

Performance and Quality Framework 2018-19

Scottish Information Commissioner



Scottish Information
Commissioner

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Performance and Quality Framework

Introduction

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.
3. This framework is the mechanism by which we report internally and publicly. It is supported by internal systems which ensure that we can identify and monitor how individual performance contributes to organisational outputs.
4. 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

5. 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, assessment of practice and interventions are 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

6. 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 a number of the targets and KPIs.



Communication Proactive dissemination Openness

- Time taken to respond to enquiries
- Compliance with FOISA/ EIRs 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
- 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

Appendix 1: Targets, KPIs, indicators and measures

Communication, proactive dissemination and openness		(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 any reporting in the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Time taken to respond to enquiries	Six-monthly	<i>Respond to enquiries</i> 95% in 5 days 100% in 20 days	P&R6	Managing the organisation – SMT minutes
Compliance with FOISA/ EIRs statutory timescales	Six-monthly	(i) 60% of request responses in 5 days (ii) 100% of request responses in 20 days (iii) 100% of review responses in 20 days	IM6 & 9	Managing the organisation – SMT minutes
Compliance with RPSI statutory timescales	Six-monthly	(i) 100% of re-use request responses in 20 days (ii) 90% of re-use complaints in 20 days	IM9	Managing the organisation – SMT minutes
Public Services Reform (Scotland) Act 2010 reporting (section 31)	Six-monthly	Report published on website	P&R7	Statutory Reporting
Public Services Reform (Scotland) Act 2010 reporting (section 32)	Annually	Report published on website	P&R7	Statutory Reporting
Satisfaction with our service	Six-monthly	(i) Frontline resolution of complaints 95% in 5 days 100% in 10 days (ii) Investigation of complaints 95% within 20 days 100% within 40 days (iii) Fewer than 20% of complaints upheld in part or full	QA1 QA1 QA1	Managing the organisation – SMT minutes
	Annually	(iv) Report on performance included in Annual Report and Accounts, comprising review of	P&R2 & 3	

Communication, proactive dissemination and openness			(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 any reporting in the Annual Report)
Name	Frequency/ date	Measure/ indicator			
		compliments and complaints received, and response from user satisfaction survey (held triennially)			
Awareness of FOI rights	At least 2-yearly	80% of the public definitely or think they have heard of FOISA (through survey)	P&C4		
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) increase in the total number of subscribers to content via our website (v) Increase in read receipts for Commissioner emails to public authorities to 45%.	P&C1 QA Project 1 IAP6, RE3 P&C5 P&C5 P&C1		Managing the organisation – SMT minutes Annual Reports and Accounts

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	‘Dashboard’ Reports
		<i>Time taken to validate applications</i> 80% in 1 month or fewer 90% in 2 months or fewer 97% in 3 months or fewer	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>‘Failure to respond’ applications</i> 65% in 1.5 months or fewer 100% in 4 months or fewer	R&E2, 3 & 4	‘Dashboard’ Reports
		<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	‘Dashboard’ Reports
		<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	‘Dashboard’ Reports
		<i>Cases under investigation</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>Cases awaiting validation</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>Invalid applications</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>Caseload age profile</i> Chart by quarter and YTD Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports

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		
		<i>Average age of closed cases</i> By month and YTD by month Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>Average age of open cases</i> By month and YTD by month Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>Number of Cases Closed</i> As per current table Report as appropriate in the annual report	R&E2, 3 & 4	‘Dashboard’ Reports
		<i>Trends and commentary</i> Posted on website with dashboard and reported in Annual Report	R&E2, 3 & 4	‘Dashboard’ Reports
Robust, current and proportionate investigations	Periodic & ad hoc	Clear procedures that are monitored and reviewed/ updated in line with Register of Key Documents	IM5	Guide to Information (Class 2)
Clear Enforcement Policy	Periodic & ad hoc	Review in line with Register of Key Documents	IM5	Guide to Information (Class 2)

Monitoring, promoting, assessing FOI performance		(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	IAP project 3	Decisions Round-up
	At least fortnightly	Up-to-date published information on learning from decisions	P&C7	Decisions Round-up
	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	IAP6	FOI and EIR statistics database
Publication Schemes	Annually	Publication Scheme notifications for new bodies completed: (i) 80% within one month of 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&E9	Managing the organisation – SMT minutes
Feedback reports from Regional Roadshows	Report following each event	80% good or excellent rating for the day overall	IAP project 2	Managing the organisation – SMT minutes
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	RE 2, 3 & 4	'Dashboard' Reports
Proportion of applications that are invalid	Quarterly	No more than 20% of all applications in 2018/19	RE2	'Dashboard' Reports
Publish and maintain guidance, briefings etc	As needed and periodically	Review in line with Register of Key Documents	IM5	Briefings and Guidance
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&R12	Managing the organisation – SMT minutes

Operational efficiency			(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 st October following end of reporting year	Independent Auditor's report on the Annual Report and the Audit Report laid	P&R2 & 3, RM11	Annual Reports and Accounts	
Variance in spend against budget	Annual accounts	Achieve no more than 5% variance	RM2	Budgets and Expenditure	
Maintain a compliant publication scheme and guide to information	Annually	Assurance Report to SMT	IM7 IM8	Managing the organisation – SMT minutes	
Up-to-date and effective governance framework	Annually	Assurance Report to SMT	P&R12	Managing the organisation – SMT minutes	
Prompt payment of invoices	Annually	95% of undisputed invoices in 10 days or fewer 100% of undisputed invoices in 30 days or fewer	RM3	Managing the organisation – SMT minutes	
Information and Records Management	Annually	Assurance Report to SMT Manage Key Documents as per agreed review programme	IM2 IM5	Managing the organisation – SMT minutes	

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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