SPSO Business plan 2019-2020

SCOTTISH
PUBLIC
SERVICES
OMBUDSMAN

People Centred | Improvement Focused

Putting people at the heart of public services

SPSO Business Plan 2019-20

Introduction

This document sets out the Scottish Public Services Ombudsman's annual business plan for the period from 1 April 2019 to 31 March 2020. It sets out what we will do this year towards delivery of our strategic vision and aims. It should be read in conjunction with our Strategic Plan 2016-2020.

Vision

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

SPSO Values

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

Equalities commitments

1. Take proactive steps to identify and reduce potential barriers to ensure that our service is accessible to all.

2. Identify common equality issues (explicit and implicit) within complaints or reviews brought to our office and feed back learning from such cases to all stakeholders.

   Ensure that we inform people who are taking forward a complaint or review of their rights and of

3. any available support, and that we encourage public authorities to do the same.

   Ensure that we play our part in ensuring that service providers understand their duties to promote

4. equality within their complaints handling and review procedures.

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

5. representation exists.

Strategic Aims

1. Be recognised and consulted as a world-leading Ombudsman service of independent accessible experts with a reputation for: being run transparently and efficiently, governed effectively, and leading by example in the delivery of the full range of statutory functions.

2. Develop organisational capacity to: deliver existing statutory functions efficiently, proportionately and effectively, and develop and adopt new, or enhanced, services and functions.

3. Drive improvement in Scottish public services by setting and applying high complaints handling and review standards and promoting a culture and practice where learning and improvement from complaints or reviews is embedded in practice, governance and organisational systems.

4. Enable and support the Scottish public sector to achieve and maintain high standards of policy and practice through a combination of sharing learning from SPSO complaints and reviews, monitoring, advice and guidance, training and appropriate collaboration.

5. Through active engagement, help people know about their rights to complain or request a review, and help them understand what standards and level of services they can expect and how to access them easily and responsibly.

Risk appetite

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

Resources

Total SPSO budget for 2019-20 is £4,205k, broken down as follows:
- Total staff costs   £3,615,586
- Total running costs costs £669,414
- Less Total estimated income £80,000
Additoinally, we willl receive £300k to manage the Bridgeside House accommodation on behalf of SPSO, SHRC and CYPCS.

Commonly used terms

BAU: Business as Usual
Priority: Relative priority
- **S**tatutory, must do
- **S**tatutory/**H**igh, part statutory part business high priority
- **H**igh, high strategic or business high priority (have a choice but achievement of strategic aims and business will suffer if not done)
- **M**edium, medium strategic or business high priority (have a choice about whether to do)
- **L**ow, low business priority (have a choice about whether to do)

LT: Leadership team
C&I: Complaints and investigations
Corp Serv/ Services: Corporate Services
ISE: Improvement, Standards and Engagement
SWF: Scottish Welfare Fund
SPSO: the Ombudsman
Dir-: Director (followed by main operational area, e.g. Dir-C&I)
HoISE: Head of Improvement, Standards and Engagement

No	Activity	Type	Frequency	Start	End	1	2	3	4	5	Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
	description of task/ activity/ project	select	select								select	select		select	E.G. Explanation about why not on target/ exceeded with actual achieved. Important milestones achieved. Policy decisions taken. Why discontinued
1	Case-handling - **Advice** (assess suitability and maturity; provide advice and signposting; manage freephone telephone advice service; and production of complaint files)	BAU	Continuous	01/04/2019	31/03/2020	X	X	X	X	x	S	Dir - C&I	**PI1 95% of cases where advice stage was completed within 5 days**	On target	Achieved 99.9% in Q1
2	Case-handling - **Early resolution, Investigations Level 1 & 2**	BAU	Continuous	01/04/2019	31/03/2020	X	X	X	X		S	Dir - C&I	PI2-30 50% of cases where ER stage was completed within 30 days. **PI2 95% of cases where ER stage was completed within 80 days**	slippage	Achieved 82.2% in Q1
3	Case-handling - **Investigations Levels 1-4**	BAU	Continuous	01/04/2019	31/03/2020	X	X	X	X		S	Dir - C&I	PI3-130 20% of cases where Investigation stage was completed within 130 days. PI3-195 50% of cases where Investigation stage was completed within 195 days. **PI3 85% of cases where Investigation stage was completed within 260 days**	On target	Achieved 98.6% in Q1
4	Resourcing: monitor and plan recruitment to maintain appropriate level of staff resources for **C&I**	BAU	Monthly	01/04/2019	31/03/2020		X				H	Dir - C&I	- Achievement of KPIs. - Carry forward of cases at year end in line with target of 750	On target	
5	Information sharing casework related intelligence to relevant sector groups eg. Scottish Water Output Monitoring Group, HIS Sharing Intelligence Group	BAU	As required				X	X	X		M	Dir - C&I	- input information/ papers to LT. - attendance at meetings. - feedback to LT	On target	
6	Ombudsman groups: contribute to OA (and other) special interest groups operating in the sector to share good practice and learning and development	BAU	As required	01/04/2019	31/03/2020	X	X				M	Dir - C&I	- feedback for SPSO specific items. - OA published minutes. - ad hoc reports and recommendations as required	On target	Chaired/hosted 1st Contact Interest Group 7/6/19. Next mtg scheduled for 29/11. (CN) ECOs attending casework group Nov 2019 (ECO)
7	Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements, feeding back to ISE for public reporting purposes (dependent on 16)	BAU	As required	01/07/2019	31/03/2020	X	X	X	X	X	M	Dir - C&I	- Qtrly reports containing performance against service standards data to Dir(Corp Serv) for inclusion in Casework Management Performance Group: learning captured, recommendations and details of action taken and planned	slippage	Awaiting approval of 2018-19 report format
8	Manage, monitor and report on the performance of the Service Improvement Forum	BAU	Continuous	01/04/2019	31/03/2020	x					M	Dir - C&I	Report of actions to Casework Performance Management Meeting	On target	Meetings held April, June and August. (CN)
9	Outreach work with relevant advocacy services eg CAB Scotland, Shelter Scotland, to promote appropriate signposting to the SPSO	BAU	Continuous	01/10/2019	31/03/2020		x		x		M	Dir - C&I	Feedback/referrals from relevant stakeholders	On target	SIF proposal for joint SPSO/SWF information event drafted by CN & AJ - for NCSW, October (CN)
10	INWO: implement new complaint handling procedures, in line with SG timetable	Project	Project defined	01/05/2019	31/03/2020		X	X	X	X	S	Dir - C&I	Successful delivery of function, on-going monitoring to be confirmed during project	On target	
11	Case-handling administration- review the administrative tasks carried out by CRs and inter-team administrative support arrangements to identify potential duplications and identify efficiencies.	Project	Project defined	01/07/2019	31/12/2010		X				M	Dir - C&I	Summary report with recommendations	slippage	Due to other casework priorities/resourcing
12	Case handling - professional advice - review the different professional advice administrative processes with the aim of aligning them	Project	Project defined	01/07/2019	31/12/2019	X	X	X	X		M	Dir - CS	Summary report with recommendations	slippage	Due to other casework priorities/resourcing
13	Develop channel shift to SPSO website for new complaint form submissions and information on how to complain to BUJ 's.	Project	Project defined	01/10/2019	31/12/2019		X			X	M	Dir - C&I	Increase in online complaint submissions, increased website click rates/pages browsed.	Not started	SIF proposal for LT approval to channel shift telephone callers to website. (CN)
14	Prison health care premature study : gather qualitative and quantitative information to identify issues that require to be considered in improving access via THE CHP.	Project	Project defined	01/07/2019	31/12/2019		X	X		X	M	Dir - C&I	Report of findings and recommendations to LT.	slippage	Intension to include Inclusion Scotland secondee in this project once recruited
15	Develop contacts with organisations that support prisoners and promote our service and how to access. (Prison Chaplaincy, Families Outside, Independent Monitors, PASS men/women, HUB services).	Project	Project defined	01/07/2019	31/12/2019		X	X		X	M	Dir - C&I	Increase contacts with X no. of support organisations and deliver X number of presentations.	On target	Presentation to Prison Chaplaincy Development Day, RA, HL, SC April. IPM and PASS will be invited to NCSW event. AG Team members arranging time to shadow, Fam Outside and PASS. Pass/men/women no longer relevant to meet with will check with HMCIPS during mtg in Sept if outreach suitable for HUB services. (CN)
16	Develop quarterly reporting structure for service standards reporting against QA and satisfaction surveys & consider how SPSO could bench mark with other OA members.	Project	Project defined	01/07/2019	31/03/2020	X	X	X	X	X	H	Dir - C&I	- recommendations to LT. - approved and implemented quarterly monitoring and reporting structure. -ongoing monitoring and reporting in line with governance arrangement	On target	2018-19 data finalised 12 July. Report framework drafted and with Director for agreement, all CI managers then require to input. OA Benchmarking group does not currently exists.
17	National Customer Service Week - work with IDEA and Comms COPs to arrange learning events to celebrate NCS week. Invite organisations representing our wide customer group to present on their work/customer needs. Arrange for leadership team to work 'frontline' for the day!	Project	Project defined	01/07/2019	30/10/2019	X			X	X	L	Dir - C&I	Invitations accepted to present and colleagues attendance/involvement.	On target	NCSW event proposal drafted see point 9. IDEA Group to organise presentations from groups representing our customers. (CN)
18	Develop wording for SPSO to include information leaflets and on website and for BUJ's to include in stage 2 responses who sign post common OOJ subjects of complaint to SPSO to assist in managing expectations.	Project	Project defined	01/10/2019	31/03/2020	X			X	X	L	Dir - C&I	Production of information	slippage	Due to availability in investigations teams and other priorities

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	description of task/ activity/ project	select	select								select	select		select	
1	Case-handling times - SWF Reviews of **Crisis** Grants	BAU	Continuous	01/04/2019	31/03/2020		X	X	X	X	S	Dir - SWF	95% of cases closed or progressed in **1** working day or fewer (from receiving all information)	Exceeded	100%, with some redirected resourcing from C&I
2	Case-handling times - SWF Reviews of **Community Care** Grants	BAU	Continuous	01/04/2019	31/03/2020		X	X	X	X	S	Dir - SWF	95% of cases closed or progressed in **21** working days or fewer (from receiving all information)	Exceeded	98%
3	Case-handling process **SWF** - monitor practice, review and update case handling guidance, and disseminate through updates and training	BAU	Continuous	01/04/2010	31/03/2020		X	X	X	X	H	Dir - SWF	Report to LT quarterly confirming learning captured and action taken and planned	On target	
4	Reconsiderations	BAU	As required	01/04/2019	31/03/2020		X	X	X		H	Dir - SWF	95% of decisions are correct, Quarterly reporting to LT	Exceeded	100%
5	Monitor SG SWF Guidance, provide feedback and engage in review	BAU	As required	01/04/2019	31/03/2020				X		H	Dir - SWF	Ad hoc updates and annual report to LT	On target	
6	Produce, publish and disseminate SWF Annual Report and annual letters to councils	BAU	Annual	01/04/2019	31/03/2020	X	X	X	X	X	M	Dir - SWF	Published Annual Report	On target	
7	Resourcing: monitor, plan and arrange recruitment to maintain appropriate level of staff resources for **SWF**	BAU	Monthly	01/04/2019	31/03/2020	X					H	Dir - SWF	Achievement of KPIs	On target	
8	Performance reporting: Service standards - monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	M	Dir - SWF	- Quarterly report to LT as part of business plan update	On target	
9	Maintain effective engagement with stakeholders via appropriate channels, working with ISE	BAU	As required	01/04/2019	31/03/2020	X		X	X	X	M	Dir - SWF	- Quarterly report to LT as part of business plan update - Consider as part of C&E strategy once available.	On target	Published searchable directory of case summaries on website
10	Produce SWF text for monthly commentary as well as additional comms materials as and when required.	BAU	Monthly	01/04/2019	31/03/2020	X		X	X	X	M	Dir - SWF	- monthly content to ISE	On target	
11	Review QA results (casework and telephone) and implement learning/ amend process as required.	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X	X		M	Dir - SWF	- report of findings and recommendations to LT	On target	
12	Maintain and promote professional development of staff and ensure team is appropriately resourced and skilled.	BAU	Continuous	01/04/2019	31/03/2020	X	X	X	X		M	Dir - SWF	Achievement of SWF function and business plan objectives.	On target	
13	Assess customer experience of SPSO SWF quality of service delivery	BAU	Continuous	01/04/2019	31/03/2020	X	X			X	M	Dir - SWF	- report of findings and recommendations to LT	On target	
14	Review the effectiveness of our written communication with applicants. This may involve amending our customer survey to include a question about our decision letters.	Project	Project defined	01/04/2019	30/06/2020	X	X	X	X		M	Dir - SWF	- report of findings and recommendations to LT	On target	Additional questions added to survey for Q1 around written communication - results to be analysed.
15	Review and expand our findings tool to enhance consistency and improve efficiency.	Project	Project defined	01/04/2019	30/09/2019	X	X	X	X		M	Dir - SWF	Will advise casework performance meeting and LT sponsor on completion.	Not started	Due to lack of available resources
16	Review how we deliver our feedback to local authorities with the view to providing more practical, solutions focused feedback.	Project	Project defined	01/04/2019	30/09/2019	X	X	X	X		M	Dir - SWF	- Report and recommendations to LT	On target	Pilot decision letter guide produced and piloted with two councils.
17	Review and assess the effectiveness of applicants' access to the complaints process in relation to SWF, both at council level and within SPSO.	Project	Project defined	01/04/2019	31/03/2020	X	X	X	X		M	Dir - SWF	- Report and recommendations to LT	On target	Met with LPO for initial discussion. Agreed to focus this year on scoping out the scale of the issue with the view to informing a potential project for next financial year. Spreadsheet created to track applicants who have service complaints but are experiencing issues making a complaint or decide not to pursue this. Considering further options such as a survey of councils and/ or applicants.
18	Produce a working reference document to outline helpful wording and sections of the guidance, based on the most common case topics. This will increase efficiency and improve consistency amongst case reviewers.	Project	Project defined	01/04/2019	30/09/2020	X	X	X	X		M	Dir - SWF	Will advise casework performance meeting and LT sponsor on completion	Completed	Shared at away day - to be further developed over time
19	Consider measures for encouraging councils to improve their practice. For example, via self reflective learning templates; or by conducting a pilot to provide councils with more detailed and regular information regarding their findings, where recurring issues are identified (perhaps via monthly or quarterly reports).	Project	Project defined	01/06/2018	31/03/2019	X	X	X	X		M	Dir - SWF	- Benchmark position at start and finish of project and report and make recommendations to LT	On target	Revised information request document to require councils to input stage in process and guidance with the view to encouraging learning.

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1	Audit, External: Annual report and Accounts - agree annual external audit plan with auditors; - provide information and access to External Auditors; - prepare fully audited Financial and Governance Statements for SPSO Annual Report and Accounts ((including discharging duties under section 32 (1)(b) of the PSR (Scotland) Act 2010) - including Trade Union Publication of Facility Time Data Regulations Reporting	BAU	Annual	01/12/2019	30/09/2020	X	X				S	Dir - CS	- Agreed External Audit annual plan - External Audit Report	On target	
2	Audit, Internal: produce and deliver Internal Audit Plan	BAU	Continuous	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Internal Audit Plan, signed off by LT - Internal Audit reports to LT in line with plan, accompanied by Dir-CS recommendations	On target	
3	Climate change duties: implement actions from plan	BAU	Continuous	01/10/2019	31/03/2020	X	X				M	Dir - CS	- Action plan implemented and reported in Climate Change Duties report	Not started	
4	Climate change duties: monitor primary energy usage and waste management	BAU	Monthly	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Continued reduction in our Baseline carbon footprint (2014/15 72 tCO2e)	On target	
5	Climate change duties: produce and publish Climate Change Annual Report (including discharging duties under section 32 (1)(a) of the PSR Scotland Act 2010)	BAU	Annual	01/04/2019	30/09/2019	X	X				S	Dir - CS	- Published annual report	Slippage	Loss of resource has delayed this activity.
6	Decision Review: carry out decision reviews in a timely manner	BAU	Continuous			X	X				H	Dir - C&I	40% in 50 working days, 95% in 90 working days	Slippage	Actual performance to end of quarter 1, 53% in 40 working days and 89% in 90 working days. Reflects the backlog of older reviews. Anticipated that this will improve and we will be on target by year end.
7	Equalities and Human Rights: monitor, report and review practice	BAU	Annual	01/04/2019	01/07/2019	X	X				S	Dir - CS	- include in annual HR report	Slippage	Data gathered through year by HR, will be included in HR report post March
8	Finance: Annual Budget - plan and prepare submission for SPCB, including resource planning, staff and non-staff; profile approved budget	BAU	Annual	01/08/2019	30/09/2019	X	2				S	Dir - CS	- Annual budget submission, signed off by LT	On target	
9	Finance: Expenditure - monitor and manage expenditure against budget plan; pay invoices against approved orders and process payment of creditors	BAU	Continuous	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	- 5% variance: budget to actual spend at year end - monthly spend against budget statement to LT with recommendations - 95% of undisputed invoices paid within 10 working days - 100% of undisputed invoices paid within 30 working days - Reported in Annual Report and Accounts	On target	
10	Finance: Income - issue and monitor receipt of payment for all ad hoc income	BAU	Continuous	01/04/2019	31/03/2020	X	X				M	Dir - CS	- all income received in year	On target	
11	Finance: Procurement - procure and manage contracts for services and professional advice ensuring best value for money	BAU	Continuous	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Published current contract list	On target	
12	Finance: Statements of Expenditure - produce and publish under Section 31 of the PSR (Scotland) Act 2010, and details of contractors	BAU	Annual	01/05/2019	30/09/2019	X	X				S	Dir - CS	- Published annual report	On target	
13	Governance: Business plan - coordinate and produce annual plan	BAU	Annual	01/02/2020	31/03/2020	X	X				H	Dir - CS	- Published business plan	Completed	
14	Governance: Business plan - co-ordinate quarterly update and publication	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Updated plan republished quarterly	On target	
15	Governance: Incident Register - record and report all incidents in line with the Risk and Incident policy and data breach procedures, update Leadership Team	BAU	As required	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	- Effective incident management - quarterly updates to Leadership Team	On target	
16	Governance: Risk (strategic and operations Registers) - prepare annually in line with business planning process, then regularly review and update	BAU	Continuous	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Effective risk management	On target	
17	Governance: Risk (BCP) - test and review Business Continuity Plan	BAU	Annual	01/07/2020	30/09/2020	X	X				H	Dir - CS	- Test demonstrates no significant risks - Up-to-date BCP - Staff updates/ awareness	Slippage	BCP awaiting sign off, then can progress with testing
18	Governance: Secretariat - provide secretariat to Advisory Audit Board and Leadership Team	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Annual meeting schedule planned and issued - Papers prepared and issued at least one week prior to meeting - Declarations of interest published	On target	
19	Health, Safety and Security (management) - on-going management of the working environment to ensure compliance with legal duties including fire safety training, qualified first aiders, annual legionella assessment and annual risk assessments. Internal audit outcomes and other reports/inspections.	BAU	Continuous	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Annual H&S Assurance Statement to SPSO - Training and updates disseminated to all staff - Low residual risk in operational risk register	On target	
20	Health, Safety and Security (staff training) - new staff H&S induction; annual staff questionnaire, including display screen equipment assessment.	BAU	Annual	01/07/2019	30/09/2019	X	X				S	Dir - CS	- All staff completed annual training	On target	
21	HR - health and wellbeing. Monitor and annually report on the activities and achievements of the Mental Health and Wellbeing Group.	BAU	Continuous	01/04/2019	31/03/2020	x					H	Dir-MHWB Chair	Continue to encourage support from colleagues and deliver objectives of group.	On target	
22	HR: Annual staff survey and accompanying action plan	BAU	Annual	01/04/2019	30/06/2019	X	X				H	Dir - CS	-Analysis of 2018-19 survey and action plan produced for 2019-20 business planning.	Slippage	Survey results received. Analysis in progress and feedback to staff in Q1. Action plan to be produced by end October
23	HR: Implement annual IIP assessment and agree actions	BAU	Annual	01/05/2019	30/06/2019	X	X				H	Dir - CS	- IIP review and report completed and action plan produced for 2019-20 business planning.	Slippage	IIP report produced by end July. Action plan to be produced by end October
24	HR: Learning and Development - Annual manager training	BAU	Annual	01/04/2019	30/06/2019	X	X				M	Dir - CS	- Plan and deliver annual manager training session	Completed	
25	HR: Learning and development - monitor progress against plan, particularly resources. Dependent on 26	BAU	Quarterly	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Well skilled workforce - Annual report to LT	Slippage	

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						1	2	3	4	5					E.G. Explanation about why not on target/ exceeded with actual achieved. Important milestones achieved. Policy decisions taken. Why discontinued
	description of task/ activity/ project	select	select								select	select		select	
26	HR: Learning and development - prepare and fully resource annual learning and professional development plan	BAU	Annual	01/07/2019	31/03/2020	X	X				M	Dir - CS	- PDPs completed with analysis, survey and IIP action plan incorporated - Plan shared with all staff	Slippage	Await PDP feedback to identify individual and organisational learning and development plans.
27	HR: Payroll - manage and maintain payroll	BAU	Monthly	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Staff paid promptly and correctly - Successfully audited accounts	On target	Internal payroll audit scheduled Q1.
28	HR: provide the organisation with an effective HR service	BAU	Continuous	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	- HR stats report to LT of the HR service, including workforce composition, absence management, staff performance management (summary level not personal information)	On target	
29	HR: Resourcing - monitor, plan and recruit to maintain appropriate level of staff resource	BAU	Monthly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Delivery of CS statutory duties - Achievement of KPIs	On target	
30	HR: Well-being - Implement well-being strategy and plan	BAU	Annual	01/04/2019	31/03/2020	X	X				H	Dir - CS	- TBC by well-being group - % lost days due to sickness to not exceed PS average	On target	
31	ICT: Applications - Ad hoc - ensure appropriate software applications are available and fit for purpose	BAU	Continuous	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Appropriate applications available for staff to complete their roles and responsibilities	On target	
32	ICT: Applications - Case-handling system (Workpro) - manage the maintenance and enhancement of application and casework EDMS	BAU	Continuous	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Case-handling application up-to-date and meeting business and information management requirements	On target	
33	ICT: Applications - EDMS (SharePoint) - manage the maintenance and enhancement of non-casework EDMS	BAU	Continuous	01/04/2019	31/03/2020	X	X				H	Dir - CS	- EDMS meeting information management requirements	On target	
34	ICT: Hardware - monitoring and management of IT hardware	BAU	Continuous	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Functioning, fit for purpose hardware - exception reporting - Annual statement to LT	On target	
35	ICT: Induction, training and user support	BAU	Continuous	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Users operating all systems effectively	On target	
36	ICT: Information Management - develop and maintain statistic reports from case-handling system	BAU	Continuous	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Scheduled reports accurate and issued on time	On target	Annual stats completed in April 2019
37	ICT: IS installation (network) - monitor implementation and maintenance of security and cyber resilience standards by contractor	BAU	Continuous	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Regular meetings with business partner and annual service report.	On target	GSI Email change completed May 2019
38	ICT: Security and cyber resilience - implement cyber resilience action plan, monitor actions and report	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Acceptable level of residual risk - Exception reporting to LT - Up-to-date Information and Data related Policies and Procedures	Slippage	Cyber Essentials planned for Q1, not completed due to prep required for new KPIs and Workpro hosting project. CE now to be completed in Q2.
39	ICT: Staff training - Annual refresher training on IT Code of Conduct and Cyber Security	BAU	Annual	01/06/2019	31/08/2019	X	X						- Appropriate use of ICT systems	On target	Paper recommending e-learning package with LT.
40	ICT: Telephony - monitoring and management of telephony network and hardware, including mobile communications and connectivity.	BAU	Continuous	01/04/2019	31/03/2020	X	X				H	Dir - CS	- telephony functionality available for staff to complete their roles and responsibilities	On target	
41	Information Governance: DP Subject access requests (including all DP rights requests)	BAU	Continuous	01/04/2019	31/03/2020	X	X				S	Dir - CS	Reporting performance against statutory target of one month	On target	
42	Information Governance: FOI/EIR Requests and Reviews	BAU	Continuous	01/04/2019	31/03/2020	X	X				S	Dir - CS	Reporting performance against statutory target of 20 days	On target	
43	Information Governance: manage information risks, coordinate mitigation procedures, and log and risk assess information assets	BAU	Continuous	01/04/2019	31/03/2020	X	X				S	Dir - CS	- up-to-date log - report to LT in line with governance arrangements	On target	
44	Information Governance: monitor compliance, and ensure controls and procedures are applied	BAU	Continuous	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	Non compliance reported to LT	On target	
45	Information Governance: Publication Scheme - review and update SPSO Publication Scheme, and Re-use, to ensure compliance	BAU	Annual	01/07/2019	30/09/2019	X	X				S	Dir - CS	- Publication scheme compliant	Not started	Due to CS team resourcing - also listed as a project at CS83
46	Information Governance: Retention and disposal - ensure retention and disposal of documents in line with policy (casework and non-casework), including annual file location audit	BAU	Quarterly	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	- Annual assurance statement to LT - 100% of hard copy case files located securely and correctly recorded on CMS - ad hoc updating as required	Not started	Casework file destruction has been paused following a request from an Inquiry. Non-casework file management will be part of the project to move to Objective.
47	Information Governance: Training - implement compulsory data protection and ad-hoc information governance training and inductions	BAU	Continuous	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Evidence ALL staff receive update/ refresher training	On target	Compulsory data protection online training in Q1.
48	Ombudsman groups: contribute to OA (and other) special interest groups	BAU	As required	01/04/2019	31/03/2020	X	X				L	Dir - CS	- As required	On target	
49	Ombudsman groups: manage membership	BAU	As required	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Representatives identified and resource available	On target	
50	Performance reporting (complaints): collation of statistics and year-to-date performance	BAU	Monthly	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Dashboard - monthly analysis report to LT	On target	
51	Performance reporting (corporate): collation of statistics and year-to-date performance	BAU	Monthly	01/04/2019	31/03/2020	X	X				S	Dir - CS	- quarterly analysis report to LT	On target	
52	Performance reporting (professional advice): collation of statistics and year-to-date performance	BAU	Monthly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- quarterly analysis report to LT	On target	
53	Performance reporting (FOI/EIR): collation of quarterlystatistics and year-to-date performance	BAU	Quarterly	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Submitted to SIC on time - quarterly analysis report to LT	On target	
54	Performance reporting (SWF): collation of statistics and year-to-date performance	BAU	Monthly	01/04/2019	31/03/2020	X	X				S	Dir - CS	- Dashboard - monthly analysis report to LT	On target	
55	Performance reporting (service standards): monitor performance against service standards using internal and stakeholder feedback and identify and implement improvements	BAU	As required	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Annual report to LT with: learning captured, recommendations and details of action taken and planned	On target	
56	Professional Advice Service: deliver a well-resourced professional advice service	BAU	Continuous	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	- Continued reduction in the % of advice responses received in excess of 20 working days. (2016-17 Baseline 64.1%)	On target	
57	Quality assurance: annual quality assurance plan proposal	BAU	Annual	01/04/2019	01/07/2019	X	X	X			H	Dir - CS		Completed	

No.	Activity	Type	Frequency	Start	End	1	2	3	4	5	Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/Update
						Strategic Aim									*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*
	description of task/ activity/ project	*select*	*select*			1	2	3	4	5	*select*	*select*		*select*	
58	Quality Assurance: Casework	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- 95% of decisions correct - annual N77 report to LT of learning and action taken and recommendations for wider improvement initiatives	On target	
59	Quality Assurance: Professional advice	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Six monthly report to LT of learning and action taken, and recommendations for wider improvement initiatives	On target	
60	Quality Assurance: SWF decisions	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- 95% of decisions correct - Annual report to LT of learning and action taken and recommendations for wider improvement initiatives	On target	
61	Quality Assurance: Telephone	BAU	Quarterly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- Annual report to LT - assessment of quality of telephone calls against customer service standards. Actions taken and recommendations for wider improvement initiatives made	On target	
62	SPSO Handbook (all volumes) - ensure reviewed by owners and update in line with policy review cycle and ensure effective dissemination	BAU	Continuous	01/04/2019	31/03/2020	X	X				S/H	Dir - CS	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff	Slippage	Vis ID will be applied to all handbooks by December.
63	SPSO Handbook (complaints and investigations guidance and processes) - review and update, disseminate through updates and training, and monitor practice.	BAU	Quarterly	01/04/2019	31/03/2020		X				H	Dir - CS	Report to LT quarterly confirming learning captured and action taken and planned	On target	Qtrly releases have been produced. Full annual review commenced August 2019
64	SPSO Handbook (information governance) - review and update information governance policies, processes and guidance covering data protection (including rights, breaches, security), FOI/EIR, records management, and supporting measures	BAU	Annual	01/07/2019	31/12/2019	X	X				S	Dir - CS	- Review undertaken and signed off by LT	slippage	Due to CS resourcing. Business Classification Scheme and Retention and Disposal policy under full review in line with EDMS project.
65	SPSO Handbook (risk and incident management policy) - review annually in line with business planning process	BAU	Annual	01/10/2019	31/12/2019	X	X				S/H	Dir - CS	- Approved, reviewed risk management policy	On target	With LT for approval to publish in September
66	SPSO Handbooks (finance) - review, update and ensure implementation of good governance arrangements.	BAU	Annual	01/01/2020	31/03/2020	X	X				S	Dir - CS	- Internal audit report to LT	Slippage	Due to CS resourcing
67	Survey management: administration and advice on all electronic surveys issued, including Customer, BUJ, SWF, Staff, etc.	BAU	As required	01/04/2019	31/03/2020	X	X				M	Dir - CS	- Results provided on time	On target	
68	Training Unit - administrative support to the training unit. Booking forms, invoices, handouts and updating of materials	BAU	As required	01/04/2019	31/03/2020		X				H			On target	
69	UAP: monitor application and effectiveness	BAU	Monthly	01/04/2019	31/03/2020	X	X				H	Dir - CS	- 6-monthly report to LT of effectiveness, including summary of who is being managed under policy, when it was applied, when review is due and who has been removed	On target	
70	Audit, Internal: Tender for services	Project	Project defined	01/09/2019	31/12/2019	X	X				M	Dir - CS	appointment of internal auditors	Not started	
71	Development of an Interactive Skills Refresher Programme for staff training purposes - scoping and testing	Project	Project defined	01/10/209	31/03/2020	X	X				M	Dir - CS	Implemented training programme	Not started	Links to learning and development plan objective
72	Diversity: Review SPSO approach to diversity, inclusion and equality across all areas of work: what we measure, how and how frequently, and develop new Diversity and Inclusion policy and plan	Project	Project defined	05/01/2020	01/04/2020	X	X				S	Dir - CS	Approved and effective Diversity and Inclusion Policy and Plan	Not started	Due to resourcing
73	Host a PSOG meeting	Project	Project defined	24/05/2019	30/11/2019	X					M	Dir - CS	meeting	On target	PHSO carry out secretariat function, so input will be minimal. Main impact is on resources, specifically cost as will involve evening mean the night before.
74	HR: Achieve Carer First Accreditation	Project	Project defined	01/07/2019	31/03/2020	X	X				M	Dir - CS	Accredited	Slippage	Due to CS resourcing
75	HR: Learning and development - Explore best practice mechanisms for further raising awareness of and access to learning and development opportunities, including external opportunities. Links to 25 & 26	Project	Project defined	0/10/2019	31/03/2020	X	X				M	Dir-CS	Report to LT and include any recommendation within the IIP/staff survey action plan recommendations	Slippage	Is being considered as part of the IIP/Staff survey action points
76	HR: Learning and Development - Review of competency framework and associated HR activities	Project	Project defined	01/04/2019	30/09/2019	X	X				M	Dir - CS	- Updated and approved values-based competency framework - Update recruitment, performance management, learning and development processes and documents in line with outcomes	Slippage	HR Officer to develop plan and consultative process
77	HR: Well-being - IIP Health and Wellbeing review	Project	Project defined	01/04/2019	30/09/2019	X	X				M	Dir - CS	- Plan for IIP accreditation of health and well-being signed off by LT (ready for 3 year IIP review cycle March 2020)	On target	Mental Health and Wellbeing Group scoping IIP and NHS Healthy Working lives accreditations. Will become BAU next year
78	ICT: Application - EDMS - move to Objective/Connect to improve compliance with GDPR and sharing electronic information	Project	Project defined	01/03/2019	31/01/2020	X	X				H	Dir - CS	Project closure report and sign-off and updated business plan	On target	
79	ICT: Applications - Case-handling system (Workpro) - upgrade the platform the CHS application is based on (including - Sector data: ability to show prison data separately - requires technical changes.)	Project	Project defined	01/03/2019	31/10/2019	X	X				H	Dir - CS	- Case-handling application up-to-date and meeting business and information management requirements	On target	
80	ICT: Strategy - define ICT and digital strategy, including implementation plan	Project	Project defined	01/02/2018	30/09/2019	X	X				M	Dir - CS	- ICT strategy to LT for sign-off	On target	
81	Information Governance: **Publication Scheme**. A best practice self assessment using module 4 of the SIC toolkit also takin into account the actions identified by OSIC in their recent mystery shopping exercise 2018.	Project	Project defined	01/01/2020	31/03/2020	X	X		X		M	Dir - CS	- Publication scheme compliant, demonstrating best practice	Not started	
82	Professional Advice Service: Annual Report on Advice Service	BAU	As required	01/04/2019	30/09/2019	X	X				M	Dir - CS	Report on service	On target	
83	Quality assurance - Telephone - develop new telephone QA system making best use of new telephone technology and encouraging staff self reflection and coaching conversations.	Project	Project defined	01/10/2019	31/12/2019	X	X				M	Dir - CS	Report of findings and recommendations to LT.	Not started	Due to delay in ensuring meeting legal obligations
84	Quality assurance: increase knowledge of proportionality guidance, and confidence in proportionality decisions through training	Project	Project defined	01/04/2019	30/06/2019	X	X		X	X	S	Dir - C&I	Training session delivered on time and reduction in review requests relating to proportionality decisions	Completed	
85	Review and re-laying of strategic plan	Project	Project defined	01/10/2019	31/01/2020	X	X	X	X	X	S	SPSO	Strategic Plan laid before Parliament	Not started	

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No	Activity	Type	Frequency	Start	End	1	2	3	4	5	Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
	description of task/ activity/ project	select	select								select	select		select	E.G. Explanation about why not on target/ exceeded with actual achieved Important milestones achieved Policy decisions taken Why discontinued
1	Conduct data & intelligence analysis to monitor performance	BAU	Continuous	01/04/2019	31/03/2020	X	X	X			S	HoISE	Dashboard Monthly/Quarterly reports to LT & CPM on themes, trends, patterns, findings and recommendations where appropriate, learning and actions taken or proposed for external improvements, including outcomes. Including: - Complaints statistics - monthly analysis report - Corporate statistics quarterly analysis report - quarterly analysis report SWF statistics	On target	
2	Monitor and enhance SPSO's public profile.	BAU	As required	01/04/2019	31/03/2020	X	X		X		M	HoISE	- Media monitoring – number of media mentions, media types - Engagement with SPSO newsletter, social media - Web traffic	On target	
3	Implement internal communications strategy and plan.	Project	As required	01/10/2019	31/03/2020	X		X			M	HoISE	Reporting mechanisms identified in strategy - agreed and implemented.	Not started	
4	Implement stakeholder engagement strategy and plan.	Project	As required	01/10/2019	31/03/2020	X	X	X	X		H	HoISE	Reporting mechanisms identified in strategy - agreed and implemented.	Not started	
5	Prepare and enhance monthly compendium	BAU	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	S	HoISE	Compendium prepared to time and quality standard. Compendium published on time.	On target	
6	Publish Annual Report and Accounts 2018/19	BAU	As required	01/04/2019	31/12/2019	X	X	X	X	X	S	HoISE	Publish Annual Report and Accounts: Draft report by June 2019 Final report prepared for September 2019, Annual Report and Accounts 2018/19 laid before Parliament October (and published) 2019	On target	
7	Communications support for other internal business areas	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
8	Standards support for other internal business areas	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
9	Policy and legal support for other internal business areas	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
10	Learning and Improvement support for other internal business areas	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	M	HoISE	Support provided as required subject to resource availability and other priorities.	On target	
11	Complaints handling: engage with public bodies to provide advice, guidance and support on all aspects of good complaint handling and a positive complaints culture.	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	S	HoISE	-Public reporting on activity through SPSO Annual Report and Accounts, including demonstrable positive impact-Updates to LT, to demonstrable activity	On target	
12	Support/play an active role in sector wide complaints networks.	BAU	As required	01/04/2019	31/03/2020	X	X	X	X		S	HoISE	SPSO (ISE) presence at each of the sector network events held through the year	On target	

No	Activity	Type	Frequency	Start	End	Strategic Aim					Priority	LT owner	Measure/ KPI/Reporting	Status	Comment/ update
	description of task/ activity/ project	select	select			1	2	3	4	5	select	select		select	E.G. Explanation about why not on target/ exceeded with actual achieved; Important milestones achieved; Policy decisions taken; Why discontinued
13	Customer Service Complaints, monitor and report on performance in service complaints handling	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X			H	HoISE	Preparation of quarterly customer service complaints to Leadership Team	On target	
14	Customer Service Complaints, liaise with the Independent Customer Complaints Reviewer	BAU	As required	01/04/2019	31/03/2020	X	X	X			H	HoISE	Respond to ICCR requests in a timely manner as required of ICCR	On target	
15	Training: support public bodies to develop / implement good complaints handling and a positive complaints culture through provision of (classroom based) training as required	BAU	As required	01/04/2019	31/03/2020	X		X	X	X	M	HoISE	Public reporting on training activity through SPSO Annual Report compendium and web site updates-	On target	
16	Resourcing: monitor and plan and arrange recruitment to maintain appropriate level of staff resources for ISE	BAU	As required	01/04/2019	31/03/2020	X	X	X	X	X	H	HoISE	Delivery of business plan targets	On target	
17	Implement Support and Intervention Policy and Procedures	Project	Project defined	01/04/2019	31/03/2020	X	X	X	X	X	S	HoISE	Policy, procedure implemented across SPSO, reporting mechanisms set-up and implemented, project closure signed off.	On target	
18	Map, evaluate and review the customer communications journey to identify and recommend areas for improvements to our communications, including web site accessibility.	Project	Project defined	01/04/2019	30/09/2019	X		X		X	H	HoISE	- Map of customer journey identifying frequency and forms of communication. - Review paper with recommendations and action plan developed an agreed by LT.	Slippage	We are recruiting an intern via the Inclusion Scotland internship scheme to lead on this project. Due to the timescales of the recruitment process, this project is likely to start in Q3.
19	Develop internal communications strategy and plan.	Project	Project defined	01/04/2019	30/09/2019	X		X			M	HoISE	Strategy developed and agreed by LT. Plan developed and agreed by LT.	On target	
20	Develop stakeholder engagement strategy and plan.	Project	Project defined	02/09/2019	30/09/2019	X	X	X	X		H	HoISE	Strategy developed and agreed by LT. Plan developed and agreed by LT.	Not started	
21	Analyse responses to Model CHP survey, prepare plan for new guidance and presentation of CHP	Project	Project defined	01/04/2019	30/06/2019	X	X	X	X	X	S	HoISE	Analysis report prepared, identifying themes and opportunities to develop new guidance and shared with the LT team	On target	Survey analysis complete, report submitted LT
22	Customer Service Complaints, develop Quality Assurance approach to CSCs handling and responses	Project	Project defined	01/04/2019	30/06/2019	X	X	X			M	HoISE	Quality Assurance approach developed, tested and signed of by LT.	Completed	Paper with LT for sign off
23	Introduce new complaints network for government, parliament and associated public bodies	Project	Project defined	01/10/2019	31/03/2020	X	X	X	X		S	HoISE	Network Chair and members identified. Network terms of reference agreed. Network meetings introduced to agreed schedule and content plan	Not started	
24	Prepare and deliver the SPSO bi-annual conference	Project	Project defined	01/07/2019	31/03/2020	X	X	X	X	X	M	HoISE	Date/venue agreed. Content Materials speakers agreed. Conference held.	On target	
25	Undertake review/evaluation of SPSO training provisions for external bodies to support the achievement of SPSO's strategic goals to contribute actively and positively to Scotland's development and delivery of first class public services. The primary objective being to ensure the training unit evolves to meet the growing demands for training and support across the public sector	Project	Project defined	01/07/2019	30/09/2019	X		X	X	X	M	HoISE	Review completed. Findings/recommendations reported to LT.	On target	
26	Carry out an audit of guidance materials to identify what we have, whether they are fit for purpose and the need for update/new guidance.	Project	Project defined	01/10/2019	31/12/2019	X		X	X	X	H	HoISE	Gap analysis completed. Report to LT with need for updated/new products identified/agreed by LT.	Not started	
27	Relaunch network for housing sector	Project	Project defined	01/04/2019	30/06/2019	X	X	X	X		S	HoISE	Network Chair and members identified. Network terms of reference agreed. Network meetings introduced to agreed schedule and content plan	Completed	Network re-launched and first meeting held on 1/5.
28	Publish CHP framework.	Project	Project defined	01/07/2019	31/03/2020	X	X	X	X	X	S	HoISE	New framework prepared, quality assured and signed off by LT.	Not started	
29	INWO, lead on development of whistleblowing Principles, Standards and guidance	Project	Project defined	01/04/2019	31/03/2020	X	X	X	X		S	HoISE	Whistleblowing Principles, Standards and guidance featuring a suite of component parts, developed, consulted on, and signed off by the LT and published by the INWO.	On target	
30	INWO prepare SPSO for implementation of new jurisdiction	Project	Project defined	01/06/2019	31/03/2020	X	X	X		X	S	HoISE	Progress (against plan - signed off by LT) being made to developing INWO Business Process Model, and supporting guidance/products.	On target	
31	Contribute to delivery of part 1 of OGP Action Plan, commitment 4 on accountability of public services	Project	Project defined	01/03/2019	31/03/2020	X	X			X	M	LT	Demonstrable input to the SG led project.	On target	https://www.gov.scot/publications/scotlands-open-government-action-plan-2018-20/

No	2018-19 Completions	Type	Frequency	Start	End	1	2	3	4	5	Priority	LT owner	Measure	Status	Comment/ update	Links to key documents (this column not for publication)
	work outstanding at the end of the year that it was anticipated would be finished in the current ye	*select*	*select*								*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*	
CI 6	Review public reporting criteria and update handbook as required	Project	Project defined	01/04/2018	31/03/2019		X	X	X		H	Dir - C&I	Successful delivery of project	Slippage	Proposal has been put to CRs and due to go to LT in September 2019	
CI 7	Write guidance on Proportionality of Investigation	Project	Project defined	01/04/2019	30/09/2018	X	X		X	X	H	Dir - C&I	Successful delivery of project and sign-off by LT	slippage	Slippage due to need to conduct QA of existing proportionality QA prior to commencement. 1st draft will be completed in Q1 2019-20.	
CI 8	Implement guidance on Proportionality of Investigation	Project	Project defined	01/07/2019	01/10/2019	X	X	X	X		M	Dir - C&I	Successful delivery of project	On target	Guidance scheduled to be introduced in Q2. Work ongoing to this end.	
CI 9	Assess effectiveness of Proportionality of investigation, including reputational impact	Project	Project defined	01/10/2019	31/03/2020	X	X			X	M	Dir - C&I	Report to LT quarterly confirming learning captured and action taken and planned	Not started	As above. Agreed to carry forward to 2019-20 once guidance in place	
CI14	Premature study of complainants who do not return to the SPSO after being offered advice on how to progress a premature complaint.	Project	Project defined	19/03/2018			X		X	X	L	Dir - C&I	Conduct survey until total of 100 complainants have responded to telephone survey questions.	Completed	Work completed, findings to be presented to LT in Q1 2019-20.	
SWF17	Improve the standard of internal recording of case summaries	Project	Project defined	01/09/2018	31/12/2018	X	X	X	X		M	Dir - SWF	QA of cases and customer feedback positive	Slippage	Update from owner ourstanding	
SWF19	Consider measures for encouraging councils to improve their practice. For example, via self reflective learning templates; or by conducting a pilot to provide councils with more detailed and regular information regarding their findings, where recurring issues are identified (perhaps via monthly or quarterly reports).	Project	Project defined	01/06/2018	31/03/2019	X	X	X	X		M	HoISE	- Benchmark position at start and finish of project and report and make recommendations to LT	Slippage	Working with ISE to develop content for a support for decision making tool. Work is dependent on resource availability in ISE team. Discussed by LT and acknowledged that other more high priority work (including support for SWF) is causing slippage and the project is not currently being progressed.	
CS2	Audit, Internal: produce and deliver Internal Audit Plan	BAU	Annual	01/04/2018	31/03/2019	X	X				M	Dir - CS	- Internal Audit Plan, signed off by LT - Internal Audit reports to LT in line with plan, accompanied by Dir-CS recommendations	Completed	Internal audit completed Aug 19.	AnnualActivityPlan2018-19.doc
CS20	Governance: **Project management** - review and refresh project management approach	Project	Project defined	07/01/2019	31/03/2019	X	X				M	HoISE	- Handbook to LT for sign-off and staff training planned	Slippage	Existing documents circulated and to be reviewed by LT and experienced project officers	ProjectTemplates
CS21	Governance: Risk - test and review **Business Continuity Plan**	BAU	Annual	01/10/2018	31/03/2019	X	X				H	Dir - CS	- Test demonstrates no significant risks - Up-to-date BCP - Staff updates/ awareness	Completed	Internal audit completed Aug 19, fully reviewed, implementation plan in place for Autumn.	BusinessContinuityPlan.doc
CS27	Governance: SPSO Handbook - review and update in line with policy review cycle and ensure effective dissemination	BAU	Continuous	01/04/2018	31/03/2019	X	X				S/H	Dir - CS	- Up-to-date, legally and standards compliant, policies and procedures - Annual self-certification by all staff	Slippage	delayed due to office move and reduced resourcing in team. New visual ID will applied in summer with all handbooks up to date by Dec 19.	http://spso-sharepoint/handbook/Handbooks/Additional%20Information/SPSOHandbooks-Outline.docx
CS53	ICT: Security and cyber resilience - complete Cyber Essentials accreditation	Project	Project defined	01/04/2018	31/12/2018	X	X				H	Dir - CS	As required by SG Cyber Resilience Action Plan - official deadline 31/10/2018 but SG approved us completing as soon as we can after office move.	Slippage	delayed due to office move and reduced resourcing in team. Now aiming for completion in Q1 2019-20	
CS74	Performance management: review of current casework performance measures (KIPS) and timescales/resources in light of changes to process including developing mechanisms for tracking post closure activity (including time spent on reviews and generating more easily available, transparent performance data and provision (in conjunction with ISE)	Project	Project defined	07/01/2019	31/03/2019	X	X				M	Dir - CS	- Review outcome to LT for sign-off	Completed		
CS84	Quality Assurance: Telephone	BAU	Quarterly	01/04/2018	31/03/2019	X	X				H	Dir - CS	- Managers assess calls against customer service standards and findings are summarised	Slippage	Q2 and Q3 suspended as per revised QA schedule. Team managers to complete telephone QA in Q4. UPDATE - continued delay due to call recording and legal advice	
CS86	Quality Assurance: SWF decisions	BAU	Quarterly	01/04/2018	31/03/2019	X	X				H	Dir - CS	- 95% of decisions correct - Quarterly report to LT of learning and action taken and recommendations for wider improvement initiatives	discontinued	Discontinued due to resourcing and agreement that low risk as Q1 QA took place	

No	2019-20 Additions Activity	Type	Frequency	Start	End	1	2	3	4	5	Priority	LT owner	Measure	Status	Comment/ update	Links to key documents (this column not for publication)
	Work that was not in the business plan but has taken significant reources	*select*	*select*								*select*	*select*		*select*	*E.G.* *Explanation about why not on target/ exceeded with actual achieved* *Important milestones achieved* *Policy decisions taken* *Why discontinued*	
CS86	Bridgeside House Memorandum of Understanding - Develop in consultation with BHMG.	Project	Project defined	01/05/2019	30/09/2019	X	X				H	Dir - CS	MoU working for all parties	Slippage	this includes Office Holder licences which are being drive by SPCB.	
C&I19	Decision notice template	Project	Project defined	01/08/2019	30/09/2019	X	X	X	X		H	Dir - C&I	Decision templates being used	On target		
C&I 20	Move to a single pool for allocation of cases	Project	Project defined	01/08/2019	01/12/2019	x	x				h	Dir - C&I	Move to new process	On target		
4	SPSO data mapping project	Project	Project defined	01/07/2019	31/12/2010	x		x	x		M	HoISE	Report and recs to LT	Slippage	Work on hold - lack of resource and other high priority tasks.	
5	Joint work - Infected blood enquiry.	Project	Project defined	01/07/2019	30/09/2019	x		x	x		H	HoISE	Report to LT	On target		
6	Expected behavioiurs project (to update SPSO UAP and to inform the revised MCHP)	Project	Project defined	02/09/2019	30/12/2019	x	x	x	x	x	H	HoISE	Project sign off, SPSO policy informed, MCHP draft updated	On target		