

**Note of the Senior Management Team (SMT) Meeting held on  
Thursday 6 February 2014**

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Present:

Jim Martin	Ombudsman (Chair)
Niki Maclean	Director
Emma Gray	Head of Policy and External Communications
Paul McFadden	Head of Complaints Standards

In attendance:

Rachel Hall	Executive Casework Officer
Fiona Paterson	Senior Personal Assistant (Secretary)

1. The meeting opened at 10:00 with no apologies.
2. The note of the meeting held on 19 December 2013 was agreed with minor amendments to the section on CSA. The SMT reviewed the outstanding actions list.

**3. Team Managers' Updates**

*Advice Team*

Carol Neill, Advice Team Manager, was invited to the meeting to provide the Q3 update on her area of the organisation. CN noted the focus for her team in recent months was on recruitment and training for her new team members. CN praised the thorough induction programme provided by HR, and particularly noted the Good Complaint Handling course the new starts attended.

CN updated the SMT on the on-going projects in her area, including the Duty CR pilot, scanning pilot, phrase card roll-out and Customer Journey Project.

*Early Resolution Team*

Kathleen Steindl, Early Resolution Team Manager, was invited to the meeting to provide the Q3 update on her area of the organisation. KS highlighted the 'early-alert' system she introduced to her team to assist her team to improve their performance against PI-2.

KS informed the SMT that various methods were being employed to improve PI-2 performance, including the monitoring of cases by the manager at 30 and 40 days for specific actions. This is having the required impact with the percentage of cases over PI-2 steadily reducing. KS shared some examples of the high standard of work evidenced in the last quarter and discussed methods of sharing these examples with the wider office. The Ombudsman thanked KS for providing the update to the senior management team.

*Investigations Team*

Judy Saddler, Investigations Team Manager, was invited to the meeting to provide an update on her area of the organisation for Q3. JS discussed the impact the impending retirement of a case reviewer in Q4 would have on the overall productivity of the team, and the knowledge base for planning complaints. The SMT discussed the likelihood of meeting the PI-3 target at the end of the year, and the Ombudsman stressed the importance of this target for the whole office. The Ombudsman thanked JS for providing the update to the senior management team.

**4. A&AC Papers for meeting on 25 February**

The SMT discussed points of note in the prepared papers for the AAC meeting, including outstanding actions, finance and the Q3 SDC reports.

The SMT discussed in detail the risk interrogation paper, and reviewed the risk register for Q3.

The SMT reviewed the progress against the 2013-14 business plan.

**5. Research on Financial Redress**

The SMT approved the tender for financial redress for issuing.

**6. Complaints and Investigations Monthly Performance Update**

The SMT noted the casework performance for January and discussed progress against the performance indicators.

**7. Corporate Services Update**

*Procurement:* The SMT approved the reviewed procurement policy for submission to the AAC.

*Records Management:* The SMT noted the timeline of events to prepare for the move to an electronic records management system on SharePoint for non-casework records.

*Business Planning:* The SMT noted the timetable for preparing the 2014-15 business plan and risk register.

*Finance:* The SMT noted expenditure against budget year-to-end December.

*Human Resources:* The SMT noted the staffing changes and recruitment requirements that will be undertaken in Q3. The SMT were informed of the upcoming staff survey which will be completed before the IIP interviews in March and approved the questions. Health and Wellbeing topics will be addressed in the next round.

*ICT:* The SMT were updated on the various IT projects that are now underway.

*FOI/DPA:* The SMT noted the issues with our current courier provider and the tender process for these services.

**8. AOCB**

The SMT were informed of the HIS project to approach regulating bodies to discuss the sharing of information. We will be provided the terms of reference for consideration.

***The meeting closed at 12:30***