Governance Reporting Arrangements 2023-24

Scottish Information Commissioner

Scottish Information Commissioner

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Glossary and abbreviations

Term used	Explanation
FOISA	Freedom of Information (Scotland) Act 2002
HOCS	Head of Corporate Services
HOE	Head of Enforcement
HOPI	Head of Policy and Information
PSR	Public Services Reform (Scotland) Act 2010
The Commissioner	Scottish Information Commissioner
SMT	Senior Management Team

Governance Arrangements

1. The Scottish Information Commissioner's Governance Arrangements are set out in VC140287.

2. The tables below set out the schedule of reports that will be provided to the Scottish Information Commissioner (the Commissioner) as part of the governance arrangements to provide assurance of their effectiveness.

3. The Designated Manager is responsible for ensuring reports are submitted to the SMT (or the Commissioner where appropriate) and that the activities that contribute to the report or which are being reported on are reflected in operational plans. Each member of the Senior Manager Team is accountable to the Commissioner for those reports covered by their area of responsibility.

4. The Governance Reporting Arrangements are reviewed annually.

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
Finance							
1	**Financial**	Provide assurance that budget is managed effectively, including details of spend against budget with variances, and forecast 'committed spend' Provide report on fraud	Quarterly				HOCS
2	**Time take to pay suppliers**	Provide annual assurance suppliers are being paid promptly and KPIs achieved				✓	HOCS
Governance							
3	**Assurance for the Governance Statement**	Provide assurance to the Commissioner in his capacity as accountable officer as set out in the Internal Control Checklist.	Annual (direct to Commissioner)				HOCS
4	**Compliance with Governance Reporting Arrangements**	Provide assurance that the arrangements in this document were complied with in previous financial year	✓				HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
5	**Equalities Monitoring (Service Users)**	Where relevant and appropriate, gather and analyse service user data and use the outcomes to refine policies and practice and also to help demonstrate that the Commissioner meets the public sector duty under the Equality Act 2010. Provide assurance that all policies and projects which impact the public have been equalities impact assessed (including, where relevant and appropriate, a review of any Equalities Impact Form completed as part of a project management process)			✓		HOCS
6	**Communication and Engagement Framework**	Set forward strategy and provide annual summary and forward work plan in respect of communications, media and relevant P and I function areas. Limited annual review to ensure aims and messages remain consistent with those of the organisation				✓	HOPI
7	**Sickness Absence**	Provide data on the amount and nature of sickness absence to: • support effective management of sickness absence • monitor organisational performance against the agreed benchmark • identify trends which may indicate the need for management action				✓	HOCS
8	**Workforce Planning**	Monitoring – Workforce Plan	✓	✓	✓	✓	Commissioner

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
							HOCS HOE HOPI
9	**Workforce Trends**	Provide 'Staff in Post' data to inform resource, operational and strategic planning				✓	HOCS
Human Resources							
10	**Employment Policy Update**	Explain to the SMT of changes in employment law and provide assurance that the Commissioner's employment policies are legally compliant			✓		HOCS
11	**Equalities Monitoring (Staff)**	Demonstrate that the Commissioner meets the public sector equality duty in the Equality Act 2010 by gathering and analysing staff data and using the outcomes to refine policies and practice Provide assurance that all policies which impact staff have been equalities impact assessed (including a review of any Equalities Impact Form completed as part of a project management process) Provide assurance that staff have undertaken appropriate training to enable them to meet their obligations under the Equality Act 2010				✓	HOCS
12	**Learning and Development Plan**	Demonstrate that the Commissioner's learning and development plan is aligned with the HR Strategy and supports effective delivery of the annual Operational Plan	✓				HOCS

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
13	**Performance and Development Framework**	Provide assurance on the Framework, including: • details of number of reviews completed, and timescales achieved • outcomes e.g. organisation or team level (i.e. not individual)	✓				HOCS
14	**Review of HR Strategy**	Review of annual actions under the Human Resources Strategy		✓			HOCS
Information and Records Management							
15	**Information and Records Management**	Provide assurance that the Commissioner's information and records are being managed in accordance with published policies and procedures and that: • records are held for the appropriate time • information is held securely • appropriate back-up arrangements are in place • personal data is being lawfully processed • key documents are being managed in line with the Key Documents Handbook				✓	HOCS
16	**Key Documents**	Provision of a report on outstanding reviews, reviews due and reviews not completed	every 2 months				HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
17	**Publication Scheme (Commissioner)**	Provide assurance that the Commissioner is publishing and making accessible as much information as possible, in line with their own published good practice			✓		HOCS
Performance Management and Monitoring							
18	**Enquiries Service**	Provide information on key performance measures, volumes and subject matter of enquires to inform resource planning		✓		✓	HOCS
19	**Feedback from events and training**	Provide assurance that feedback achieves key performance indicators and to support continuous improvement	Per event schedule				HOPI
20	**Subject Access Requests**	Provide information on key performance indicators and volumes	✓	✓	✓	✓	HOCS
21	**Information Requests and Reviews**	Provide information on key performance measures, volumes and subject matter of requests and reviews to inform resource planning, incl. statistics and Reuse Requests	✓	✓	✓	✓	HOCS
22	**Information Requests and Requests for Reviews**	Provide assurance to HOCS that responses to information requests and requests for reviews comply with relevant legislation and related guidance				✓	HOE
23	**Investigations Performance**	Report on performance, including whether key performance measures are being achieved, numbers and KPIs, ages of cases, etc.	✓	✓	✓	✓	HOE
24	**Operational Plan Monitoring**	Monitor and provide assurance that activities are progressing to plan and to inform the prioritisation of projects and resources	Every 2 months				HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
25	**Publications Schemes (PAs)**	Provide assurance that adoptions are progressing in line with key performance indicators				✓	HOPI
26	**Interventions**	Provide quarterly reports on interventions carried out during the year	✓	✓	✓	✓	HOPI
27	**Quality Assurance – Investigations**	*Provide assurance on the quality of investigations as defined by the agreed quality criteria as set out in the Investigations Handbook* *(On hold – to re-start in 2024-25 – kept as placeholder)*	✓	✓	✓	✓	HOE
28	**Quality Assurance - Enquiries**	Provide assurance on the quality of responses to enquiries as defined by the agreed quality criteria				✓	HOCS
29	**Self-Assessment Tools**	Provide assurance on the utilisation and effectiveness of the self-assessment tools			✓		HOPI
30	**Service Standards**	Provide assurance on the quality of service provision, including: • number of compliments received • number of complaints received and their outcomes	✓	✓	✓	✓	HOCS
31	**Website Performance and Analytics Report**	Provide report on website usage and assurance that key performance measures are achieved		✓		✓	HOPI
Risk							
32	**Health and Safety**	Provide assurance that the Commissioner is meeting their statutory obligations in respect of employee health, safety and well-being, and is providing statutory training	✓		✓		HOCS
33	**UK GDPR Report**	Provide report on UK GDPR and data protection arrangements, including data incidents	✓	✓	✓	✓	HOCS

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
34	**Risk Management**	Provide annual assurance that risk is being managed effectively, including a review of the Risk Management Policy				✓	HOCS
35	**Risk Registers**	Provide assurance that risk is being managed effectively, in line with Risk Policy:					HOCS
		- Operational Risk Register	every 2 months				
		- Strategic Risk Register and Heat Maps (both Registers)	✓	✓	✓	✓	
Statutory							

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	

36	**Annual Report and Accounts (ARA)**	Provide:
		• Performance Report (HOPI) (HOCS as regards the relevant corporate sections)
		• Accountability Report (HOCS)
		  ○ Parliamentary Accountability
		  • Commissioner's Report
		  • Statement of Accountable Officer's Responsibilities
		  • Governance Framework/Scheme of Control
		  • Remuneration and staff report (HOCS)
		• Financial Statements (HOCS)
		• successfully audited Annual Report (ARA) (HOCS)
		• designed, printed (as required) and signed ARA (HOPI/HOCS)
		• Auditor General clearance for laying (HOCS)
		• laying of the ARA before Parliament (HOPI)
		The ARA to be drafted in compliance with the Scottish Public Finance Manual and the Government Financial Reporting Manual (FReM).
			Draft Performance Report agreed by SMT
			ARA - final sign off by Commissioner
							HOPI and HOCS
							(as indicated)

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
37	**Statements of Expenditure** **(Public Services Reform (Scotland) Act 2010) (PSR(S)A)**	Publish statements of expenditure as required by section 31 of the PSR (S)Act				✓	HOCS
38	**Statement on Sustainable Growth** **(PSR (S) Act)**	Publish statement as required by section 32 of the PSR (S) Act				✓	HOCS
39	**Prescribed Persons (Reports on Disclosure of Information) Regulations 2017**	Publish annual report				✓	HOE
40	**British Sign Language**	Action Plan – final report and review		✓			HOPI
41	**British Sign Language**	New Action Plan		✓			HOPI
42	**Report on Biodiversity**	As required by the Nature Conservation Act 2004 (every 3 years)			✓		HOCS
43	**Sustainable Development**	Monitor and report on Carbon Footprint				✓	HOCS
44	**Strategic Plan** **2020-24**	New Plan		✓			Commissioner

Senior Management Team Meetings – outline agendas

Quarter/Month	Meeting type	Standing items	Additional items (there may be further additional items included on the agenda for each meeting as required)
Q1			
April	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Key Documents – outstanding, due and not completed)
May	Monthly	Operational Plan 2023-24 Monitoring – BAU and Projects Operational Risk Register 2023-24	Governance Reporting – assurance report
June	Monthly	Key Documents – outstanding, due and not completed	Draft Annual Report and Accounts (ARA) (Performance Report)
Q2			
July	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Operational Plan Monitoring and Operational Risk Register)
August	Monthly	Key Documents – outstanding, due and not completed	Internal Audit Policy and Plan
September	Monthly	Operational Plan 2023-24 Monitoring – BAU and Projects Operational Risk Register 2023-24	
Q3			
October	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Key Documents – outstanding, due and not completed)
November	Monthly	Operational Plan 2023-24 Monitoring – BAU and Projects Operational Risk Register 2023-24	
December	Monthly	Key Documents – outstanding, due and not completed	
Q4			
January	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Operational Plan Monitoring and Operational Risk Register)
February	Monthly	Key Documents – outstanding, due and not completed	
March	Monthly	Operational Plan 2023-24 Monitoring – BAU and Projects Operational Risk Register 2023-24	

Quarterly Senior Management Team Meetings - agendas

Quarter 1: July (to 30 June)

Standing Items

- Minutes, action points update and matters outstanding
- Finance Report
- Health and Safety
- Information Requests and Reviews
- Subject Access Requests
- Services Standards
- Investigations Performance
- *Quality Assurance – Investigations**
- Operational Plan Monitoring Report 2023-24
- UK GDPR Report
- Interventions Report
- Workforce Planning
- Operational Risk Register 2023-24
- Strategic Risk Register 2023-24

Additional Items

- Learning and Development Plan 2023-24
- Performance and Development Framework

** on hold – to re-start in 2024-25 – kept as placeholder*

Quarter 2: October (to 30 September)

Standing Items

- Minutes, action points update and matters outstanding
- Finance Report
- Information Requests and Reviews
- Subject Access Requests
- Services Standards
- Enquiries Service
- Website
- Investigations Performance
- *Quality Assurance – Investigations**
- Key Documents
- UK GDPR Report
- Interventions Report
- Workforce Planning
- Strategic Risk Register 2023-24

Additional Items

- Review of HR Strategy
- British Sign Language Plan – 2018-2023 (final review and report)

** on hold – to re-start in 2024-25 – kept as placeholder*

Quarter 3: January (to 31 December)

Standing Items

- Minutes, action points update and matters outstanding
- Finance Report
- Information Requests and Reviews
- Subject Access Requests
- Services Standards
- Health and Safety
- Investigations Performance
- Quality Assurance – Investigations*
- Operational Plan Monitoring Report 2023-24
- UK GDPR Report
- Interventions Report
- Workforce Planning
- Operational Risk Register 2023-24
- Strategic Risk Register 2023-24

Additional Items

- Publication Scheme (Commissioner) Assurance Report
- Self-Assessment Tool Kits
- Equalities Monitoring – Service Users
- Employment Policy Update
- Biodiversity report (every 3 years)
- British Sign Language Plan –2023-2028

**on hold – to re-start in 2024-25 – kept as placeholder*

Quarter 4: April (to 31 March)

Standing Items

- Minutes, action points update and matters outstanding
- Finance Report
- Sickness Absence
- Statements of Expenditure – PSR(S)A
- Information Requests and Reviews, including Assurance Statement
- Subject Access Requests
- Services Standards
- Enquiries Service
- Website
- Investigations Performance
- Quality Assurance – Investigations
- Key Documents
- UK GDPR Report
- Interventions Report
- Workforce Planning
- Strategic Risk Register 2023-24

Additional Items

- Time taken to pay suppliers
- Workforce Trends
- Quality Assurance – Enquiries
- Publication Schemes (PAs)
- Communication Strategy
- Risk Management Annual Assurance Report
- Prescribed Persons (Reports on Disclosure of Information) Regulations 2017
- Information and Records Management
- Equalities Monitoring – Staff
- Sustainable Growth Statement (PSR) and Sustainable Development Carbon Footprint (CR)
- British Sign Language - Action Plan – report and review

** on hold – to re-start in 2024-25 – kept as placeholder*

Document control sheet

Document Information	
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Summary of changes to document

Date	**Action by** *(initials)*	**Version updated** *(e.g. v01.25-36)*	**New version number** *(e.g. v01.27, or 02.03)*	**Brief description** (*e.g. updated paras 1-8, updated HOPI to HOCS, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding*)
27/07/23	BOW	06.00	06.01	New document created following approval of draft
27/07/23	BOW	06.01	06.02	DCS updated, published on website
01/08/23	HGS	06.02	06.04	Updated to remove item on QSMTM Q1 agenda as no longer required and to refer to 2023-24 Risk Registers and to 2023-24 Operational Plan Monitoring and DCS updated.
03/08/23	BOW	06.04	06.05	DCS updated, published on website

Scottish Information Commissioner
Kinburn Castle
Doubledykes Road
St Andrews, Fife
KY16 9DS

t 01334 464610
f 01334 464611
enquiries@itspublicknowledge.info

www.itspublicknowledge.info

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