

Scottish Information Commissioner
Minutes of the Quarterly Senior Management Team Meeting
25 April 2018

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Present: Daren Fitzhenry (DF), Margaret Keyse (MK), Sarah Hutchison (SH), Helen Gardner-Swift (HGS), Kim Berry (KB) (Minutes)

Details	Action By	Target Completion Date	Publish Yes / No	Comments
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1. Action points update and matters outstanding from previous meeting

• Guide to Information to be updated	HGS	30/06/18	Yes	Publish in full
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2. Confirmation of governance decisions taken at informal SMT meetings

• The list of key decisions taken to 31 March 2018 was reviewed, confirmed as a complete record and all decisions ratified.			Yes	Publish in full
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3. Finance Report: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> HGS provided a verbal update and stated the following: the expenditure for 2017-18 was within budget the preparation of the financial statements is underway SMT approval required, financial report will be published following completion of the work related to the financial statements 	HGS	05/06/18	N/A	
	SMT	30/06/18		

4. Invoice Payments

<ul style="list-style-type: none"> The report was discussed and noted It was also noted that <ul style="list-style-type: none"> KPIs were achieved for the year Procedures are in place to mitigate the late payment of invoices 			Yes	Published in full
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5. Statements of Expenditure (PSR Act): Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> Deferred to additional QSMTM 	HGS	22/05/18	N/A	
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6. Operational Plan Monitoring: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> MK and SH to update DF will review and approve as the correct position at year ended 31 March 2018. 	MK/SH	02/05/18	Yes	Published in full
	DF	04/05/18		

7. Strategic & Operational Risk Registers & Heat Maps: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> • The risk registers were discussed and agreed subject to the following amendments <ul style="list-style-type: none"> ○ Strategic Risk Register, Quarter 4, Risk 7 to be included on the heat map ○ Commentary for Q4 provided by DF to be included 	HGS	11/05/18	No	Exemption – s30(b)(ii) s30(c)
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8. Health and Safety: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> • The outstanding item was noted and the report was approved. 			No	Exemption – s39(1)
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9. Sickness Absence: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> • The report was discussed and noted. 			No	Exemption – s38(1)(b)
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10. Enquiries Service: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> • The report was discussed, noted and approved with the following comments:- <ul style="list-style-type: none"> ○ Decrease in the number of enquiries for quarter four ○ Small increase in number of enquiries for the year ○ The printed “Enquires Received” report is no longer required for QSMTM papers as this is available electronically. CST will provide a link to the report with future agendas • DF commented on the excellent performance against KPIs 			Yes	<p>Committee Report published in full.</p> <p>Background papers not published – exemption s38(1)(b)</p>
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11. Information Requests and Reviews: Report for the period-ended 31 March 2018

<ul style="list-style-type: none"> • The report was discussed, noted and approved with the following comments:- <ul style="list-style-type: none"> ○ Paragraph 14 - to be amended to include the rationale for the decision not to time record ○ No requests for review were received in Q4 ○ The increase in the number of requests regarding our function can inform future development of the website and the Publication Scheme and will be monitored ○ The case by case analysis report is no longer required for QSMTM papers 	HGS	11/05/18	Yes	<p>Committee Report published in full.</p> <p>Background papers not published – exemption S38(1)(b)</p>
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12. Website

<ul style="list-style-type: none"> • The report was discussed and noted with the following comments:- <ul style="list-style-type: none"> ○ There has been a decrease in views across the website ○ There have been more new visitors as opposed to returning visitors ○ The need to refresh the website and review the DRU has been identified as an action in the Operational Plan 2018-19 ○ Options to allow subscribers to sign up for different news are being investigated 			Yes	Published in full
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13. Key Documents/IRM Assurance Report

<ul style="list-style-type: none"> Key Documents (forthcoming and overdue) are now reviewed monthly by the SMT instead of the review taking place at the QSMTM IRM Assurance Report deferred to additional QSMTM 	HGS	22/05/18	N/A	
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14. Equalities Monitoring – Service Users

<ul style="list-style-type: none"> The report was discussed noted and approved with the following comments:- <ul style="list-style-type: none"> To align with governance reporting the year will be changed from calendar to financial year with effect from 2018-19 (there may need to be a lead in period) The categories will be reviewed in line with updated guidance available from the Equalities and Human Rights Commission Q1. Ethnicity table - amendment required to figures in regarding the last category (White) Category Q5 (Age) results were considered – the Commissioner is actively promoting awareness to younger people and the variance will be monitored 			Yes	Published in full
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15. Equalities Monitoring - Staff

<ul style="list-style-type: none"> The report was noted. The SMT did not indicate any policy areas which need to be refined in the light of this report 			No	Exemption – s38(1)(b) s36(2)
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16. Workforce trends

<ul style="list-style-type: none"> The report was noted 			Yes	Published in full
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17. Service Standards

<ul style="list-style-type: none"> The report reviewing compliments and complaints recorded in the period 1 April 2017 - 31 March 2018 was noted. 			Yes	<p>Committee Report published in full.</p> <p>Background papers not published – exemption S38(1)(b)</p>
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18. Compliance with Governance Reporting Arrangements

<ul style="list-style-type: none"> Deferred to additional QSMTM. 	HGS	22/05/18	N/A	
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19. Communication Strategy

<ul style="list-style-type: none"> The report was discussed and noted with the following comments:- <ul style="list-style-type: none"> SH will prepare a report for DF proposing new targets for the Performance & Quality Framework 2018-19 DF to review 	SH	11/05/18	Yes	Published in full
	DF	30/06/18		

20. Risk Management

<ul style="list-style-type: none"> • The report was discussed and the assurance noted with the following comments <ul style="list-style-type: none"> ○ DF confirmed that the Risk Management Policy remains appropriate ○ The Strategic and Operational Risk Registers 2018-19 were approved ○ Paragraph 14 of to be amended to read – “None other than identified above”. 			Yes	<p>Committee Report published in full.</p> <p>Background papers not published – exemption s30(b)(ii) s30(c)</p>
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21. Publication Scheme (PAs)

<ul style="list-style-type: none"> • The report was discussed and noted with the following comments:- <ul style="list-style-type: none"> ○ Paragraphs 3(ii) to be amended to refer to paragraph 13. The first word of Paragraph 5 to be amended from “four” to “five” and the same amendment to Table 1 ○ Robust procedures are in place to act upon any failures <p>It was agreed to amend the performance measures to 80% within 1 month and 100% within 3 months for 2018-19.</p> 	SH	11/05/18	Yes	Published in full
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22. Quality Assurance - Investigations

<ul style="list-style-type: none"> • The report was noted with the following comment <ul style="list-style-type: none"> ○ All cases which go to decision or are settled require management approval. 			Yes	Published in full
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23. Quality Assurance - Enquiries

<ul style="list-style-type: none"> • The report was discussed and assurance noted with the following comments <ul style="list-style-type: none"> ○ Paragraph 6 – to be amended to include correct figures for number of enquiries for 2017-18 (1,573) and the related % calculation (8%) ○ HGS will review the quality assurance process as it is currently resource intensive – this is a proposed project for 2018-19 ○ As the enquiries service continues to meet the agreed quality criteria the target for the number of cases to be quality assured can be reduced to 5% 	HGS	11/05/18	Yes	Published in full
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24. Report – Prescribed Persons (Reports on Disclosure of Information) Regulations 2017

<ul style="list-style-type: none"> • The report was discussed and noted with the following comments:- <ul style="list-style-type: none"> ○ MK will check the extent of the Commissioner’s responsibility for the prescribed persons notification relating to the Inspire Regulations ○ SH will review paragraphs 1 to 3 of the report and the website and provide comments to HGS so that these updated paragraphs can be included in the statutory report ○ HGS to prepare the statutory report and arrange for this to be <ul style="list-style-type: none"> ▪ published on the website and ▪ Included within the Annual Report & Accounts 	MK	25/04/18	Yes	Published in full
	SH	02/05/18		
	HGS	30/06/18		
	HGS	05/06/18		

25. Biodiversity

<ul style="list-style-type: none"> The update on the reporting requirement and work carried out to date were noted. HGS is preparing the 2015-17 Biodiversity Report for approval by SMT and would welcome input from staff regarding both actions taken and actions planned. 	HGS	30/05/18	Yes	Published in full
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26. GDPR - Implementation

<ul style="list-style-type: none"> The report and the GDPR Implementation Plan 2018-19 were noted 			Yes	<p>Committee Report published in full.</p> <p>Background papers not published – exemption s30(b)(ii) s39(1)</p>
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27. Publication Scheme (SIC)

<ul style="list-style-type: none"> The report was noted. 			Yes	Published in full
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28. Operational Plan 2018-19

<ul style="list-style-type: none"> The Operational Plan 2018-19 was approved. The Operational Plan 2018-19 Monitoring Report to be prepared. 	KB/LB	30/05/18	Yes	Published in full
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29. AOCB

<ul style="list-style-type: none"> The quarterly report on Enforcement Team KPIs to be included in the Governance Reporting Arrangements and a reporting requirements added to the agenda items for the QSMTM 	HGS	30/05/18	N/A	
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Signed off by:

Dean Allan

Date: 10 May 2018