

## Note of the Senior Management Group Meeting held on 17 November 2010

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Present:            Jim Martin                    Ombudsman (Chair)  
                       Niki Maclean                Director of Corporate Services  
                       Steve Carney                Director of Complaints and Investigations  
                       Emma Gray                    Head of Policy and External Communications

In attendance:    Gillian Lafferty              Executive Assistant  
                          Paul McFadden                Complaints Improvement Project Manager  
                          Fiona Paterson                Senior Personal Assistant (Secretary)

### Actions

1. The meeting opened at 10:30 with no apologies.
2. The notes of the meetings held on 5 October 2010 were agreed with a minor amendment and action points held over from previous meetings were reviewed.

*This meeting followed the agenda items and papers for the A&AC meeting to be held on 18 November with additional annexes where required.*

### 3. Internal Auditors' Report

The Group noted the paper outlining the progress on Internal Audit Shared Services Review for 2010-11, including the agreed activity plan for 2010-11 and the report on document management. The Ombudsman asked that clarification on the background of the document management project be provided to the A&AC meeting.

### 4. Financial Monitoring Report

The Group noted the current financial position and were informed that the Finance Committee would be meeting to discuss the 2011-12 budget on 23 November.

### 5. 2010-11 Performance Information

#### 5.1. Casework

The Group noted the monthly casework performance, including the new jurisdiction of the Scottish Prisons Service. The focus of the management team remains on the transfer of cases between Early Resolution and Investigations. The guidance for this part of the process is currently being clarified and the transfer criteria will be reissued by the end of the month. It is expected the performance against KPI 3 will improve with the clarification of the new criteria.

The Group will consider introducing a shorter time period for KPI2 to encourage faster transfer of cases to Investigation, from April 2011.

The Group will also monitor case loads in Early Resolution and Prisons to ensure the allocation of resources is balanced. The Ombudsman asked that one manager is maintained exclusively for prison cases during the first three months of the jurisdictional integration.

#### Quality Assurance Audit

The Group noted the outcomes of the first QA review under the new process and the recommendations included in the attached annexes. The Group approved the recommended amendments to the assessment form and case sampling, and agreed the timetable and format for informing the staff of the findings and finalising the draft report.

## **5.2. Policy and Communications**

The Group noted the tabled report including the Statement of principles submitted to the Parliament.

## **6. Risk Register and Exceptions**

The Group noted the Office Risk Assessment for 2010 and the completion of the identified tasks.

## **7. AOB**

The Group were updated on the GP recruitment which has attracted one application. The Group approved the recommendation to interview the candidate for suitability.

The meeting closed at 12:20