

Operational Plan Monitoring Report

Scottish Information Commissioner

2016-17



Scottish Information
Commissioner

Human Resources Management

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Annual report to SMT on Performance & Development Framework	BAU	Annual	01/07/2016	31/07/2016					X	H	C				HOOM	
2	Create Annual Learning & Development Plan (internal)	BAU	Annual	01/05/2016	30/06/2016					X	H	C				HOOM	
3	Review HR Strategy	BAU	Annual	01/04/2016	30/06/2016					X	M	C				HOOM	
4	Apply & monitor Performance & Development Framework	BAU		01/04/2016	30/09/2017					X	H	G				HOOM	

Improving Authority Practice

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Monitor authority compliance with the Model Publication Scheme	BAU		01/11/2016	31/05/2017	X	X				M	NS				HOPI	
2	Hold a programme of regional roadshows to promote FOI authority good practice, leadership and governance	BAU		01/04/2016	31/03/2017	X	X			X	H	G				HOPI	
3	Liaise with Holyrood Events about the annual Holyrood Conference	BAU		01/04/2016	31/12/2016	X	X	X		X	L	G				HOPI	
4	Organise & deliver a practitioners' conference for the Centre for FOI - May 2017	BAU		01/11/2016	31/05/2017	X	X		X		M	NS				HOPI	
5	Produce and publish weekly decisions round up	BAU	Weekly	01/04/2016	31/09/2017	X	X	X		X	H	G				HOE/HOPI	
6	Produce & publish annual report on lessons learned from decisions round-up	BAU	Annual	01/01/2017	29/02/2017	X				X	M	NS				HOPI	
7	Maintain and build engagement in the Knowledge Hub group for public authorities	BAU		01/05/2016	30/09/2017	X	X		X		H	G				HOPI	
8	Provide quarterly intervention procedure reports to Investigations Performance Meetings	BAU		01/04/2016	30/09/2017	X		X			H	G				HOPI	Manual reports provided - awaiting full case management system reporting
9	Develop a BAU approach to producing quarterly intervention procedure reports procedures	Project		01/07/2016	30/09/2016	X		X			H	G				HOPI	
10	Deliver one Level 3 intervention with a single authority or group of authorities as needed (as recommended by IPM and approved by SMT)	Project		01/05/2016	31/03/2017	X		X			S/H	NS				HOPI	
11	Draft, manage approval and publish a self-assessment toolkit for authorities on proactive publication.	Project		01/06/2016	31/08/2016	X	X				H	A				HOPI	Start slightly delayed until new self-assessment materials completed
12	Draft, manage approval and publish a self-assessment toolkit for authorities on FOI reviews.	Project		01/01/2017	28/02/2017	X		X			H	NS				HOPI	
13	Produce and publish support materials for housing associations on proactive dissemination	Project		01/10/2016	30/10/2016	X		X			M	NS				HOPI	
14	Provide a training event for new FOI practitioners at the SIC offices	Project		01/03/2017	31/04/2017	X		X			M	NS				HOPI	
15	Provide a themed round table event at the SIC offices	Project		01/04/2017	30/05/2017	X		X			M	NS				HOPI	
16	Provide support to new authorities designated under s5 to prepare for FOI duties	Project		01/04/2016	01/09/2016	X	X		X		H	G				HOPI	Guidance and training delivered.

Information Management

Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
					1	2	3	4	5							
1 Apply on-going IRM controls and procedures - P&I	BAU	Annual	01/06/2016	30/09/2016					X	S/H	G				HOOM	
2 Apply on-going IRM controls and procedures -Enforcement	BAU	Annual	01/07/2016	30/09/2016					X	S/H	G				HOOM	
3 Apply on-going IRM controls and procedures - OMT	BAU	Annual	01/10/2016	31/03/2017					X	S/H	G				HOOM	
4 Review IRM Policies & Procedures	BAU	Annual	01/01/2017	31/03/2017					X	S/H	A				HOOM	SMT agreed to revised target date 31/08/16
5 IRM Assurance report to SMT	BAU	Annual	01/07/2016	31/07/2016					X	S/H	C				HOOM	
6 Maintenance of secure and reliable IT network	BAU		01/04/2016	30/09/2017					X	S/H	G				HOOM	
7 Agree review programme for Key Documents	BAU		01/05/2016	31/05/2016 31/07/2016					X	H	G				HOOM	SMT agreed revised target date of 31/07/16
8 Manage Key Documents as per agreed review programme agreed annually	BAU		01/04/2016	30/09/2017					X	H	G				HOOM	
9 Monitor compliance with Data Protection legislation	BAU		01/04/2016	30/09/2017					X	S	G				HOOM	
10 Respond to information requests and reviews in line with policy and procedure, within statutory time scales	BAU		01/04/2016	30/09/2017			X		X	S	G				HOOM	
11 Maintain a compliant publication scheme and guide to information	BAU		01/04/2016	30/09/2017		X			X	S	G				HOOM	
12 SIC Publication Scheme Assurance report to SMT	BAU	Annual	01/01/2017	31/01/2017					X	S/H	NS				HOOM	
13 EDRMS - develop records management processes (retention and disposal, and key documents)	Project		01/01/2017	31/03/2017					X	M	NS				HOOM	
14 Introduction of EU General DP Regulation - update/revise corporate arrangements to ensure compliance	Project		01/07/2016	31/05/2018					X	S/H	G				HOOM	
15 Implementation of Information Management Strategy - Phase I: Scoping & Planning, and implement 'quick hits'	Project		01/04/2016	31/12/2016					X	S/H	G				SIC	25/7/16 On track: Re-use work remains priority. Two outstanding items are complaints procedure (awaiting legal advice about interpretation) and information asset register. Other scoping work is on track.
16 Implementation of Information Management Strategy - Phase II: Implementation of plan developed at Phase I	Project		01/01/2017	TBA					X	S/H	NS				HOOM	
17 Scope project to bring website file library metadata up to Dublin Core standard or equivalent and making it open and machine readable	Project		01/10/2016	30/11/2016					X	S/H	NS				HOPI	
18 Deliver website file library metadata project (as above)	Project		dependent on IM17	dependent on IM17					X	S/H	NS				HOPI	
19 Re-organise Access to our information completely on website	Project		01/06/2016	30/06/2016					X	S/H	A				HOPI	To be rescheduled due to additional workload for appeal portal

Planning & Reporting

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Publish Statement on 3Es	BAU	Annual	01/09/2016	30/09/2016					X	S	G				HOOM	Incorporated in forthcoming Annual Reports & Accounts
2	Performance and statistical reporting	BAU	by 4th wk day each month	01/04/2016	30/09/2017	X	X	X	X	X	S	G				HOOM	
3	Public Service Reform (Scotland) Act 2010 - Annual expenditure reporting	BAU	Quarterly	01/04/2016	30/09/2017					X	S	G				HOOM	
4	Co-ordinate, prepare and publish Operational Plan 17/18	BAU	Annual	01/01/2017	31/03/2017	X	X	X	X	X	H	NS				HOOM	
5	Programme Board - oversee and steer project work	BAU	Monthly	01/04/2016	30/09/2017	X	X	X	X	X	H	G				SMT	
6	Monitor and report progress against Operational Plan	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	H	G				SMT	
7	Report against our annual Governance Reporting Arrangements Cycle	BAU		01/04/2016	30/09/2017	X	X	X	X	X	H	G				SMT	
8	Prepare Annual Report Statistics	BAU	Six -Monthly	01/04/2016	30/09/2017	X	X	X	X	X	M	G				HOOM	
9	Case Management System - development and implementation of reports, data-sets, & develop in-house report-writing skills	Project		01/06/2016	31/12/2016					X	M	G				HOOM	Commencement delayed pending completion of 2015/16 Completions (3)

Promotion and Communications

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment / Update
						1	2	3	4	5							
1	Produce and implement annual Communication Plan, introducing regular reporting	BAU	Annually	01/04/2016	30/05/2016	X	X	X	X	X	H	A				HOPI	Delayed due to workload arising from staff absence
2	Manage and maintain press and media enquiry service	BAU		01/04/2016	30/09/2017					X	H	G				HOPI	
3	Promote effective use of FOI rights to civil society and media organisations	BAU		01/04/2016	30/09/2017			X			S	G				HOPI	
4	Research the extent of public awareness of FOI rights through an omnibus poll	BAU	Annually	01/07/2016	31/10/2016			X			H	G				HOPI	
5	Promote use by applicants of the online appeal portal: increase prominence of portal across website; gather user feedback to improve the service	BAU		01/05/2016	30/09/2016			X		X	S	A				HOPI	Delayed by additional system security checks
6	Research, draft and publish the Annual Report and Accounts (see also RM5 & P&C13)	BAU		01/04/2016	30/09/2016	X	X	X	X	X	S	G				HOPI	
7	Manage and report on enquiries service	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	H	G				HOOM	
8	Report on website usage against performance targets	BAU	Quarterly	01/04/2016	30/09/2017	X				X	H	G				HOPI	
9	Maintain website content, ensuring it is up to date and relevant, and reporting progress	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X		X	H	G				HOPI	
10	Manage the collection of statistics from the FOI/ EIR statistics portal	BAU	Quarterly	01/04/2016	30/09/2017	X	X				H	G				HOPI	
11	Develop, implement and monitor internal procedures for press and media work	Project		01/10/2016	31/12/2016					X	H	NS				HOPI	
12	Scope a promotional activity for Year of Young People, or similar	Project		01/08/2016	01/09/2016		X				M	NS				HOPI	
13	Implement new FReM annual reporting requirements and establish design template for future reports	Project		18/04/2016	31/07/2016					X	S/H	G				HOPI	
14	Maintain and support standing advisory group of practitioners e.g. development of resources and learning	Project		01/04/2016	30/09/2017	X	X				M	A				HOPI	Delayed due to workload arising from staff absence

Quality Assurance

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/Update
						1	2	3	4	5							
1	User Feedback - collection and analysis	BAU	Six Monthly	01/04/2016	30/09/2017	X	X	X		X	M	Disc.				HOOM	Collection suspended. Outcome of QA 9 will determine future approach
2	Compliments and Complaints - recording and analysis	BAU	Six Monthly	01/04/2016	30/09/2017					X	S	G				HOOM	
3	Information requests - collection of performance data in line with the requirements of the s60 code of practice and the FOI/EIRs statistics portal	BAU	Quarterly	01/04/2016	30/09/2017					X	S	G				HOOM	
4	Service User Equalities Statistics - collection and analysis	BAU	Annual	01/04/2016	30/09/2017			X		X	H	G				HOOM	
5	Monitor and review Investigation targets & KPIs to ensure appropriate and fit for purpose	BAU		01/04/2016	31/03/2017			X		X	H	G				HOE	
6	Monitor and report against performance and quality framework, including an annual review of KPIs and other targets and standards	BAU		01/04/2016	31/03/2017	X	X	X	X	X	H	G				SMT	
7	Quality Assurance reviews - Investigations	BAU		01/04/2016	30/09/2017					X	M	G				HOE	
8	Quality Assurance reviews - Enquiries	BAU		01/04/2016	30/09/2017					X	M	G				HOOM	First review May 16
9	User Feedback - review of effectiveness of current methodology	Project		01/05/2016	31/12/2016					X	M	G				HOOM	

Resource Management

Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
					1	2	3	4	5							
1 Set and profile budget for 2017/18	BAU	Annual	01/06/2016	31/08/2016	X	X	X	X	X	S	G				HOOM	
2 Current year Budget monitoring and control	BAU	Monthly	01/04/2016	31/03/2017	X	X	X	X	X	S	G				HOOM	
3 Implement and report upon prompt payment of invoices	BAU	Quarterly	01/04/2016	30/09/2017					X	S/H	G				HOOM	
4 Workforce monitoring and planning	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	H	G				HOOM	
5 Audited Accounts element of Annual Report and Accounts- drafting and clean approval (see also P&C 6)	BAU		01/04/2016	31/08/2016					X	S	G				HOOM	
6 Maintenance of premises	BAU		01/04/2016	30/09/2017					X	M	G				HOOM	
7 Procurement and contract management	BAU		01/04/2016	30/09/2017					X	S/H	G				HOOM	
8 Provision of Governance Statement of Assurance to SIC	BAU	Annual	01/05/2016	31/05/2016					X	S	C				HOOM	
9 Legal Services contract option to extend - review	BAU		01/05/2016	30/06/2016					X	H	C				HOE	
10 Tender for Provision of Legal Services	Project		01/01/2017	30/06/2017					X	H	NS				HOE	
11 Tender IT Support & Maintenance Contract	Project		01/07/2016	31/12/2016					X	H	NS				HOOM	
12 Business review of corporate function	Project		01/05/2016	31/12/2016					X	H	G				HOOM	Not started, but will complete on time

Regulation & Enforcement

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Enforce FOI in line with Enforcement Policy	BAU		01/04/2016	30/09/2017	X	X				S	G				HOE	
2	Register, validate, investigate and decide applications in line with approved procedures and KPIs	BAU	Monthly	01/04/2016	30/09/2017					X	S	G				HOE	
3	Monitor and report on investigation performance	BAU	Monthly	01/04/2016	30/09/2017	X				X	S/H	G				HOE	
4	Consider whether there are appropriate bodies suitable to designate under s4 and s5 as a matter of routine, and propose to Scottish Ministers	BAU		01/01/2017	28/02/2017				X	X	S	NS				HOPI	
5	Provide legal advice to the Commissioner as and when required, and update record of legal advice	BAU		01/04/2016	30/09/2017	X				X	H	G				HOE	
6	Review the Model Publication Scheme, Commissioner's Guidance and support materials, communicating updates to all authorities	BAU		01/02/2017	30/04/2017	X	X				S	NS				HOPI	
7	Manage and monitor notifications from new authorities to comply with publication scheme	BAU	As required	01/04/2016	30/09/2016	X	X				S	G				HOPI	
8	Maintain a rolling-programme to ensure standard letters on case management system are reviewed and updated regularly, and as needed.	BAU		01/04/2016	30/09/2017	X				X	H	G				HOE	
9	Respond to the Scottish Government consultation on designation of Registered Social Landlords under s5	BAU		dependent on consultation dates	dependent on consultation dates	X		X			H	NS				HOPI	
10	Provide support, as required, to the review of the Scottish Social Housing Charter	BAU		01/04/2016	30/07/2016	X		X			M	G				SIC	
11	Survey new authorities' experience of FOI	BAU		01/02/2017	30/04/2017	X		X			M	NS				HOPI	
12	Ensure compliance with Re-use of Public Sector Information Regulations 2015	BAU		01/04/2016	30/09/2017					X	S	G				HOE	
13	Publish a Special Report on proactive publication	Project		01/11/2016	28/02/2017	X		X			H	NS				HOPI	
14	Scope the potential for a Special Report in 2017-18 on designation of third sector organisations under s5	Project		01/12/2016	31/03/2017	X		X			M	NS				HOPI	

Risk Management

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Review of risk, updating of register and annual risk report	BAU	Monthly	01/04/2016	30/09/2017	X	X	X	X	X	S	G				HOOM	
2	Implement internal audit plan	BAU	Annual	01/10/2016	31/03/2017	X	X	X	X	X	S/H	G				HOOM	
3	BCP - maintenance of plan and testing	BAU	Annual	01/01/2017	30/09/2017	X	X	X	X	X	H	NS				HOOM	
4	H&S reporting and procedures	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	S	G				HOOM	
5	BCP - review of plan	Project		01/07/2016	31/12/2016	X	X	X	X	X	H	G				HOOM	Not started, but will complete on time

Sustainable Development

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Monitor Carbon Footprint	BAU	Quarterly	01/04/2016	30/09/2017					X	S	G				HOOM	

2015-16 Completions

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Human Resource Management Employee Handbook - finalisation, approval & communication	Project		01/04/2016	31/07/2016					X	S/H	A				HOOM	In progress, but completion delayed until 31/08/16 due to competing priorities
2	Information Management Website File Library - development and implementation of improved records management procedures	Project		01/04/2016	30/06/2016					X	H	A				HOOM/HOPI	Progress delayed due to supplier dependency. Revised completion date of 30/09/16
3	Planning & Reporting Case Management System - development and implementation of improved reporting	Project		01/04/2016	31/05/2016					X	H	A				HOOM	In progress, but completion delayed until 31/08/16 due to competing priorities
4	Resource Management Review of Procurement Policy & Procedures	Project		01/04/2016	30/06/2016					X	S/H	A				HOOM	In progress, but completion delayed until 16/08/16 due to competing priorities
5	Improving Authority Practice Publish and promote Model Publication Scheme monitoring report	BAU		01/04/2016	30/04/2016	X	X				M	C				HOPI	
6	Improving Authority Practice Produce and publish annual report on lessons learned from decisions round-up	BAU		01/04/2016	30/06/2016	X				X	M	A				HOPI	In progress, but completion delayed due to staff absence. Anticipated completion 31/08/16.
7	Improving Authority Practice Publish revised self-assessment tools for authorities	Project		01/04/2016	31/05/2016	X	X				H	A				HOPI	Materials ready for publication, delays due to staff absence. Anticipated completion 12/08/16
8	Promotion and Communications Launch external blog and email service	Project		01/04/2016	30/06/2016	X	X	X	X	X	M	A				HOPI	Email service operational, blog delayed due to technical issues. Anticipated launch of blog 30/09/16.
9	Promotion and Communications Complete migration of statistics portal database	BAU		01/04/2016	30/05/2016	X	X	X		X	H	A				HOPI	At final User Acceptance Testing stage. Completion dependent on supplier
10	Promotion and Communications Review and deliver the range of reports available from the FOI/EIR statistics dataset	Project		01/06/2016	30/07/2016	X	X				M	A				HOPI	Dependent on item 9 above
11	Promotion and Communications Launch online appeal portal integrated with Case Management System	Project		01/04/2016	30/06/2016			X			H	A				HOOM/HOPI	Additional security measures implemented, training and support materials close to completion. Anticipated completion 31/08/16

2016-17 Additional Items

Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
					1	2	3	4	5							
Produce and publish template Guide to Information for grant-aided and independent special schools					X	X	X				C				HOPI	
Discuss with Keeper of Records of Scotland whether the s61 Code on Records Management should be reviewed									X		C				SIC	
Implementation of revised approach to single Model Publication Scheme					X	X	X				C				HOPI	
Additional press activity generated by election											C				SMT	
International Advisory Group for Carter Center											C				SIC	
SIC- Conference, IDP Commissioner's Office of Albania											C				SIC	
Talk to British Computer Society re FOI											C				HOE	
Manual production of statistics for 3 months											G				HOOM	Awaiting completion of 15-16 Completion (3)
Khub - additional work											C				HOPI	
Response to Social Housing Charter consultation											C				HOPI	