reflection process to review A&G telephone call recordings to share good practice and develop skills/techniques/tools	Capacity	Project	Project defined	01/04/2023	01/10/2023	M	process developed, implemented and tested	On target	
PS17	Review existing mechanisms for cross team/inter-team working, to support greater cross team working, including considering the introduction of protected time for activities	Capacity	Project	Project defined	1/10/23	31/03/2024	M	completion of review with recommendation	On target	

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PS18	Quality - consider introducing the use of read aloud software and greater peer review for checking quality and accessibility of our casework communications and to potentially support us to help streamline the structure of our decision letters	Access to justice	Project	Project defined	01/10/2023	31/03/2024	M	Consideration completed with recommendations	On target	
PS19	Efficiency - update the process to request and access consent forms – clarify consent forms to make it easier for people to fill in	Capacity	Project	Project defined	01/07/2023	01/10/2023	M	process updated	Not started	
PS20	Continue to support accessibility of service through i) providing support/pathways for neurodivergent individuals to access our services iii) continuing to capture and analyse the reasons for reasonable adjustments on Workpro – clearly linking requested adjustment to the requirement and capturing reasons/rationale for this iv) continuing to improve access to different types of forms (e.g. word docs, paper forms) to be as inclusive as possible and iv) using data to inform our engagement strategy in terms of reaching under represented groups	Accessibility	BAU	Continuous	01/04/2023	31/03/2024	M	annual reporting	Completed	i) All A&G colleagues are now experienced in scribing new complaint submissions for complainants who require support in accessing our service. We have maximised opportunities to signpost more regularly to SPSO's making a complaint video. ii) Workpro captures all agreed reasonable adjustments and the reason for the adjustment request if this has been disclosed by the complainant. Online and paper form invites complainants to advise us if they require an adjustment, this is also discussed during the introduction telephone conversation with CR and included in the introduction telephone conversation script/phone note. iii) SPSO's paper complaint form has been revised and relaunched. iv) Reasonable adjustment request data has been analysed. Dyslexia is the most common reason for adjustment requests. All staff information session has been scheduled for January 2024 to broaden our understanding of the needs of dyslexic service users.
PS21	Consider our approach to thematic reports and whether these need to be increased to drive efficiency and impact in our casework process.	Capacity	Project	Project defined	01/10/2023	31/03/2024	M	completion of review with recommendations	Slippage	
PS22	Case handling guidance: Consideration of developing resolutions approach and guidance to include mediation style approaches	Access to justice	Project	Project defined	01/07/2022	31/03/2023	H	Presentation of business case to LT	On target	Refreshed group identified and invitation to first project group meeting sent.
PS23	Progress recommendations from Prison Health Premature Complaints Study - present findings to NCPAS - improve SPSO stationery to support prisoners in progressing their complaints - research options for advocacy and support in SPS establishments to improve A&G signposting knowledge	Accessibility	Project	Project defined	01/04/2022	01/09/2022	M	recommendations agreed with NCPAS and impl	On target	Meeting to discuss findings with NCPAS members held on 11 August (CSA colleagues to take this aspect of the project forwards). A&G have obtained list of signposting organisation from SPS.
PS24	Draft SPSO IDEA Framework	Accessibility	Project	Project defined	01/06/2022	01/03/2023	M	Approval by LT	On target	This paper was part drafted 2020/21 and requires further work by A&G Manager.
PS25	Explore option of creating CR bubbles to provide additional casework support to CR's	Capacity	Project	Project defined	01/10/2022	31/03/2023	M		On target	

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SW01	Case-handling times - SWF Reviews of Crisis Grants	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	95% of cases closed or progressed in 1 working day or fewer (from receiving all information)	Exceeded	Met in 100% of reviews
SW02	Case-handling times - SWF Reviews of Community Care Grants	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	95% of cases closed or progressed in 21 working days or fewer (from receiving all information)	Exceeded	Met in 100% of reviews
SW03	Case-handling times - SWF Reviews of Self-Isolation Support Grants	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S	95% of cases closed or progressed in 1 working day or fewer (from receiving all information)	Discontinued	No SISG reviews received in Q2 - scheme closed in January 2023.
SW04	Case-handling process SWF - monitor practice, review and update case handling guidance, and disseminate through updates and training	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	S/H	Report to LT quarterly confirming learning captured and action taken and planned	On target	Recent addition regarding the prioritisation of cases where there is unusually high levels of risk or detriment approved by LT Oct. 23
SW05	Reconsiderations	Access to justice	BAU	As required	01/04/2023	31/03/2024	H	95% of decisions are correct, Quarterly reporting to LT	Exceeded	Decision correct in 100% of cases
SW06	Monitor SG SWF Guidance, provide feedback and engage in SG review	Standards	BAU	As required	01/04/2023	31/03/2024	S/H	Ad hoc updates and annual report to LT	On target	SG Action plan on hold due to recruitment.
SW07	Produce content for SWF section of annual report	Access to justice	BAU	Annual	01/04/2023	30/08/2023	S	Published Annual Report	Completed	Added SG figures in August.
SW08	Resourcing: monitor, plan and arrange recruitment to maintain appropriate level of staff resources for SWF	Capacity	BAU	Monthly	01/04/2023	31/03/2024	H	Achievement of KPIs	On target	
SW09	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	Access to justice	BAU	Quarterly	01/04/2023	31/03/2024	M	- Quarterly report to LT as part of business plan update	On target	
SW10	Maintain effective engagement with stakeholders via appropriate channels, working with ISE	Access to justice	BAU	As required	31/08/2023	31/03/2024	M	- Quarterly report to LT as part of business plan update - Consider as part of C&E strategy once available.	On target	

No	Activity <i>description of task/ activity/ project</i>	Strategic Theme <i>Select</i>	Type <i>Select</i>	Frequency <i>Select</i>	Start	End	Priority <i>Select</i>	Measure/ KPI/ Reporting	Status <i>Select</i>	Comment/ update <i>- why not on target/ exceeded - actual achieved - important milestones achieved - if it is a new addition to the plan - policy decisions taken - why discontinued, or carried forward</i>
SW11	Produce SWF text for monthly commentary as well as additional comms materials as and when required.	Access to justice	BAU	Monthly	01/04/2023	31/03/2024	M	- monthly content to ISE	On target	
SW12	Review QA results (casework and telephone) and implement learning/ amend process as required.	Access to justice	BAU	Quarterly	01/04/2023	30/10/2023	M	- report of findings and recommendations to LT	On target	QA completed in Q1 for Q4 of 2022-2023. Review meeting ECO held 10 July. QA report shared at QCPM July and shared with internal auditor. Recommendations progressed (engagement session policy session held with team in August, individual and team feedback disseminated and advice sought from GP advisor)
SW13	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	Capacity	BAU	Continuous	01/04/2023	31/03/2024	M	Achievement of SWF function and business plan objectives.	On target	
SW14	Once new approach to customer surveying is developed and implemented, analyse results to assess customer experience of SPSO SWF quality of service delivery	Accessibility	BAU	Continuous	01/12/2023	31/03/2024	M	- report of findings and recommendations to LT	Not started	This is likely slippage - no organisational process yet in place August.
SWF15	Monitor and escalate recurring casework issues in line with the Support and Intervention Policy	Access to justice	BAU	Continuous	01/04/2023	31/03/2024	H	- Quarterly report to LT as part of business plan update	On target	one new SIP issue escalated and one previous issue revisited at Oct. 23
SW16	Work with stakeholders on the Policy Advisory Group to develop recommendations for improvement following publication of SWF Review Report	Access to justice	Project	Project defined	01/04/2023	31/03/2024	S	Ad hoc updates and annual report to LT	Completed	Action plan published in June 2023
SW17	Work with ISE to investigate the development of common standards for the processing of, and reporting on, local handling of applications (particularly at tier 1)	Standards	Project	Continuous	01/01/2024	31/03/2024	M	- Quarterly report to LT as part of business plan update	Not started	This is likely slippage, ISE capacity, prioritisation of INWO learning & engagement for 2023/24
SW18	Develop and deliver a programme of training for LA's on key topics - to include virtual and recorded sessions.	Standards	Project	Project defined	01/04/2023	31/03/2024	M	- Quarterly report to LT as part of business plan update	On target	11 training sessions delivered to 327 delegates across a range of topics.
SWF19	Analyse call volumes/timings and review IVR messaging with the view to increasing efficiency. Align to a review of telephone opening times and report to LT.	Capacity	Project	Project defined	01/04/2023	30/09/2023	M	- Quarterly report to LT as part of business plan update. Monitor pilot of new telephone opening times and feedback to LT.	Completed	Reviewed IVR message and implemented amended version in May 2023. Further amended version implemented in late September taking account of staff feedback. Reduction in calls and wrong numbers experienced since new message introduced. Pilot of amended opening hours completed and authorised by LT.

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SWF20	Establish a formal data sharing process with the DWP and SSS. This may require support from LPO.	Access to justice	BAU	Project defined	01/04/2023	30/10/2023	H	- Quarterly report to LT as part of business plan update	Slippage	Slippage - elements outwith our control. Met with SSS progressing with their data sharing process, likely to take several months to complete. Progressing DWP through a Scot. Gov contact, this is likely to take several months - likely to be into new financial year to complete.
SWF21	Investigate the implementation of additional internal quality measures such as peer review	Standards	Project	Project defined	01/04/2023	31/03/2024	M	- Quarterly report to LT as part of business plan update	Completed	Completed an intensive 12 week period of peer review of findings. New 'sign-off' procedure introduced in June 2023 and is working well.
SWF22	Develop our experience of agile project management throughout the year starting with a sprint relating to reviewing our process when applicants disengage. Draft disengagement process and pilot. Share findings with INWO to support their development of a process.	Capacity	Project	Project defined	01/04/2023	30/11/2023	M	- Quarterly report to LT as part of business p	Completed	Pilot signed off by LT as permanent change on 11/10
SWF23	SWF23 Work with ISE to explore how they can support SWF to develop web tools, resources and training materials for LAs, to improve practice and promote learning – as part of this, consider how we can embed dignity and respect standards into this	Capacity	Project	Project defined	01/04/2023	31/03/2024	L	- Quarterly report to LT as part of business p	On target	Met with ISE to discuss support than can be provided in late June. August work with ISE underway, dignity & respect and model.
SWF24	Review how we currently record case summaries with the view to assessing impact and increasing efficiency	Capacity	Project	Project defined	01/04/2023	31/12/2023	M	- Quarterly report to LT as part of business p	Slippage	Started but not completed. Re-prioritised, timescale move to the end of Q3 as other projects of higher priority.
SWF25	Scope project work to drive forward dignity & respect standards within SWF - engage with SSS about the development of their customer charter, possibly develop our own charter.	Standards	Project	Project not defined	01/07/2023	31/03/2024	M	- Quarterly report to LT as part of business p	In-year addition: on target	Initial meeting set up with SSS August 2023. SG Action Plan now on hold due to recruitment.
SWF26	Scope project work within the action plan of SG review to improve local authority SWF reporting to include information on customer service standards	Standards	Project	Project not defined	01/06/2023	31/03/2024	M	- Quarterly report to LT as part of business p	In-year addition: on target	Initial meeting set up with SSS August 2023. SG Action Plan now on hold due to recruitment.
SWF27	Scope project work within the action plan of SG review to work with SG on training and improvements, including dignity & respect	Standards	Project	Project not defined	01/06/2023	31/03/2024	M	- Quarterly report to LT as part of business p	In-year addition: on target	Oct.23 As SG work has stalled, will progress work on developing SPSO guidance on defining and application of dignity & respect for customers, as referred to in guidance. Will consult with SSS colleagues and include the forthcoming Human Rights Legislation
SW28	Engagement plan to raise awareness of the review function partners/stakeholders working with potential applicants.	Access to justice	Project	Defined	01/06/2023	30/12/2023	H	- Quarterly report to LT as part of business p	In-year addition: on target	