



Scottish Information
Commissioner
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Operational Plan 2021-22 Monitoring Report

Scottish Information Commissioner

Introduction

Introduction

This document sets out the Scottish Information Commissioner's operational plan for the period from 1 April 2021 to 31 March 2022. The plan explains how we will realise the Commissioner's vision and strategic aims, and provides a tool for on-going monitoring of outcomes and management of resources, financial and human.

Vision

The impact of Freedom of Information is increased, being recognised and valued as the key enabler of openness and transparency of public functions in Scotland, enhancing people's right to access the information that matters to them

Strategic aims

To realise this vision, the Commissioner's office will:

- (1) increase knowledge and understanding of FOI rights
- (2) enable and support high standards of FOI policy and practice
- (3) develop Scottish public sector culture and practice where the proactive disclosure of information is routine and valued
- (4) influence and support the development and strengthening of Scottish FOI law and practice
- (5) contribute to Scotland being respected as a world-leader in openness and transparency
- (6) be recognised as an organisation of independent and trusted experts that is run efficiently, governed effectively and is open and transparent

Structure of the operational plan

This plan is laid out as a programme of actions listed under types of operational activity, with cross references to which strategic aim(s) it supports. The actions listed are business as usual (BAU) and one-off projects. This is a working document which forms the basis of on-going monitoring and assessment and may be updated.

In general, BAU will be managed and monitored in line with set targets, performance indicators, established reporting structures and approved policy.

Projects will be managed according to project management principles and practice. Each project is approved by the Senior Management Team.

Monitoring and reporting

Progress against the plan will be reviewed every two months by the Senior Management Team and an update of progress will be published following this review. Achievement and output against individual line items will be also assessed and reported in line with the organisational targets and indicators and measures set out in our Performance and Quality Framework.

Resources

The Commissioner's budget for 2021-22 is £2,030,000:

- Total staff costs: £1,649,535
- Total gross revenue costs: £2,007,000
- Capital expenditure: £23,000

KEY

BAU: Business as Usual

DHOE: Deputy Head of Enforcement

HOCS: Head of Corporate Services

HOE: Head of Enforcement

HOP: Head of Policy and Information

Priority: Relative priority - Statutory, High, Medium, Low

SIC: Scottish Information Commissioner

SMT: Senior Management Team

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	6							
1	Report to SMT on Performance & Development Framework	BAU	Annual	01/04/2021	30/09/2021						X	H	OT				HOCS	
2	Learning & Development Plan 2021-22 (internal)	BAU	Annual	01/04/2021	30/09/2021						X	H	OT				HOCS	
3	Review Human Resources Strategy	BAU	Annual	01/04/2021	31/10/2021						X	M	OT				HOCS	
4	Apply & monitor Performance & Development Framework	BAU		01/04/2021	31/03/2022						X	H	OT				HOCS	
5	Carers Accreditation – monitoring and application	BAU		01/07/2021	31/03/2022						X	M	NS				HOCS	
6	Security & Vetting scheme- monitoring and application	BAU		01/04/2021	31/03/2022						X	H	OT				HOCS	

1	Business continuity arrangements - COVID -19 pandemic – interim human resources policies and processes	Project		01/04/2021	31/03/2022						X	H	OT				HOCS	
2	Business continuity arrangements - COVID -19 pandemic – re-opening of office premises - health and safety requirements, physical distancing and hygiene requirements	Project		01/04/2021	31/03/2022						X	H	OT				HOCS	
3	Hybrid working – office premises and remote working	Project		01/04/2021	31/03/2022						X	H	NS				HOCS	
4	Payroll service – review of arrangements and procurement of new service	Project		01/04/2021	30/09/2021						X	H	OT				HOCS	
5	Equalities Monitoring and Reporting – staff – revised system	Project		01/04/2021	31/03/2022						X	H	NS				HOCS	
6	Recruitment procedures – review and revision	Project		01/04/2021	30/09/2021						X	H	OT				HOCS	
7	Induction procedures – review and revision	Project		01/04/2021	30/09/2021						X	H	NS				HOCS	
8	Employee Handbook – review	Project		01/04/2021	31/10/2021						X	H	OT				HOCS	
9	Carer Positive Scheme - Accreditation	Project		01/04/2021	30/06/2021						X	M/H	OT				HOCS	
10	HR data base – replacement	Project		01/04/2021	31/03/2022						X	H	NS				HOCS	

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	6							
1	Prepare, deliver and report on programme of events and learning opportunities (on or offline) for FOI practitioners	BAU		01/04/2021	31/03/2022		X	X	X		X	H	OT				HOPI	
2	Public sector FOI practitioner peer support mechanisms and networks - support and develop	BAU		01/04/2021	31/03/2022		X	X	X			H	OT				HOPI	
3	Prepare and circulate learning points from decisions and interventions	BAU	Monthly	01/04/2021	31/03/2022		X	X	X		X	M	OT				HOE/ HOPI	
4	Collaborate with/involve authority representatives to inform best practice	BAU		01/04/2021	31/03/2022		X	X	X		X	H	NS				HOPI	
5	FOI/EIRs statistics portal data from public authorities - collect, collate and publish	BAU		01/04/2021	31/03/2022	X		X				M	OT				HOPI	
6	New public authorities - support to prepare for FOI duties	BAU	Quarterly	01/04/2021	31/03/2022		X	X	X			S/H	OT				HOPI	
7	Good practice resources, guidance and case studies for authorities – maintain, develop, promote, and report on use	BAU		01/04/2021	31/03/2022		X	X	X	X	X	H	OT				HOPI	

1	Coronavirus (Scotland) Act - update authorities on changes to FOI law and promote guidance	Project		01/04/2021	31/03/2022		X	X	X			H	OT				HOPI	
2	Researching FOI practitioner views and attitudes - develop and conduct model, including survey, for repeat use	Project		01/07/2021	31/12/2021		X	X	X		X	H	NS				HOPI	
3	Statistics Portal – implement recommendations from 2020-21 review	Project		01/04/2021	31/12/2021		X				X	M	OT				HOPI	

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	6							
1 Coordinate on-going Information and Records Management (IRM) controls and procedures and ensure they are applied	BAU		01/04/2021	31/03/2022	X	X			X	S/H	OT				HOCS		
2 IRM assurance report to SMT	BAU	Annual	01/04/2021	30/09/2022	X	X			X	S/H	Comp				HOCS		
3 Maintenance of secure and reliable IT network	BAU		01/04/2021	31/03/2022					X	S/H	OT				HOCS		
4 Manage Key Documents as per the Review Programme	BAU		01/04/2021	31/03/2022	X	X	X		X	H	OT				HOCS		
5 Monitor compliance with data protection legislation and the General Data Protection Regulation	BAU		01/04/2021	31/03/2022			X		X	S	OT				HOCS		
6 UK GDPR/Data protection – SMT update	BAU	Quarterly	01/04/2021	31/03/2022			X		X	S	OT				HOCS		
7 Maintain a compliant publication scheme and guide to information	BAU		01/04/2021	31/03/2022	X	X		X	X	H	OT				HOCS		
8 Commissioner's Publication Scheme - assurance report to SMT	BAU		01/01/2022	31/03/2022					X	S	OT				HOCS		
9 Monitor Commissioner's compliance in responding to RFIs and reviews – compliance with statutory timescales, policy and procedures and quality assurance (quality assurance report to be provided by HOE to HOCS)	BAU		01/04/2021	31/03/2022		X			X	S	OT				HOCS		
10 Monitor Commissioner's compliance in responding to SARs – compliance with statutory timescales, policy and procedures	BAU		01/04/2021	31/03/2022					X	S	OT				HOCS		

1 Business continuity arrangements - COVID -19 pandemic – remote working – interim policies	Project		01/04/2021	31/03/2022				X	X	H	OT				HOCS	
2 Secure file sharing platform – scope need and resource required	Project		01/04/2021	31/08/2021	X				X	H	NS				HOCS	
3 Secure file sharing platform – procure	Project		31/08/2021	31/03/2022	X				X	H	NS				HOCS	
4 Residual work to implement/update re: UK GDPR/data protection	Project		01/04/2021	31/03/2022	X	X		X	X	S/H	OT				HOCS	
5 Digital and IT Strategy	Project		01/04/2021	31/03/2022					X	S/H	OT				SIC / HOCS	
6 Cyber Resilience Action Plan 2021-2022	Project		01/04/2021	30/09/2021					X	H	OT				HOCS	
7 Cyber Essentials 2021-22 reaccreditation	Project		01/12/2021	31/03/2022					X	H	NS				HOCS	
8 Cyber Essentials Plus 2021-22 reaccreditation	Project		01/12/2021	31/03/2022					X	H	NS				HOCS	
9 Information requests and requests for reviews – review of procedures	Project		01/04/2021	31/03/2022				X	X	H	OT				HOE/H OCS	
10 Information and Records Management (IRM) – revision of Records Management Plan	Project		01/04/2021	30/09/2021	X				X	H	OT				HOCS	
11 IRM – consider and recommend way forward as regards review, retention and assurance	Project		01/04/2021	31/03/2022		X			X	H	OT				HOCS	
12 IRM – Review and update File Plan and Retention Schedule	Project		01/04/2021	31/03/2022	X				X	H	NS				HOCS	
13 Case Management System (CMS) - RFI/RFR/workflow	Project		01/04/2021	31/03/2022	X				X	M/H	NS				HOCS	
14 CMS – SAR workflow	Project		01/04/2021	31/03/2022	X				X	M/H	NS				HOCS	
15 CMS – access protection – approval processes	Project		01/04/2021	31/03/2022	X				X	M/H	NS				HOCS	

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	6							
16	Review of ACT	Project		01/04/2021	31/03/2022		X				X	M/H	NS				HOCS	

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	6							
1	Annual Report (AR) 2020-21: Statutory reporting and 3Es	BAU	Annual	01/04/2021	31/10/2021						X	S	OT				HOCS	
2	AR 2020-21: Accountability Report and Financial Statements - ensure compliance with FReM, SPFM, prepare and obtain approval	BAU	Annual	01/04/2021	31/10/2021						X	S	OT				HOCS	
3	AR 2020-21 Performance Report – ensure compliance with FReM, SPFM prepare and obtain approval	BAU	Annual	01/04/2021	31/10/2021						X	S	OT				HOPI / HOCS	
4	AR 2020-21 Annual Statement of Assurance to SIC	BAU	Annual	01/04/2021	31/10/2021	X	X	X			X	H	NS				HOCS	
5	AR 2020-21 Auditor's Report – liaise with Auditor and Advisory Audit Board (AAB)	BAU	Annual	01/07/2021	31/10/2021						X	H	NS				HOCS	
6	AR 2020-21 AAB meeting 2021	BAU	Annual	01/08/2021	30/09/2021						X	H	NS				HOCS	
7	Audit Planning Report – AR 2021-22 liaise with auditor and AAB	BAU	Annual	01/10/2021	01/02/2022						X	H	NS				HOCS	
8	Performance and statistical reporting - operational	BAU	As set out in the GRA	01/04/2021	31/03/2022	X	X	X			X	S	OT				HOCS	
9	Manage and report on Enquiries Service	BAU	Six monthly	01/04/2021	31/03/2022	X	X	X			X	H	OT				HOCS	
10	Public Service Reform (Scotland) Act 2010 – annual statement of expenditure and annual statement of sustainable growth report	BAU	Annual	01/04/2021	31/03/2022						X	S	OT				HOCS	
11	Operational Plan 2021-22 – monitor and report progress	BAU	Two monthly	01/04/2021	31/03/2022	X	X	X			X	H	OT				SMT	
12	Key Documents – reviews due and overdue reviews - monitor	BAU	Two Monthly	01/04/2021	31/03/2022	X	X	X			X	H	OT				SMT	
13	Operational Plan 2022-23 - coordinate and prepare	BAU	Annual	01/01/2022	01/06/2022	X	X	X			X	H	NS				HOCS	
14	Governance Reporting Arrangements (GRA) – reporting against cycle	BAU		01/04/2021	31/03/2022	X	X	X			X	H	OT				HOCS/ HOPI/HOE	
15	GRA - compliance report to SMT	BAU	Annual	01/04/2021	31/03/2022	X	X	X			X	H	OT				HOCS	
16	Case Management System – reporting (manual and automatic) for IPM/end of year Enforcement statistics	BAU	Monthly	01/04/2021	31/03/2022						X	M	OT				HOCS	
17	Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	BAU	Annual	01/04/2021	31/08/2021						X	S	OT				HOE	
18	Report on biodiversity (as required by the Nature Conservation (Scotland) Act 2004)	BAU	As required	01/04/2021	31/03/2022						X	S	Comp				HOCS	
19	Sustainable Development - monitor and report on carbon footprint	BAU	Annual	01/04/2021	31/03/2022						X	S	OT				HOCS	

1	Business continuity arrangements - COVID -19 pandemic –enquiries - interim revised arrangements and reporting procedures	Project		01/04/2021	31/03/2022					X	X	H	OT				HOCS	
2	Enquiries procedures – review of outcome codes and assurance reporting	Project		01/04/2021	31/03/2022	X	X	X		X	X	H	OT				HOCS	
3	Equalities Monitoring and Reporting – service users - revised system	Project		01/04/2021	31/03/2022					X	X	H	OT				HOCS	

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	6							
4	CMS – review of in-house reporting	Project		01/04/2021	31/03/2022					X	X	H	NS				HOCS	
5	UN Convention on the Rights of the Child (Incorporation) (Scotland) Act - Research and prepare to implement any changes required	Project		01/05/2021	30/12/2021	X					X	S	NS				HOPI/ HOCS	

Comms, Engage. & Policy (Ext)

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim						Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ update
						1	2	3	4	5	6							
1	Communications and engagement framework 2021 - 2024 - deliver and report on for 2021-22	BAU	Annually	01/04/2021	01/03/2022	X	X	X	X	X	X	H	OT				HOPI	
2	News media - manage and maintain news media enquiry service and ongoing media engagement	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				HOPI	
3	News media - manage and maintain media monitoring service	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				HOPI	
4	Email newsletters - prepare, promote and circulate regularly and as required	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				HOPI	
5	Social media - monitor, maintain and develop in line with Communications Framework/as required	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				HOPI	
6	Events - support and participate in key relevant conferences/events	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	L/M	OT				HOPI	
7	Events - deliver events to promote effective use of FOI rights (such as to civil society, MSPs and media)	BAU		01/04/2021	31/03/2022	X					X	M	NS				HOPI	
8	Website – manage website support and development service	BAU		01/04/2021	31/03/2022	X	X	X	X		X	H	OT				HOPI	
9	Website - maintain and promote content, ensuring it is up to date and relevant, and reporting progress	BAU	Six monthly	01/04/2021	31/03/2022	X	X	X	X	X	X	H	OT				HOPI	
10	Website – maintain, develop and report on accessibility compliance via accessibility statements	BAU		01/04/2021	31/03/2022						X	S	OT				HOPI	
11	BSL Action plan 2019-2023 – implement and report on	BAU	Annually	01/04/2021	31/03/2022	X	X	X	X		X	S	NS				SMT	
12	Annual report 2020-21 - coordinate design and promotion where required	BAU	Annually	01/04/2020	31/09/2021						X	H	OT				HOPI	
13	Content and communications planning – maintain and implement, delivering communications campaigns on FOI as required	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				HOPI	
14	Research public awareness of FOI rights across society – including omnibus poll	BAU	Annually	01/04/2021	31/12/2021	X					X	H	OT				HOPI	
15	Collaborate with/involve people from identified target groups in our work, to ensure best practice	BAU		01/04/2021	31/03/2022	X					X	M	NS				HOPI	
16	FOI Policy monitoring systems and policy positions – maintain as required (includes parliamentary monitoring service)	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	H	OT				HOPI	
17	Key stakeholder relationships/ partnerships – maintain, develop and support as required	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				HOPI	
18	Legislative change and consultations - monitor and respond to relevant consultations / inform legislative change processes as required	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	H	OT				HOPI	

1	Maintain Covid-19 information hub to ensure information available on relevant changes to FOI law	Project		01/04/2021	31/03/2022	X	X	X	X	X	X	H/S	OT				HOPI	
2	Impact of Covid-19 on FOI – follow-up to 2020 Special Report	Project		01/06/2021	01/11/2021	X	X	X		X	X	H	NS				HOPI	
3	Review 'Your Right to Know' and related resources, text and approach	Project		01/08/2021	01/03/2022	X						H	NS				HOPI	
4	Promoting FOI awareness to young people project	Project		01/04/2021	31/03/2022	X					X	H	NS				HOPI	

Comms, Engage. & Policy (Ext)

Activity	Type	Frequency	Start Date	End Date	Strategic Aim						Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ update
					1	2	3	4	5	6							
5 Social media – launch LinkedIn channel use to target FOI practitioners and specialists (including relevant updates to social media and other procedures)	Project		01/04/2021	30/06/2022	X	X	X			X	M	NS				HOPI	
6 Website – consideration of website discovery findings	Project		01/04/2021	31/07/2022	X	X	X	X	X	X	H	OT				SMT / HOPI	
7 Website – development and build of potential new website	Project		01/07/2021	TBD	X	X	X	X	X	X	H	NS				HOPI /HOC S	
8 Active membership of International Conference of Information Commissioners' Executive Committee	Project		01/04/2021	End of tenure or 31/06/2021					X	X	M	OT				SIC	
9 Engage as appropriate with Scottish Open Government Partnership	Project		01/04/2021	31/03/2022	X	X	X	X	X	X	M	OT				SIC	
10 British Sign Language translation of two resources	Project		01/10/2021	30/02/2022	X					X	S	NS				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	6							
1	Compliments and complaints – record, analyse and report	BAU	Six monthly	01/04/2021	31/03/2022						X	S	OT				HOCS	
2	Information Requests to SIC: (a) record, analyse and monitor performance in accordance with the Section 60 Code of Practice (b) upload details to the FOI/EIRs statistics portal	BAU	Quarterly	01/04/2021	31/03/2022		X	X		X	X	S	OT				HOCS	
3	Information Requests to SIC – provide assurance to HOCS that responses to information requests comply with relevant legislation and related guidance	BAU	Annual	01/01/2022	31/03/2022		X	X		X	X	S	OT				HOE	
4	Investigation targets and Key Performance Indicators - monitor and review to ensure appropriate and fit for purpose	BAU	Monthly	01/04/2021	31/03/2022					X	X	H	OT				HOE	
5	Performance and Quality Framework – managers to report on performance for their areas of responsibility (including carrying out appropriate quality assurance reviews) and to review Key Performance Indicators and other targets and standards annually	BAU		01/04/2021	31/03/2022	X	X	X		X	X	S/H	OT				SMT	
6	Communication targets and key performance indicators - monitor and review to ensure appropriate and fit for purpose	BAU		01/04/2021	31/03/2022	X	X	X	X	X	X	H	OT				HOPI	

1	Complaints Policy and Handbook – review to take account of revised Model complaints Scheme issued 31/01/2020	Project		01/04/2021	31/07/2022						X	H	OT				HOCS
2	Unacceptable Actions Policy - review to take account of revised Model complaints Scheme issued 31/01/2020	Project		01/04/2021	31/07/2022						X	H	OT				HOCS
3	Interventions – develop monitoring and quality assurance mechanism	Project		01/10/2021	01/03/2022		X	X			X	H	NS				HOPI
4	Review of procedures for handling requests for information	Project		01/04/2021	31/03/2022		X	X		X	X	H	OT				HOE/H OCS
5	Review of procedures for handling subject access requests	Project		01/04/2021	31/03/2022		X	X		X	X	H	OT				HOE/H OCS

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	6							
1	Enforce FOI in line with Enforcement Policy	BAU		01/04/2021	31/03/2022		X	X		X		S	OT				HOE
2	Register, validate, investigate and decide applications in line with approved procedures	BAU	Monthly	01/04/2021	31/03/2022		X			X		S	OT				HOE
3	Monitor investigation and enforcement performance	BAU	Monthly	01/04/2021	31/03/2022			X			X	S/H	OT				HOE
4	Report on investigation and enforcement performance	BAU	Quarterly	01/04/2021	31/03/2022		X	X	X	X	X	S/H	OT				HOE
5	Provide legal advice to, or procure legal advice for, the SIC on matters including litigation, FOI law (including how this affects or is affected by other areas of law) and ensure that the legal advice is recorded and the record kept up to date	BAU		01/04/2021	31/03/2022		X			X		H	OT				HOE
6	Maintain a rolling programme to ensure standard/template letters on the case management system are reviewed and regularly updated, as required.	BAU		01/04/2021	31/03/2022		X				X	S	OT				DHOE
7	Interventions - monitor intervention intelligence, record non-compliance and report to quarterly intervention meeting, enabling action in line with procedures and as resources permit	BAU	Quarterly	01/04/2021	31/03/2022		X	X	X			S	OT				HOPI
8	Interventions - report on intervention performance and publish updates on intervention activity	BAU	Quarterly	01/04/2021	31/03/2022		X					S	OT				HOPI
9	Publication schemes - manage and monitor notifications from new authorities re: compliance with publication scheme duty	BAU		01/04/2021	31/03/2022			X		X		S	OT				HOPI
10	Regulatory guidance for authorities – maintain and develop as required	BAU		01/04/2021	31/03/2022	X	X	X	X			S	OT				HOE
11	Maintain a list of bodies suitable for consideration for inclusion in Schedule 1 of FOISA or for designation under Section 5 and report on proposed list to be submitted to the Scottish Ministers	BAU		01/04/2021	31/03/2022		X	X			X	S	OT				HOPI

1	Scottish Government intervention - assessment and report to Parliament	Project		01/04/2021	31/09/2021		X			X		H	OT				HOPI
2	Review Investigations Handbook to ensure remain efficient in the light of the impact of the Covid-19 pandemic	Project		01/10/2021	31/12/2021		X				X	H	OT				HOE

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	6							
1 Set and profile budget for 2022-23	BAU	Annual	01/06/2021	31/10/2021	X	X	X		X		H	NS				HOCS	
2 Budget monitoring and control – 2021-22	BAU	Quarterly	01/04/2021	31/03/2022	X	X	X		X		H	OT				HOCS	
3 Monitor and report on payment of invoices	BAU	Annual	01/04/2021	31/03/2022	X	X	X		X		H	OT				HOCS	
4 Workforce monitoring and planning	BAU	Annual	01/04/2021	31/03/2022	X	X	X		X		H	OT				HOCS	
5 Maintenance of premises	BAU		01/04/2021	31/03/2022						X	H	OT				HOCS	
6 Maintenance of remote working facilities	BAU		01/04/2021	31/03/2022						X	H	OT				HOCS	
7 Contracts – procurement and management (as required) – where HOCS/CST indicated as lead	BAU	As agreed in relevant contract	01/04/2021	31/03/2022						X	H	OT				HOCS	
8 External provision of legal services: contract management	BAU	As agreed in contract	01/04/2021	31/03/2022						X	H	OT				HOE	
9 Contracts relevant to policy and information – procurement and management (as required) where HOPI/P&I indicated as lead	BAU	As agreed in contracts	01/04/2021	31/03/2022						X	H	OT				HOPI	
10 IT - replacement hardware – as per annual programme	BAU		01/04/2021	31/03/2022						X	H	OT				HOCS	

1 Case management system – upgrade	Project		01/04/2021	31/03/2022						X	H	NS				HOCS	
2 IT Support and Maintenance Contract – review arrangements (dependent on Digital and IT Strategy being put in place)	Project		01/04/2021	31/03/2022						X	H	NS				HOCS	
3 Hybrid working – office working and remote working (following on from the impact of the COVID-19 pandemic)	Project		01/04/2021	31/03/2022						X	H	NS				HOCS	
4 Procurement of legal services contract: issue tender	Project		01/04/2021	31/03/2022						X	H	OT				HOE	
5 Website - renewal of current website supported hosting and maintenance services	Project		01/04/2021	31/07/2022						X	H	OT				HOPI / HOCS	
6 Cleaning Services Contract – review of arrangements and procurement of contract	Project		01/04/2021	31/03/2022						X	H	OT				HOCS	
7 Office premises – external painting	Project		01/06/2021	31/10/2021						X	H	OT				HOCS	
8 Office premises – internal painting	Project		01/06/2021	31/10/2021						X	H	OT				HOCS	
9 Website – specification and procurement of development / build for any new website if required/agreed	Project		01/05/2021	01/11/2021	X	X	X	X	X	X	H	NS				HOPI/ HOCS	
10 Webinar/online events platform –scope need for securing service and resource required (finance and staff resource)	Project		01/04/2021	01/09/2021	X	X	X	X	X	X	M	NS				HOPI/ HOCS	
11 Webinar/online events platform – procurement			01/04/2021	31/12/2021	X	X	X	X	X	X	M	NS				HOPI/ HOCS	
12 Policy and parliamentary update service – secure service (in relation to CEP BAU 16)	Project		01/04/2021	01/06/2021			X	X	X	X	H	NS				HOPI	

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	6							
1	Review of operational risk	BAU	Every 2 months	01/04/2021	31/03/2022	X	X	X		X	X	H	OT				SMT	
2	Review of strategic risk	BAU	Quarterly	01/04/2021	31/03/2022	X	X	X		X	X	H	OT				SMT	
3	Updating risk registers	BAU	Every 2 months/ quarterly	01/04/2021	31/03/2022	X	X	X		X	X	H	OT				HOCS	
4	Annual assessment and review of risk and report to SMT	BAU	Annual	01/04/2021	31/10/2021	X	X	X		X	X	H	Comp				HOCS	
5	Internal Audit Plan 2021-22 to 2023-24 – implementation and reports (see below for projects)	BAU	Annual	01/04/2021	31/03/2022	X	X	X		X	X	H	NS				HOCS	
6	Business Continuity Plan – maintenance of plan and testing (as required)	BAU		01/04/2021	31/03/2022	X	X	X		X	X	H	OT				HOCS	
7	Health and Safety – reporting	BAU	Six monthly	01/04/2021	31/03/2022	X	X	X		X	X	H	OT				HOCS	
8	Health and Safety – monitoring	BAU	Six Monthly	01/04/2021	31/03/2022	X	X	X		X	X	H	OT				SMT	
9	AAB – reports on external and internal audits, risk policy and review of strategic risk	BAU	Annual	01/04/2021	30/09/2022	X	X	X		X	X	H	NS				HOCS	

1	Business continuity arrangements - COVID -19 –office re-opening- health and safety, physical distancing and hygiene arrangements – management of risk	Project		01/04/2021	31/03/2022	X	X	X	X	X	X	H	OT				HOCS	
2	Internal audit – Governance and risk	Project		01/04/2021	31/03/2022	X	X	X	X	X	X	H	NS				HOCS	
3	Internal audit – UK GDPR and data protection compliance – external audit to assess implementation process and compliance	Project		01/04/2021	31/03/2022	X	X	X	X	X	X	H	NS				HOCS	
4	Health and safety audit	Project		01/04/2021	31/03/2022					X		H	OT				HOCS	