

# Performance and Quality Framework 2017-18

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Scottish Information Commissioner

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Scottish Information  
Commissioner

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# Performance and Quality Framework

## Introduction

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1. To the Scottish Information Commissioner, good performance and quality relate to the delivery of statutory duties and responsibilities. This delivery must be to a defined standard which meets the needs and, where practicable, the expectations of people in Scotland seeking information.
2. Quality assurance is the system by which we measure, report on, and achieve continuous improvement in the quality of our work. Performance management is the system by which we monitor and report on organisational outcomes. This framework is the mechanism by which we report publicly. It is supported by internal systems which ensure that we can identify and monitor how individual performance contributes to organisational outputs.
3. In developing and defining our quality measures and the performance framework, the Scottish Information Commissioner recognises that a holistic approach is needed. To achieve our ultimate aims for the delivery of a quality service, the organisation will need to take into account the inter-dependencies of a range of stakeholders, not only those seeking information, and a range of activity.

## Quality aims

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4. Good quality for the SIC is:
  - (i) Professional, courteous, communication that imparts accurate and helpful advice and information to a range of stakeholders. Providing information about the SIC, access to information legislation and practice and signposting to other relevant organisations. Demonstrating that we are actively informing and pursuing activity that contributes to openness and the proactive dissemination of information in Scotland.
  - (ii) Robust decisions on applications that are the result of fair and proportionate investigations. Decisions must be delivered in good time, accessible to the requester and authority, and contribute to the positive development of good FOI practice in Scotland.
  - (iii) Demonstrating that our monitoring, promotion and assessment of practice is improving the FOI experience for requesters and authorities.
  - (iv) Operating as efficiently as we can, ensuring we are accountable for how we both plan and manage resources.

## SIC performance and quality framework

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5. The framework is summarised on the following page. Appendix 1 contains a detailed list of targets and KPIs, the frequency with which they will be reported upon, and where to find the relevant information on our website. Our Annual Report will also provide commentary on our performance against the targets and KPIs.



### **Communication Proactive dissemination Openness**

- Time taken to respond to enquiries
- Compliance with FOISA/ EI(S)R statutory timescales
- Compliance with RPSI statutory timescales
- Public Services Reform (Scotland) Act 2010 reporting
- Feedback on our service
- Satisfaction with our service
- Awareness of FOI rights
- Thematic papers, surveys and reports
- Report on website usage and performance against targets
- Communication Strategy: progress and achievement



### **Deciding applications**

- Statistics and KPIs
- Appeals and judicial review
- Robust, current and proportionate investigations
- Enforcement Policy



### **Monitoring Promoting Assessing FOI performance**

- Capturing and disseminating good practice and lessons learned
- Collect, collate and publish national FOI statistics
- Publication Schemes
- Feedback reports from Regional Roadshows
- Proportion of valid applications relating to public authority non-compliance with statutory timescales
- Proportion of applications that are invalid
- Publish and maintain guidance, briefings etc.
- Publish, maintain and report on use of self-assessment tools for authorities



### **Operational efficiency**

- Lay Annual Report and Accounts
- Variance in spend against budget
- Maintain a compliant publication scheme and guide to information
- Up-to-date and effective governance framework
- Prompt payment of invoices
- Information and Records Management



<b>Communication, proactive dissemination and openness</b>		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Thematic papers, surveys and reports	Ad hoc	As set out in the operational plan	As set out in the operational plan	Published as appropriate
Communication Strategy: progress and achievement	Annually	By 31 March 2020, to achieve and maintain: (i) A minimum of 40% of all applications received annually to be made via the online application portal. (ii) Continued reduction in failures to respond to 15% of valid applications. (iii) 20% increase in the number of absolute unique website visits annually (from 54,000 to 64,800) (iv) 20% increase in the total number of subscribers to content via our website (from 1017 to 1220) (v) Increase in read receipts for Commissioner emails to public authorities to 75%.	P&C1 P&C9  P&C9  P&C12  P&C12  P&C1	<a href="#">Managing the organisation – SMT minutes</a>  <a href="#">Annual Reports and Accounts</a>

Deciding applications		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Dashboard: statistics and KPIs	Quarterly	<i>Overall case closure times</i> 70% in 4 months or fewer 85% in 6 months or fewer 97% in 12 months or fewer Average closure time 4 months (17.8 weeks) or fewer	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		R&E 2, 3 & 4 80% in 1 month or fewer 90% in 2 months or fewer 97% in 3 months or fewer	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>‘Failure to respond’ applications</i> 65% in 1.5 months or fewer 100% in 4 months or fewer	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Valid (substantive) applications</i> 50% in 4 months or fewer 75% in 6 months or fewer 95% in 12 months or fewer	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Applications received</i> Table in dashboard Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Cases under investigation</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Cases awaiting validation</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Invalid applications</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Caseload age profile</i> Chart by quarter and YTD Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>

<b>Deciding applications</b>		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
		<i>Average age of closed cases</i> By month and YTD by month Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Average age of open cases</i> By month and YTD by month Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Number of Cases Closed</i> As per current table Report as appropriate in the annual report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
		<i>Trends and commentary</i> Posted on website with dashboard and reported in Annual Report	R&E2, 3 & 4	<a href="#">‘Dashboard’ Reports</a>
Appeals and judicial review	Annually, in annual report	Successfully defend 100% of appeals (or elements of appeals) where the grounds are an error in law on how the SIC has investigated.	R&E2, 3 & 4	<a href="#">Decisions Round-up</a>
Robust, current and proportionate investigations	Periodic & ad hoc	Clear procedures that are monitored and reviewed/ updated in line with Register of Key Documents	IM5	<a href="#">Guide to Information (Class 2)</a>
Clear Enforcement Policy	Periodic & ad hoc	Review in line with Register of Key Documents	IM5	<a href="#">Guide to Information (Class 2)</a>



<b>Monitoring, promoting, assessing FOI performance</b>		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Capturing and disseminating good practice and lessons learned	Weekly	Decisions round-up	IAP7	<a href="#">Decisions Round-up</a>
	Monthly	Up-to-date published information on learning from decisions	IAP8	<a href="#">Decisions Round-up</a>
	Ad hoc	Special and periodic reporting	As set out in the operational plan	Published as appropriate
Collect, collate and publish national FOI statistics	Quarterly	Published quarterly data	P&C10	<a href="#">FOI and EIR statistics database</a>
Publication Schemes	6-monthly	Publication Scheme notifications for new bodies completed: (i) 80% by due date (ii) 100% notified or enforcement commenced within 3 months of due date (Due date is set at point of creation of publication scheme file)	R&E7	<a href="#">Managing the organisation – SMT minutes</a>
Feedback reports from Regional Roadshows	Report following each of 3 events	80% good or excellent rating for the day overall	IAP2	<a href="#">Managing the organisation – SMT minutes</a>
Proportion of valid applications relating to public authority non-compliance with statutory timescales	Quarterly	No more than 15% of valid applications received to be related to authorities' failure to respond	P&C4 & 9	<a href="#">'Dashboard' Reports</a>
Proportion of applications that are invalid	Quarterly	No more than 20% of all applications in 2017/18	P&C4 & 9	<a href="#">'Dashboard' Reports</a>
Publish and maintain guidance, briefings etc	As needed and periodically	Review in line with Register of Key Documents	IM5	<a href="#">Briefings and Guidance</a>
Publish, maintain and report on use of self-assessment tools for authorities	Annual	Assessment of the use and effectiveness of the self-assessment tools	P&R8	<a href="#">Managing the organisation – SMT minutes</a>

<b>Operational efficiency</b>			(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator			
Lay Annual Report and Accounts	By 31 <sup>st</sup> October following end of reporting year	Auditor's sign off of unqualified accounts Report laid	P&C2 & 10		<a href="#">Annual Reports and Accounts</a>
Variance in spend against budget	Annual accounts	Achieve no more than 5% variance	RM2		<a href="#">Budgets and Expenditure</a>
Maintain a compliant publication scheme and guide to information	Annually	Assurance Report to SMT	IM11 IM12		<a href="#">Managing the organisation – SMT minutes</a>
Up-to-date and effective governance framework	Annually	Assurance Report to SMT	P&R8		<a href="#">Managing the organisation – SMT minutes</a>
Prompt payment of invoices	Quarterly	95% of undisputed invoices in 10 days or fewer 100% of undisputed invoices in 30 days or fewer	RM3		<a href="#">Managing the organisation – SMT minutes</a>
Information and Records Management	Annual	Assurance Report to SMT Manage Key Documents as per agreed review programme	IM5 IM4		<a href="#">Managing the organisation – SMT minutes</a>

Key:

IAP	Improving Authority Practice	QA	Quality Assurance
IM	Information Management	R&E	Regulation and Enforcement
P&R	Planning & Reporting	RM	Resource Management
P&C	Promotion & Communications		



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