

Business Objectives & Performance Measures

2014–15

To be read in conjunction with our Strategic Plan 2012-16. This document is supported by a detailed operational plan.

Equalities commitments

Our five equalities commitments form an integral part of the Strategic Plan. They are:

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

Strategic objective 1:**To provide a high quality, user-focussed independent complaints handling service**

By developing our capacity as complaints handlers to be able to deliver individual benefit to our customers; by being accessible and dealing with all enquiries and complaints impartially, consistently, effectively, proportionately and in a timely manner; and by producing clear, accurate and influential decisions about complaints.

Measuring Performance through:

- > Case time and age profile targets
- > Quality assurance measures
- > User satisfaction measures

1a Efficiency - improve case handling times

- Handle complaints efficiently to meet relevant, stretching casework time targets to ensure timely decisions on cases
- Effectively provide advice to members of the public on how to progress their premature complaints
- Ensure effective signposting to relevant advisory and regulatory and support services as applicable

Goals	Measure	Target
Meet performance indicator for measuring how quickly we establish whether or not a complaint is suitable for us and whether it has fully completed the complaints process of the organisation complained about.	PI-1 Advice and Early Resolution: 95% of complaints at Stage 1 & 2 are closed or progressed in 10 working days or less	95%
Meet performance indicator for measuring how quickly we establish whether we can examine a complaint under the SPSO Act, and where we see an opportunity for an early resolution of the complaint	PI-2 Early Resolution 95: % of complaints at Stage 3 are closed or progressed in 50 working days or less	95%
Meet performance indicator for measuring how quickly we complete all our investigations,	PI-3 Investigation 1 & 2: 95% of complaints at Stages 4 & 5 are closed no later than 260 days	95%

1b Quality - improve quality of casework

- Monitor the quality assurance and service delivery complaints systems to ensure they reflect best practice and support continuous improvement
- Monitor the complaints handling process to ensure it reflects best practice and ensure complaints team members have the requisite skills and resources to implement the complaints handling process
- Effectively manage processes for obtaining expert advice (legal and jurisdictional) to ensure range of expertise, timeliness, quality and value for money
- Maintain and develop specialist knowledge sets to ensure a requisite knowledge bank is available to support casework

Goals	Measure	Target
Meet performance indicator for measuring case handling quality	PI-4 QA: % cases each quarter achieve acceptability (decision correct)	95%
Meet performance indicator for measuring case handling quality	PI-5 Decision Reviews: % of cases requested for review, decision is correct	95%

1c Service - deliver an accessible, high quality service to all service users

- Successfully integrate or expand any new areas of jurisdiction to ensure a seamless transfer and effective on-going resource with minimal disruption to service
- Ensure that SPSO incorporates best practice in making its service accessible to all users and shares learning about equalities and diversity issues
- Maintain effective processes for managing expectations and building service users' understanding of our powers

Goals	Measure	Target
Meet performance indicator for measuring customers' experience a quality of service delivery that meets expressed organisational commitments, objectives and aspirations	PI-6 Service Delivery: % of total complaints closed do not have a service delivery complaint upheld/partly upheld	99%

1d Impact - ensure investigations and report recommendations have impact

- Continue to support the development and implementation of systems to capture case knowledge and to track the implementation of recommendations by BUJs

Goals	Measure	Target
Meet performance indicator for clearing all outstanding recommendations within three months of published target date	PI-7 Recommendations: % of recommendations implemented within 3 months of the target date	95%

Strategic objective 2:**To support public service improvement in Scotland**

By continuing to raise informed awareness of the role of the SPSO and to feed back and capitalise on the learning from our consideration of individual enquiries and complaints, for example, through thematic reports, and by working in partnership with public service deliverers, policy makers, scrutiny bodies and regulators to promote good administrative practice.

Measuring Performance through:

> Meeting our stated commitments to raise awareness of our role and publicise learning from complaints

2a Ensure strategic lessons from casework trends and findings are shared effectively with service providers and appropriate scrutiny and other bodies

- Continue to implement an engagement strategy that identifies and supports Bodies Under Jurisdiction (BUJs) where SPSO finds a high degree service delivery or in complaints handling of failings relative to other, similar BUJs

Goals	Measure	Target
Meet performance indicator to maintain awareness of casework learnings through external communications	PI-8 Maintain increase in open rate of individuals subscribed to the Commentary	Over 30%

2b Continue to promote informed awareness of the purpose, role and activities of the SPSO

- Continue to gather feedback from key stakeholders' about their satisfaction with our service
- Publish an Annual Report which informs and influences all stakeholders, in particular MSPs
- Review partnership arrangements such as Memorandums of Understanding to ensure effectiveness
- Use communications tools, especially IT, to improve understanding of the SPSO
- Promote understanding of SPSO among advice groups and advocates to support them in communicating the role of the SPSO to their customers
- Ensure staff awareness of SPSO's changing role, purpose and activities

Goals	Measure	Target
Meet performance indicator to successfully deliver stakeholder engagement strategy activities	PI-9 Strategy fully implemented	100%

2c Identify common equality issues (explicit and implicit) within complaints brought to our office and feedback learning from such complaints to all stakeholders

- Analyse and publish information about equalities issues

Goals	Measure	Target
Meet performance indicator to provide information about equalities that can be used to improve how public bodies deal with delivery of services where there is an equalities issue	PI-10 Disability/equalities groups involved in analysis; information and findings published; actions agreed	100%

Strategic objective 3:**To improve complaints handling by public service providers**

By using our expertise and resources to monitor, promote and facilitate the sharing of best practice and support service providers in improving their complaints handling.

Measuring Performance through:

- > With key partners, build networks of complaints handlers for all sectors
- > Develop the Valuing Complaints website as a platform for sharing best practice
- > Effectiveness of training provision

3a Support public services to achieve best practice through building, coordinating and supporting networks

- With key bodies in each sector build, coordinate and support networks of complaints handlers that will develop best practice, support complaints handling practitioners and provide a forum for complaints benchmarking, including through the Valuing Complaints website online community forum for complaints handlers

Goals	Measure	Target
Meet performance indicator for networks established in remaining sectors to contribute to complaints handling improvement, through benchmarking, developing best practice and providing support for CHP implementation	PI-11 Networks established and contributing to complaints handling improvement in all sectors	100%

3b Promote good complaints handling by public service providers through the sharing of good practice

- Identify and promote good practice in complaints handling and share that knowledge through the CSA, training and outreach activities, and on the Valuing Complaints website
- Promote and further develop the Valuing Complaints website as a centre of best practice in complaints handling

Goals	Measure	Target
Meet performance indicator to promote and further develop valuing complaints website as a centre of best practice	PI-12 % increase in the volume of BUJ traffic on VC website	20%

3c Promote good complaints handling by public service providers by developing and delivering training in complaints handling

- Through the training unit service develop and deliver high quality training in complaints handling for service providers, to develop their skills in frontline resolution and complaints investigation

Goals	Measure	Target
Meet performance indicator to develop and provide e-learning training on investigation skills where sector resources permit, through SPSO online training centre	PI-13 e-learning training on investigation skills developed with key sectors where sector resources permit	100%

Strategic objective 4:

To simplify the design and operation of the complaints handling system in Scottish public services

By working in partnership with service providers, regulators and other key stakeholders to facilitate the development of and compliance with simplified, standardised and user-focussed Complaints Handling Procedures across the public sector as an integral part of the wider administrative justice system in Scotland.

Measuring Performance through:

- > Publish model CHPs for all sectors and support bodies to implement them
- > Establish compliance and performance monitoring measures for all sectors

4a Through the work of the Complaints Standards Authority:

- Model CHPs implemented in FE, HE and Central Government sectors
- Compliance with model CHPs in all sectors monitored and reported through relevant regulatory or sponsor body (Audit Scotland, SHR, SFC, Scottish Government and SPCB), within existing regulatory structures, including through self-assessment
- BUJ complaints handling performance indicators developed and implemented for all sectors.
- Mechanisms developed to co-ordinate and report BUJ complaints handling performance information within existing regulatory structures, including through self-assessment

Goals	Measure	Target
Meet performance indicator to support all sectors in operating the implemented model CHPs for the relevant sectors through responding efficiently and effectively to BUJ contacts, through providing CSA outreach sessions and supporting networks	PI-14 BUJ contacts responded to efficiently and effectively CSA outreach provided on request Assess CHP operation on basis of feedback obtained through networks	100%
Meet performance indicator for compliance with model CHPs in all sectors monitored and reported through relevant regulatory or sponsor body where required (Audit Scotland, SHR, SFC, Scottish Government and SPCB), within existing regulatory structures. Actively promote and support self-assessment against CHP requirements	PI-15 Compliance monitored in all sectors Self-assessment actively promoted	100%
Meet performance indicator to support BUJs in all sectors in reporting and publishing complaints information in line with CHP requirements, including the SPSO Performance Indicators for all sectors	PI-16 Support provided	100%

4b Engage effectively to ensure SPSO involvement in proposed legislative changes relating to complaints

- Proactively engage with and influence the Scottish Government working group on the review of social work complaints to ensure alignment with CSA principles and to support legislative programme of changes. Prepare the SPSO for proposed changes to its remit on social work complaints
- Proactively engage with stakeholders on the implications of the proposed integration of health and social care to ensure clarity and simplification of complaints processes from user perspective

Goals	Measure	Target
Meet performance indicator to engage with the SG on its social work complaints review and play an active role in helping to develop new arrangements where appropriate, ensuring consistency with the local government model CHP and wider social care arrangements	PI-17 Engage with SG, ADSW and all key stakeholders CSA principles are at the forefront of all decisions reached and changes made.	100%

Strategic objective 5:**To be an accountable, best value organisation**

By making best use of our resources and demonstrating continuous improvement in our operational efficiency and supporting the professional development of our staff.

Measuring Performance through:

- > Audit findings
- > Financial performance measures
- > Staff satisfaction
- > Workforce statistics
- > ICT performance information
- > Environmental impact assessments

5a Manage resources effectively to meet business needs

- Plan and manage efficiency savings in line with SPCB and legislative requirements
- Maintain productivity levels in terms of the average number of cases closed / individual complaints reviewer per month and the number of cases carried forward at year end
- Support new business developments in line with statutory obligations
- Continue to explore shared service opportunities for efficiency savings where appropriate

Goals	Measure	Target
Meet performance indicator to plan and manage efficiency savings in line with SPCB and legislator requirements	PI-18 Finance: % Budget to Actual Spend variance	5%
Meet performance indicator to maintain casework productivity levels	PI-19 Productivity (average number of cases closed per month)	> 450 Total

5b Improve operational efficiency through high quality business support services

- Ensure audit processes support continuous improvement and effective management of risks
- Ensure realistic corporate plans and performance targets are produced on a timely basis and monitored closely
- Ensure ICT requirements are met for future needs, e.g., paperless office
- Ensure quality and value for money for all services received

Goals	Measure	Target
Meet performance indicator to ensure audit processes support continuous improvement and effective management of risks	PI-20 Audit plans agreed and recommendations implemented in time	85%

5c Promote improvements in organisational performance and staff professional development through implementation of the learning and development plan

Goals	Measure	Target
Meet performance indicator to conduct a health and well-being review and maintain employee health and well-being through good management practices	PI-21 Staff Absence measured by % lost days against public sector average	<PS average

5d Continue to meet obligations and statutory duties in relation to risk, governance, health and safety, FOI/DPA requirements, Equalities and diversity etc.

Goals	Measure	Target
Meet performance indicator to review and update the sustainable development plan	PI-22 Environmental impact assessments Amount of CO2 Annual primary energy supply Baseline 2009-10 = 85.3	< 85.3 (2009)
Meet performance indicator to review health, safety and security procedures to ensure the working environment is safe and secure and meets H&S Regulations	PI-23 Good rating on independent audit	Good
Meet performance indicator to ensure all FOI/DPA requests responded to within the terms of the Legislation	PI-24 % of information requests responded to in statutory timeframe	95%