Report to:	MSMTM
Report by:	Erin Gray, Head of Policy and Information
Meeting Date:	05 March 2020
Subject/ Title: (and VC no)	Key Document Approval: Self-Assessment Toolkit Module 6
Attached Papers (title and VC no)	Draft Self-Assessment Toolkit Module 6 Standards and Criteria VC128461 Draft Self-Assessment Toolkit Module 6 Questions and Evidence Grid VC128728

Purpose of report

1. To seek approval of the attached draft C2 Self-Assessment Toolkit Module 6 and C2 Self-Assessment Toolkit Module 6 Questions and Evidence Grid (key documents).

Recommendation and actions

2. It is recommended that the Senior Management Team (SMT):

    (i) approve the key documents in their draft form subject to any comments made at the meeting

    (ii) agree the key document actions set out below

    (iii) agree the publication actions set out below

Executive summary

3. Module 6 of the Self-Assessment Toolkit provides a resource to assist authorities to assess their ability to monitor and manage their own performance in complying with FOI law.

4. The attached key documents provide the standards and criteria specific to this module, and a template grid in which to record evidence against each characteristic of good practice. Other documents in the toolkit are generic and apply to all modules.

5. The structure and format of these key documents are consistent with other modules in the Toolkit, with a combination of standard text and sections that are specific to the subject of this module, including the characteristics of good practice and performance criteria.

6. The SMT has provided commented on the draft documents and their comments have been taken into account in the draft key documents attached to this report.

Risk impact

7. The Self-Assessment Toolkit is intended to support authorities' learning and development, ensuring they have the required skills and resources to improve and sustain performance. This in turn is designed to reduce the likelihood of authorities failing to respond appropriately to requests and requests for review, which will result in a reduced workload for SIC.

8. The Self-Assessment Toolkit (and this new module) represents part of the resources for public authorities which we commit to delivering to mitigate any strategic and operational risks regarding: allocation of appropriate resources to ensure statutory duties are met;

ensuring stakeholders are engaged with appropriately; delivering learning and development strategies; and monitoring FOI performance.

Equalities impact

9. No direct equalities impact identified. As this is the final module in a toolkit, format is restricted in that it must follow previous modules. A review of toolkit approach and formats is planned for the coming year, and this will include full accessibility analysis and recommendations for improvements to ensure they are useable and appropriate for all.

Privacy impact

10. No privacy impact identified.

Resources impact

11. No direct impact on resources – the toolkit is being delivered within existing staff resources.

Operational/ strategic plan impact

12. Publication of this toolkit module will mark the completion of Project 1 in the 'Improving authority practice' section of the 2019-20 Operational Plan. Review of toolkit as a whole is planned for coming year.

Records management impact (including any key documents actions)

13. If the draft key documents are approved, and once they are finalised, the Register of Key Documents will be updated and the final versions will be published in the Self-Assessment Toolkit section of the website.

14. The next planned review of these key documents will be 3 years after approval (March 2023), however this may be brought forward depending on the outcome of a review of the Self-Assessment Toolkit.

Consultation and Communication

15. This Self-Assessment Toolkit module was drafted by the Policy and Information Team and has been commented on in draft form by each member of the Senior Management. No external consultation was carried out, however, the Self-Assessment Toolkit as a whole is expected to be reviewed in 2020-21 and this will include significant consultation with public authorities.

Publication

16. I recommend that:

    (i)   this committee report is published in full

    (ii)   the draft key documents are withheld on the basis that s.30(b)(i) and s.30(b)(ii) of FOISA applies and the final policy will be finalised and published in full on our website as soon as possible.