

## Note of the Senior Management Team Meeting held on Wednesday 15 June 2016

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*Present:*

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

*In attendance:*

Fiona Paterson	Senior Personal Assistant (Secretary)
Jamie McGrandles	Executive Casework Officer

*Apologies:*

None

1. The meeting opened at 10:00 with no apologies. The note of the meeting held on Tuesday 19 April 2016 will be circulated following the meeting. The actions held over from previous meetings, including AAC, internal audit and external audit were reviewed and progress noted.

### **2. Internal audit**

The SMT noted the four elements for the audit of risk management will be split into a two-year cycle. The first year will focus on management at a strategic level, covering commitment, leadership, responsibility, accountability and planning. The second year will focus on implementation, covering resources, sharing information and best practice, performance, financial and staff management.

### **3. Financial monitoring report**

The SMT noted the confirmed outturn for 2015-16 and the year-end cash position. The draft Annual Report and Accounts for 2015-16 was tabled following the completion of the external audit. The SMT were informed that the Auditor's report was expected to be received in the following week with no significant issues or actions.

### **4. Risk, incident and issue management summary**

The SMT noted there were no fraud or whistleblowing incidents reported since last meeting, and no failure of control measures listed in the risk register.

The SMT reviewed the business plan and made final changes before approving for publication. The risks accompanying the new strategic objectives for the Scottish Welfare Fund were agreed, and following some discussion an existing risk had the current likelihood increased and the status changed from tolerate to treat.

### **5. Performance report**

The SMT noted the 2015-16 performance against each strategic objective and the key priorities and open risks going into 2016-17. In particular, the following was noted:

*SO1: Complaints and investigations*

The BUJ performance data for 2015-16 was discussed and the SMT requested a breakdown of the type of decision reviews.

The draft Independent Customer Complaints Reviewer's Annual Report was noted.

*SO2: Scottish Welfare Fund*

Early trends were noted, and the close management of team resources to ensure sufficient cover for the urgency of the work.

*SO3: Simplification*

The open risk regarding the changes to SPSO remit was reviewed and amended.

The SPSO Legal Group were invited to the meeting to discuss the paper outlining the implications of JR55 and associated recommendations.

*SO4: Good practice*

The training unit activity for 2015-16 and broad cross-sectoral access was noted.

*SO5: Accountability and best value*

Law at Work conducted a health and safety document audit and office risk assessment from which there were 18 concerns recorded. The remaining five outstanding actions were noted by the SMT.

*SO6: Engagement, learning and improvement*

The proposed outcomes and external messages the one-year pilot of the Learning and Improvement Unit were discussed.

The SMT agreed the direction of the authority survey and confirmed the key points for the customer forum and reference group.

The recent changes in staffing and responsibilities in the policy and CSA teams were noted.

**6. AOCB**

The SMT were informed of the proposed visit from the Irish Ombudsman to see how we handle complaints about the prison service following the addition of prisons to their remit.

***The meeting closed at 12:00`***