

Operational Plan Monitoring Report
Scottish Information Commissioner

2016-17



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	C	C		HOOM	
2	Create Annual Learning & Development Plan (internal)	BAU	Annual	01/05/2016	30/06/2016					X	H	C	C	C		HOOM	
3	Review HR Strategy	BAU	Annual	01/04/2016	30/06/2016					X	M	C	C	C		HOOM	
4	Apply & monitor Performance & Development Framework	BAU		01/04/2016	30/09/2017					X	H	G	G	G	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	G	G	G	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	G	G	C	HOPI	
3 Liaise with Holyrood Events about the annual Holyrood Conference	BAU		01/04/2016	31/12/2016	X	X	X		X	L	G	G	C	C	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	NS	G	G	HOPI	
5 Produce and publish weekly decisions round up	BAU	Weekly	01/04/2016	31/09/2017	X	X	X		X	H	G	G	G	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	Disc.	Disc.	Disc.	HOPI	Alternative approach to publication in real time being developed and implemented
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	G	G	G	HOPI	
8 Provide quarterly intervention procedure reports to Investigations Performance Meetings	BAU		01/04/2016	30/09/2017	X		X			H	G	G	A	G	HOPI	
9 Develop a BAU approach to producing quarterly intervention procedure reports	Project		01/07/2016	30/09/2016	X		X			H	G	G	G	C	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	G	G	G	SIC	
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	G	G	C	HOPI	
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	NS	G	A	HOPI	C/F to 17/18 Plan, completions
13 Produce and publish support materials for housing associations on proactive dissemination	Project		01/10/2016 01/03/17	30/10/2016 15/04/2017	X		X			M	NS	C	C	C	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	G	Disc.	Disc.	HOPI	Discontinued as higher priority work diverted resources
15 Provide a themed round table event at the SIC offices	Project		01/04/2017	30/05/2017	X		X			M	NS	Disc.	Disc.	Disc.	HOPI	Subsume into other/ future work, resources permitting
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	C	C	C	HOPI	C/F to 17/18 Plan, completions

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 31/01/2017					X	S/H	G	A	G	C/fwd	HOOM	2nd level review discontinued as alternative approach using ERDMS system being developed. Subsumed into IM1 of 17/18 operational plan
2 Apply on-going IRM controls and procedures -Enforcement	BAU	Annual	01/07/2016	30/09/2016 30/11/2016 31/01/2017					X	S/H	G	A	A	C/fwd	HOOM	2nd level review discontinued as alternative approach using ERDMS system being developed. Subsumed into IM1 of 17/18 operational plan
3 Apply on-going IRM controls and procedures - OMT	BAU	Annual	01/10/2016	31/03/2017					X	S/H	G	G	G	G	HOOM	
4 Review IRM Policies & Procedures	BAU	Annual	01/01/2017	31/03/2017					X	S/H	NS	NS	G	G	HOOM	
5 IRM Assurance report to SMT	BAU	Annual	01/07/2016	31/07/2016 27/10/2016 31/01/2017					X	S/H	G	A	A	C	HOOM	
6 Maintenance of secure and reliable IT network	BAU		01/04/2016	30/09/2017					X	S/H	G	G	G	G	HOOM	
7 Agree review programme for Key Documents	BAU		01/05/2016	31/05/2016 31/07/2016					X	H	G	C	C	C	HOOM	
8 Manage Key Documents as per agreed review programme agreed annually	BAU		01/04/2016	30/09/2017					X	H	G	A	A	G	HOOM	
9 Monitor compliance with Data Protection legislation	BAU		01/04/2016	30/09/2017					X	S	G	G	G	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	G	G	G	HOOM	
11 Maintain a compliant publication scheme and guide to information	BAU		01/04/2016	30/09/2017		X			X	S	G	G	G	G	HOOM	
12 SIC Publication Scheme Assurance report to SMT	BAU	Annual	01/01/2017	31/01/2017					X	S/H	NS	NS	G	G	HOOM	
13 EDRMS - develop records management processes (retention and disposal, and key documents)	Project		01/01/2017	31/03/2017					X	M	NS	NS	G	G	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	G	G	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	G	C		SIC	
16 Implementation of Information Management Strategy - Phase II: Implementation of plan developed at Phase I Information and Digital Strategy Scoping	Project		01/01/2017	TBA					X	S/H	NS	NS	G	G	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	NS	Disc.	Disc.	SIC	Subsumed into re-scoped Information Strategy
18 Deliver website file library metadata project (as above)	Project		01/10/2016	30/11/2016					X	S/H	NS	NS	Disc.	Disc.	HOPI	Subsumed into re-scoped Information Strategy
19 Re-organise Access to our information completely on website	Project		01/06/2016 01/11/16 01/03/17	30/06/2016 20/01/17 31/03/17					X	S/H	A	A	G	A	HOPI	C/F to 17/18 Plan, completions

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	C	C		HOOM	
2	Performance and statistical reporting	BAU	by 4th wk day each	01/04/2016	30/09/2017	X	X	X	X	X	S	G	G	G	G	HOOM	
3	Public Service Reform (Scotland) Act 2010 - Annual expenditure reporting	BAU	Quarterly	01/04/2016	30/09/2017					X	S	G	G	G	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	NS	NS	C	HOOM	
5	Programme Board - oversee and steer project work	BAU	Monthly	01/04/2016	30/09/2017	X	X	X	X	X	H	G	G	G	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	G	G	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	G	G	G	SMT	
8	Prepare Annual Report Statistics	BAU	Six -Monthly	01/04/2016	30/09/2017	X	X	X	X	X	M	G	G	G	G	HOOM	
9	Case Management System - development and implementation of reports, data-sets, & develop in-house report-writing skills	Project		01/06/2016 01/01/2017	31/12/2016 31/03/2017					X	M	G	G	G	G	HOOM	

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 Refresh and implement annual Communication Plan, introducing regular reporting	BAU	Annually	01/04/2016	30/05/2016	X	X	X	X	X	H	A	A	A	C	HOPI	
2 Manage and maintain press and media enquiry service	BAU		01/04/2016	30/09/2017					X	H	G	G	G	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	G	G	G	HOPI	
4 Research the extent of public awareness of FOI rights through an omnibus poll	BAU	Annually	01/07/2016 01/01/17	31/10/2016 31/03/17			X			H	G	G	G	C	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	A	C	G	HOPI	
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	C	C	C	HOPI	
7 Manage and report on enquiries service	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	H	G	G	G	G	HOPI	
8 Report on website usage against performance targets	BAU	Quarterly	01/04/2016	30/09/2017	X				X	H	G	G	G	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	G	G	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	G	G	G	HOPI	
11 Develop, implement and monitor internal procedures for press and media work	Project		01/10/2016 01/01/17	31/12/2016 31/01/17					X	H	NS	NS	A	A	HOPI	C/F to 17/18 Plan, completions
12 Scope a promotional activity for Year of Young People, or similar	Project		01/08/2016	01/09/2016 31/01/17		X				M	NS	G	A	C	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	C	C	C	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	A	G	C	HOPI	

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.	Disc.	Disc.	Disc.	HOOM	New approach developed for future years. Current system was not VFM.
2	Compliments and Complaints - recording and analysis	BAU	Six Monthly	01/04/2016	30/09/2017					X	S	G	G	G	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	G	G	G	HOOM	
4	Service User Equalities Statistics - collection and analysis	BAU	Annual	01/04/2016	30/09/2017			X		X	H	G	G	G	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	G	G	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	G	G	G	SMT	
7	Quality Assurance reviews - Investigations	BAU		01/04/2016	30/09/2017					X	M	G	G	G	R	HOE	No QA reviews carried out in final quarter due to pressure of other work.
8	Quality Assurance reviews - Enquiries	BAU		01/04/2016	30/09/2017					X	M	G	G	A	R	HOOM	No QA reviews carried out in final quarter due to pressure of other work.
9	User Feedback - review of effectiveness of current methodology	Project		01/05/2016 01/01/2017	31/12/2016 31/03/2017					X	M	G	G	G	C	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	G	G	G	HOOM	
2	Current year Budget monitoring and control	BAU	Monthly	01/04/2016	31/03/2017	X	X	X	X	X	S	G	G	G	G	HOOM	
3	Implement and report upon prompt payment of invoices	BAU	Quarterly	01/04/2016	30/09/2017					X	S/H	G	G	G	G	HOOM	
4	Workforce monitoring and planning	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	H	G	G	G	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	C	C		HOOM	
6	Maintenance of premises	BAU		01/04/2016	30/09/2017					X	M	G	G	G	G	HOOM	
7	Procurement and contract management	BAU		01/04/2016	30/09/2017					X	S/H	G	G	G	G	HOOM	
8	Provision of Governance Statement of Assurance to SIC	BAU	Annual	01/05/2016	31/05/2016					X	S	C	C	C		HOOM	
9	Legal Services contract option to extend - review	BAU		01/05/2016	30/06/2016					X	H	C	C	C	C	HOE	
10	Tender for Provision of Legal Services	Project		01/01/2017	30/06/2017					X	H	NS	NS	NS	G	HOE	ITT, etc. drafted. Will be issued mid-May once HOCS is in place.
11	Tender IT Support & Maintenance Contract	Project		01/07/2016 01/01/2017	31/12/2016 31/03/2017					X	H	NS	NS	NS	C/fwd	HOOM	C/f with a view to procuring a service to help us scope requirements.
12	Business review of corporate function	Project		01/05/2016	31/12/2016 31/03/2017					X	H	G	G	A	C	HOOM	Completed as far as it can be. Further review to be considered next year.

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	G	G	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	G	A	G	HOE	
3	Monitor and report on investigation performance	BAU	Monthly	01/04/2016	30/09/2017	X				X	S/H	G	G	G	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	C	C	G	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	G	G	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	NS	G	G	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	A	G	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	G	G	C	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	NS	G	C	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	C	C	C	SIC	
11	Survey new authorities' experience of FOI	BAU		01/02/2017	30/04/2017	X		X			M	NS	NS	G	G	HOPI	
12	Ensure compliance with Re-use of Public Sector Information Regulations 2015	BAU		01/04/2016	30/09/2017					X	S	G	G	A	C	HOE	
13	Publish a Special Report on proactive publication	Project		01/11/2016	28/02/2017	X		X			H	NS	NS	G	A	HOPI	c/f as 17/18 completion, rescheduled to allow for MPS monitoring research data
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	NS	Disc.	Disc.	HOPI	Not a priority for this year, compared to other work

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	G	G	G	HOOM	
2	Implement internal audit plan	BAU	Annual	01/10/2016	31/03/2017	X	X	X	X	X	S/H	G	G	G	G	HOOM	
3	BCP - maintenance of plan and testing	BAU	Annual	01/01/2017	30/09/2017	X	X	X	X	X	H	NS	NS	NS	C	HOOM	Maintenace of plan complete but further changes and testing deferred until review complete.
4	H&S reporting and procedures	BAU	Quarterly	01/04/2016	30/09/2017	X	X	X	X	X	S	G	G	G	G	HOOM	
5	BCP - review of plan	Project		01/07/2016	31/12/2016 31/03/2017	X	X	X	X	X	H	G	G	A	A	HOOM	C/f to 17/18 as a completion

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	G	G	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 31/12/2016 31/01/2017					X	S/H	A	G	A	A	HOOM	c/f to 17/18 completions
2	Information Management Website File Library - development and implementation of improved records management procedures	Project		01/04/2016	30/06/2016 31/10/2016					X	H	A	G	C	C	HOOM/HOPI	Records review completed, maintenance programme included in wider website programme
3	Planning & Reporting Case Management System - development and implementation of improved reporting	Project		01/04/2016	31/05/2016 31/01/2017					X	H	A	G	G	A	HOOM	First tranche not finished due to supplier dependency, c/f to 17/18 completions Further tranches c/f to 17/18 Ops Plan
4	Resource Management Review of Procurement Policy & Procedures	Project		01/04/2016	30/06/2016 30/11/2016 28/02/2017					X	S/H	A	G	A	A	HOOM	c/f to 17/18 completions.
5	Improving Authority Practice Publish and promote Model Publication Scheme monitoring report	BAU		01/04/2016	30/04/2016	X	X				M	C	C	C	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	Disc.	Disc.	Disc.	HOPI	Alternative approach to build DRU on website so information is published and maintained in real time
7	Improving Authority Practice Publish revised self-assessment tools for authorities	Project		01/04/2016	31/05/2016	X	X				H	A	C	C	C	HOPI	
8	Promotion and Communications Launch external blog and email service	Project		01/04/2016	30/06/2016	X	X	X	X	X	M	A	A	A	C/fwd	HOPI	Email service completed 04/07/16. Blog is an element of P&C1 operational plan 2017-18, P&C1
9	Promotion and Communications Complete migration of statistics portal database	BAU		01/04/2016	30/05/2016	X	X	X		X	H	A	A	A	A	HOPI	Delay due to supplier dependency
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	A	A	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 31/08/2016			X			H	A	A	C	C	HOOM/HOPI	

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							
1	Produce and publish template Guide to Information for grant-aided and independent special schools					X	X	X				C				HOPI	
2	Discuss with Keeper of Records of Scotland whether the s61 Code on Records Management should be reviewed									X		C				SIC	
3	Implementation of revised approach to single Model Publication Scheme					X	X	X				C				HOPI	
4	Additional press activity generated by election											C				SMT	
5	International Advisory Group for Carter Center											C				SIC	
6	SIC- Conference, IDP Commissioner's Office of Albania											C				SIC	
7	Talk to British Computer Society re FOI						X					C				HOE	
8	Manual production of statistics for 3 months													G		HOOM	Awaiting completion of 15-16 Completion (3)
9	Khub - additional work											C				HOPI	
10	Response to Social Housing Charter consultation											C				HOPI	
11	Co-hosting International Conference of Information Commissioners								X				G	G		SIC	
12	Request for support from Aberdeenshire Council Audit Board for internal audit of FOI function					X		X				C				SIC	
13	Roadshow for public authorities in Shetland							X					C			SIC	
14	Revisions to s60 Code - consultation with Scottish Ministers								X				C			HOE	
15	Consultation on timescales for compliance regulations								X			C				HOE	
16	Recruitment of temporary part-time Validation Officer					X	X	X		X		G	C			HOE	
17	TAIEX sponsored visit to Skjope to present on FOI in Scotland								X			C				SIC	
18	Provision of information to FOI Unit about resource impact of designation of RSLs for Business and Regulatory Impact								X			C				HOPI	
19	Recruitment of pilot Administrative Assistant post (P&I)									X				G		HOPI	
20	Response to research on Expert Paper on Duty to Document and Decision-Making Transparency						X			X				C		SIC & HOPI	
21																	
22																	
23																	