



Scottish Information
Commissioner
www.itspublicknowledge.info

Operational Plan 2022-23 Monitoring Report

Scottish Information Commissioner

Introduction

Introduction

This document sets out the Scottish Information Commissioner's operational plan for the period from 1 April 2022 to 31 March 2023. The operational plan explains how we will realise the Commissioner's vision and strategic objectives, as set out in the Strategic Plan 2020-24, 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

The operational plan is laid out as a programme of actions listed under types of operational activity, with cross references to which strategic objective(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 within the financial year.

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 general project management principles and practice and are approved by the Senior Management Team (SMT).

Monitoring and reporting

Progress against the plan will be reviewed every two months by the SMT and an update of progress will be published following this review in the Operational Plan Monitoring Report 2022-23.

Achievement and output against individual line items will also be assessed and reported in line with the organisational targets and indicators and measures set out in our Key Documents C7 Performance and Quality Framework 2022-23 and C1 Governance Reporting Arrangements.

Resources

The Commissioner's budget for 2022-23 is:

- Total staff costs: £1,744,034
- Total gross revenue costs: £2,107,200
- Capital expenditure: £42,800
- Total: **£2,150,000**

KEY

BAU: Business as Usual

Commissioner/SIC: Scottish Information Commissioner

DHOE: Deputy Head of Enforcement

HOCS: Head of Corporate Services

HOE: Head of Enforcement

HOPI: Head of Policy and Information

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

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	01/04/2022	31/10/2022						X	H	OT	OT	Comp	Comp	HOCS	
2	Learning & Development Plan 2022-23 (internal)	BAU	Annual	01/04/2022	31/10/2022						X	H	OT	OT	Comp	Comp	HOCS	
3	Review Human Resources Strategy	BAU	Annual	01/04/2022	31/10/2022						X	M	OT	OT	Slip	OT	HOCS	Due to be considered in Q3
4	Apply & monitor Performance & Development Framework	BAU		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
5	Carers Accreditation – monitoring and application	BAU		01/04/2022	31/03/2023						X	M	NS	NS	NS	NS	HOCS	
6	Security & Vetting scheme- monitoring and application	BAU		01/04/2022	31/03/2023						X	H	Comp	Comp	Comp	OT	HOCS	
7	Recruitment – planned and approved	BAU	As approved	01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	

1	Business continuity - COVID -19 pandemic – interim human resources policies and processes	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
2	Business continuity - COVID -19 pandemic –gradual re-opening of office premises - health and safety requirements, physical distancing and hygiene requirements	Project		01/04/2022	31/03/2023						X	H	Comp	Comp	Comp	Comp	HOCS	
3	Hybrid working – office premises and remote working	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
4	Development of Workforce Plan (in accordance with Human Resources Strategy)	Project		01/04/2022	31/03/2023						X	H	NS	NS	OT	OT	HOCS	
5	Carer Positive Scheme - Accreditation	Project		01/04/2022	31/03/2023						X	M/H	NS	NS	NS	NS	HOCS	
6	HR data base – replacement	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
7	Review – Code of Conduct (set out in Employee Handbook and consider whether declaration from staff required)	Project		01/04/2022	30/06/2022						X	H	Slip	Comp	Comp	Comp	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 – prepare, deliver and report on	BAU		01/04/2022	31/03/2023		X	X	X		X	H	OT	OT	OT		HOPI	
2	Public sector FOI practitioner peer support mechanisms and networks - support and develop	BAU		01/04/2022	31/03/2023		X	X	X			M	OT	OT	OT		HOPI	
3	Prepare and circulate learning points from decisions	BAU	Monthly	01/04/2022	31/03/2023		X	X	X		X	H	OT	OT	OT	OT	HOE	
4	Collaborate with/involve authority representatives to inform best practice	BAU		01/04/2022	31/03/2023		X	X	X		X	M	OT	OT	OT		HOPI	
5	FOI/EIRs statistics portal data from public authorities - collect, collate and publish	BAU	Quarterly	01/04/2022	31/03/2023	X		X				S/H	OT	OT	OT		HOPI	
6	New public authorities - support to prepare for FOI duties	BAU		01/04/2022	31/03/2023		X	X	X			H	OT	OT	OT		HOPI	
7	Good practice resources, guidance and case studies for authorities – maintain, develop, promote, and report on use	BAU		01/04/2022	31/03/2023		X	X	X	X	X	H	NS	OT	OT		HOPI	

1	Statistics Portal – review and refine current collection method	Project		01/04/2022	31/03/2023		X				X	M	OT	OT	OT		HOPI	
2	Research, design and pilot bitesize online webinars for practitioners.	Project		01/04/2022	31/03/2023		x	x	x			M	NS	OT	OT		HOPI	Feedback on topics for webinars to be sought at CFOI

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		01/04/2022	31/03/2023	X	X			X	S/H	Comp	Comp	Comp	OT	HOCS		
2	IRM assurance report to SMT	BAU	Annual	01/04/2022	30/09/2022	X	X			X	S/H	Comp	Comp	Comp	Comp	HOCS		
3	Maintenance of secure and reliable IT network	BAU		01/04/2022	31/03/2023					X	S/H	Comp	Comp	Comp	OT	HOCS		
4	Manage Key Documents as per the Review Programme	BAU		01/04/2022	31/03/2023	X	X	X		X	H	Comp	Comp	Comp	OT	HOCS		
5	Monitor compliance with data protection legislation and the UK General Data Protection Regulation	BAU		01/04/2022	31/03/2023		X			X	S	Comp	Comp	Comp	OT	HOCS		
6	UK GDPR/Data protection – SMT update	BAU	Quarterly	01/04/2022	31/03/2023		X			X	S	Comp	Comp	Comp	OT	HOCS		
7	Maintain a compliant publication scheme and guide to information	BAU		01/04/2022	31/03/2023	X	X		X	X	H	Comp	Comp	Comp	OT	HOCS		
8	Commissioner's Publication Scheme - assurance report to SMT	BAU		01/01/2023	31/03/2023					X	S	OT	OT	OT	OT	HOCS	CR to QSMTM Q3	
9	Monitor Commissioner's compliance in responding to RFIs and reviews – compliance with statutory timescales, policy and procedures and quality assurance	BAU		01/04/2022	31/03/2023		X			X	S	Comp	Comp	OT	OT	HOCS	CR to QSMTM Q3	
10	Monitor Commissioner's compliance in responding to SARs – compliance with statutory timescales, policy and procedures	BAU		01/04/2022	31/03/2023					X	S	Comp	Comp	OT	OT	HOCS	CR to QSMTM Q3	

1	Business continuity - COVID -19 pandemic – remote working – interim policies	Project		01/04/2022	31/03/2023				X	X	H	OT	OT	OT	OT	HOCS	
2	Virtual Cabinet – upgrade	Project		01/04/2022	31/03/2023	X	X	X	X		S/H	NS	OT	OT	OT	HOCS	
3	Digital and IT Strategy	Project		01/04/2022	31/03/2023					X	S/H	NS	NS	NS	OT	SIC / HOCS	
4	Information and Records Management (IRM) – consider and recommend way forward as regards review, retention and assurance	Project		01/04/2022	31/03/2023		X			X	H	OT	OT	OT	OT	HOCS	
5	IRM – review and update File Plan	Project		01/04/2022	31/03/2023		X			X	H	OT	OT	OT	OT	HOCS	
6	IRM – review and update Retention Schedule	Project		01/04/2022	31/03/2023		X			X	H	OT	OT	OT	OT	HOCS	
7	Case Management System (CMS) - RFI/RFR/workflow	Project		01/04/2022	31/03/2023		X			X	M/H	NS	NS	NS	NS	HOCS	
8	CMS – SAR workflow	Project		01/04/2022	31/03/2023		X			X	M/H	NS	NS	NS	NS	HOCS	
9	CMS – access protection – approval processes	Project		01/04/2022	31/03/2023		X			X	M/H	NS	NS	NS	OT	HOCS	
10	Website Manual	Project		01/04/2022	31/03/2023		X	X	X	X	H	OT	OT	Slip		HOPI	

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) 2021-22: Statutory reporting and 3Es	BAU	Annual	01/04/2022	31/12/2022						X	S	OT	OT	Comp	Comp	HOCS		
2	AR 2021-22: Accountability Report and Financial Statements ensure compliance with FReM, SPFM, prepare and obtain approval	BAU	Annual	01/04/2022	31/12/2022						X	S	OT	OT	Comp	Comp	HOCS		
3	AR 2021-22: Performance Report – ensure compliance with FReM, SPFM prepare and obtain approval	BAU	Annual	01/04/2022	31/12/2022						X	S	OT	OT	Comp	Comp	HOPI / HOCS	Section 46(1) report - signed and laid before SP October 2022 ARA 2021-22 - audited, signed and laid before SP December 2022	
4	AR 2021-22: Annual Statement of Assurance to Commissioner	BAU	Annual	01/04/2022	31/12/2022	X	X	X			X	H	OT	OT	Comp	Comp	HOCS		
5	AR 2021-22: Auditor's Report – liaise with Auditor and Advisory Audit Board (AAB)	BAU	Annual	01/04/2022	31/12/2022						X	H	NS	NS	Comp	Comp	HOCS		
6	AR 2021-22: AAB meeting 2022	BAU	Annual	01/08/2022	31/12/2022						X	H	NS	NS	Comp	Comp	HOCS		
7	Audit Planning Report – AR 2022-23 liaise with auditor and AAB	BAU	Annual	01/10/2022	31/03/2023						X	H	NS	NS	NS	OT	HOCS		
8	Performance and statistical reporting operational (relates to financial, payment of invoices, equalities monitoring, sickness)	BAU	As set out in the GRA	01/04/2022	31/03/2023	X	X	X			X	S	Comp	OT	OT	OT	HOCS		
9	Manage and report on Enquiries Service	BAU	Six monthly	01/04/2022	31/03/2023	X	X	X			X	H	NS	Comp	NS	OT	HOCS	6 monthly reports - CRs to QSMTM Q2 and Q4	
10	Public Service Reform (Scotland) Act 2010 – annual statement of expenditure and annual statement of sustainable growth report	BAU	Annual	01/04/2022	31/03/2023						X	S	OT	OT	OT	OT	HOCS	Annual CR to QSMTM Q4 (April/May)	
11	Operational Plan 2022-23 – monitor and report progress	BAU	Two monthly	01/04/2022	31/03/2023	X	X	X			X	H	Comp	Comp	Comp	OT	SMT		
12	Key Documents – reviews due and overdue reviews - monitor	BAU	Two Monthly	01/04/2022	31/03/2023	X	X	X			X	H	Comp	Comp	Comp	OT	SMT		
13	Operational Plan 2023-24 - coordinate and prepare	BAU	Annual	01/01/2023	30/06/2023	X	X	X			X	H	NS	NS	NS	OT	HOCS		
14	Governance Reporting Arrangements (GRA) – reporting against cycle	BAU		01/04/2022	31/03/2023	X	X	X			X	H	OT	OT	OT	OT	HOCS/ HOPI/HOE	To complete - QSMTM Q4 (April/May) HOE QA work on compliance with investigations handbook to be cancelled until start of 2023/24 given recent changes to Enforcement Team.	
15	GRA - compliance report to SMT	BAU	Annual	01/04/2022	31/03/2023	X	X	X			X	H	Comp	Comp	Comp	Comp	HOCS		
16	Case Management System – reporting (manual and automatic) for IPM/end of year Enforcement statistics	BAU	Monthly	01/04/2022	31/03/2023						X	M	Comp	Comp	Comp	OT	HOCS		
17	Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	BAU	Annual	01/04/2022	31/08/2022						X	S	NS	NS	NS	NS	HOE		
18	Report on biodiversity (as required by the Nature Conservation (Scotland) Act 2004)	BAU	As required	01/04/2022	31/03/2023						X	S	NS	NS	NS	NS	HOCS	Not required in 2022-23	
19	Sustainable Development - monitor and report on carbon footprint	BAU	Annual	01/04/2022	31/03/2023						X	S	OT	OT	OT	OT	HOCS	Annual CR to QSMTM Q4 (April/May)	
1	Business continuity - COVID -19 pandemic –enquiries - interim revised arrangements and reporting procedures	Project		01/04/2022	31/03/2023					X	X	H	OT	OT	OT	OT	HOCS		
2	Enquiries procedures – review of outcome codes and assurance reporting	Project		01/04/2022	31/03/2023	X	X	X			X	X	H	NS	NS	NS	NS	HOCS	Likely to be c/f to 2023-24
3	Equalities Monitoring and Reporting – service users - revised system	Project		01/04/2022	31/03/2023						X	X	H	NS	NS	NS	OT	HOCS	
4	CMS – review of in-house reporting	Project		01/04/2022	31/03/2023						X	X	H	NS	NS	NS	NS	HOCS	Likely to be c/f to 2023-24

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 - report on for 2022-23	BAU	Annually	01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT		HOPI	
2	News media - manage and maintain news media enquiry service and ongoing media engagement	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	M	OT	OT	OT		HOPI	
3	News media - manage and maintain media monitoring service	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	M	OT	OT	OT		HOPI	
4	Email newsletters - prepare, promote and circulate regularly and as required	BAU	Bimonthly	01/04/2022	31/03/2023	X	X	X	X	X	X	M	OT	OT	OT		HOPI	
5	Social media - monitor, maintain and develop in line with Communications Framework/as required	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	M	OT	OT	OT		HOPI	
6	Events - support and participate in key relevant conferences/events	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	L/M	OT	OT	OT		HOPI	
7	Events - deliver events to promote effective use of FOI rights (such as to civil society, MSPs and media)	BAU		01/04/2022	31/03/2023	X					X	M	OT	OT	OT		HOPI	
8	Website – manage website support and development service	BAU		01/04/2022	31/03/2023	X	X	X	X		X	H	OT	OT	OT		HOPI	
9	Website - maintain and promote content, ensuring it is up to date and relevant, and reporting progress	BAU	Six monthly	01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT		HOPI	
10	Website – maintain, develop and report on accessibility compliance via accessibility statements	BAU		01/04/2022	31/03/2023						X	S	NS	NS	OT		HOPI	
11	BSL Action plan 2019-2023 – implement and report on	BAU	Annually	01/04/2022	31/03/2023	X	X	X	X		X	S	NS	NS	NS		SMT	
12	Annual report 2021-22 - coordinate design and promotion where required	BAU	Annually	01/04/2022	30/09/2022						X	H	OT	OT	Comp		HOPI	Section 46(1) report complete and publicised
13	Content and communications planning – maintain and implement, delivering communications campaigns on FOI as required	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	M	OT	OT	OT		HOPI	
14	FOI Policy monitoring systems and policy positions – maintain as required (includes parliamentary monitoring service)	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT		HOPI	
15	Key stakeholder relationships/ partnerships – maintain, develop and support as required	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	M	OT	OT	OT		HOPI	
16	Input to Legislative change and consultations - monitor and respond to relevant consultations / inform legislative change processes as required	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT		HOPI	Likely that Q3/Q4 will be significant in terms of input to legislative change.

1	Review 'Your Right to Know' and related resources, text and approach	Project				X						H	NS	NS	NS		HOPI	
2	Promoting FOI awareness to young people project	Project		01/10/2022	31/03/2023	X					X	H	NS	OT	OT		HOPI	
3	Engage as appropriate with Scottish Open Government Partnership	Project				X	X	X	X	X	X	M	OT	OT	OT		SIC	
4	British Sign Language translation of two resources	Project		01/10/2022	31/03/2023	X					X	S	NS	NS	NS		HOPI	
5	Refine and develop new website (phase 1) -functionality and content.	Project		01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT		HOPI	
6	Improve accessibility of website content (Briefings and Guidance)	Project		01/04/2022	31/03/2023	X	X	X	X	X	X	H	NS	NS	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	01/04/2022	31/03/2023						X	S	OT	Comp	OT	OT	HOCS	6 monthly reports - CRs to QSMTM Q2 and Q4
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	01/04/2022	31/03/2023		X	X		X	X	S	Comp	Comp	OT	OT	HOCS	CR to QSMTM Q3
3	Subject access requests to Commissioner - record, analyse and monitor performance	BAU	Quarterly	01/04/2022	31/03/2023		X	X		X	X	S	Comp	Comp	OT	OT	HOCS	CR to QSMTM Q3
4	Information Requests to Commissioner – provide assurance to HOCS that responses to information requests comply with relevant legislation and related guidance	BAU	Annual	01/04/2022	31/03/2023		X	X		X	X	S	NS	NS	NS	NS	HOE	Assurance provided in Q4
5	Investigation targets and Key Performance Indicators - monitor and review to ensure appropriate and fit for purpose	BAU	Monthly	01/04/2022	31/03/2023					X	X	H	OT	OT	OT	OT	HOE	
6	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		01/04/2022	31/03/2023	X	X	X		X	X	S/H	OT	OT	OT	OT	SMT	
7	Communication targets and key performance indicators - monitor and review to ensure appropriate and fit for purpose	BAU		01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT		HOPI	Work being done to align KPIs with new comms strategy.

1	Complaints Policy and Handbook – review to take account of revised Model complaints Scheme issued 31/01/2020	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
2	Unacceptable Actions Policy - review to take account of revised Model complaints Scheme issued 31/01/2020	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	

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		01/04/2022	31/03/2023		X	X		X		S	OT	OT	OT	OT	HOE	
2	Register, validate, investigate and decide applications in line with approved procedures	BAU	Monthly	01/04/2022	31/03/2023		X			X		S	OT	OT	OT	OT	HOE	
3	Ensure Investigations Handbook remains up to date and efficient	BAU		01/04/2022	31/03/2022		X				X	S/H	OT	OT	OT	OT	HOE	Major changes to procedures introduced 1 September 2022
4	Monitor investigation and enforcement performance	BAU	Monthly	01/04/2022	31/03/2023			X			X	S/H	OT	OT	OT	OT	HOE	
5	Report on investigation and enforcement performance	BAU	Quarterly	01/04/2022	31/03/2023		X	X	X	X	X	S/H	OT	OT	OT	OT	HOE	
6	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		01/04/2022	31/03/2023		X			X		H	OT	OT	OT	OT	HOE	
7	Maintain a rolling programme to ensure standard/template letters on the case management system are reviewed and regularly updated, as required.	BAU		01/04/2022	31/03/2023		X				X	S	OT	OT	OT	OT	HOE	
8	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	01/04/2022	31/03/2023		X	X	X			S	OT	OT	Slip		HOPI	
9	Interventions - report on intervention performance and publish updates on intervention activity	BAU	Quarterly	01/04/2022	31/03/2023		X					S	OT	OT	Slip		HOPI	
10	Publication schemes - manage and monitor notifications from new authorities re: compliance with publication scheme duty	BAU		01/04/2022	31/03/2023			X		X		S	OT	OT	OT		HOPI	
11	Regulatory guidance for authorities – maintain and develop as required	BAU		01/04/2022	31/03/2023	X	X	X	X			S	OT	OT	OT	OT	HOE	
12	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		01/04/2022	31/03/2023		X	X			X	S	OT	OT	OT		HOPI	
13	Circulate internal Decisions Round-Up	BAU	Monthly	01/04/2022	21/03/022	X	X				X	H	OT	OT	OT	OT	HOE	
1	Scottish Government intervention - assessment and report to Parliament	Project		01/04/2022	01/06/2022		X			X		H	Comp	Comp	Comp		HOPI	

Resource Management

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim						Priority	Q1	Q2	Q3	Q4	Lead	Comment/ Update
						1	2	3	4	5	6							
1	Set and profile budget for 2023-24	BAU	Annual	01/06/2022	31/10/2022	X	X	X		X		H	OT	OT	OT	OT	HOCS	Budget submission sent to SPCB 20/09/22 and updated 18/11/22
2	Budget monitoring and control – 2022-23	BAU	Quarterly	01/04/2022	31/03/2023	X	X	X		X		H	Comp	Comp	OT	OT	HOCS	
3	Monitor and report on payment of invoices	BAU	Annual	01/04/2022	31/03/2023	X	X	X		X		H	NS	NS	NS	OT	HOCS	Report to Q4 QSMTM
4	Workforce monitoring and planning	BAU	Annual	01/04/2022	31/03/2023	X	X	X		X		H	OT	OT	OT	OT	HOCS	
5	Maintenance of premises	BAU		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
6	Maintenance of remote working facilities	BAU		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
7	Contracts – procurement and management (as required) – where HOCS/CST indicated as lead	BAU	As agreed in relevant contract	01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
8	External provision of legal services: contract management	BAU	As agreed in contract	01/04/2022	31/03/2023						X	H	OT	OT	OT	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	01/04/2022	31/03/2023						X	H	OT	OT	OT		HOPI	
10	IT - replacement hardware – as per annual programme	BAU		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
11	Cyber resilience – monitor and implement work required	BAU		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
1	Telephone system/s – office premises and remote working – scope operational, technical and resource requirements	Project		01/04/2022	31/03/2023						X	H	NS	NS	OT	OT	HOCS	
2	Telephone system/s – office premises and remote working (subject to (1))	Project		01/04/2022	31/03/2023						X	H	NS	NS	NS	NS	HOCS	Project likely to be c/f to 2023-24 - dependent on scoping, etc.
3	IT Support and Maintenance Contract – review arrangements (dependent on Digital and IT Strategy being put in place)	Project		01/04/2022	31/03/2023						X	H	NS	NS	OT	Comp	HOCS	Contract review taken place
4	Hybrid working – office working and remote working (following on from the impact of the COVID-19 pandemic) and gradual re-opening of the office premises – monitor resource required and arrange additional resource required (subject to relevant approvals)	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
5	Cyber Resilience Action Plan 2022-2023	Project		01/04/2022	31/03/2023						X	H	OT	OT	OT	OT	HOCS	
6	Cleaning Services Contract – review of arrangements and procurement of contract	Project		01/04/2022	31/03/2023						X	H	NS	NS	OT	OT	HOCS	Planned for Q3/4
7	Office premises – internal painting	Project		01/04/2022	31/03/2023						X	H	NS	OT	OT	OT	HOCS	
8	Operating system upgrade – scope requirements	Project		01/10/2022	31/03/2023						X	M	NS	NS	NS	OT	HOCS	
9	Medium Term Financial Planning - develop Medium Term Financial Plan	Project		01/04/2022	31/03/2023						X	H	NS	NS	OT	OT	HOCS	Planned for Q3/Q4

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	01/04/2022	31/03/2023	X	X	X		X	X	H	Comp	Comp	Comp	OT	SMT	
2	Review of strategic risk	BAU	Quarterly	01/04/2022	31/03/2023	X	X	X		X	X	H	Comp	Comp	OT	OT	SMT	Review at QSMTMs
3	Updating risk registers	BAU	Every 2 months / quarterly	01/04/2022	31/03/2023	X	X	X		X	X	H	Comp	Comp	OT	OT	HOCS	
4	Annual assessment and review of risk and report to SMT	BAU	Annual	01/04/2022	31/10/2022	X	X	X		X	X	H	Comp	Comp	Comp	Comp	HOCS	Report submitted and considered by SMT
5	Internal Audit Plan 2021-22 to 2023-24 – review and update (see below for projects)	BAU	Annual	01/04/2022	31/03/2023	X	X	X		X	X	H	OT	Comp	Comp	Comp	HOCS	
6	Business Continuity Plan – maintenance of plan and testing (as required)	BAU		01/04/2022	31/03/2023	X	X	X		X	X	H	OT	OT	OT	OT	HOCS	
7	Health and Safety – monitoring	BAU	monthly	01/04/2022	31/03/2023	X	X	X		X	X	H	Comp	Comp	Comp	OT	HOCS	
8	Health and Safety – reporting	BAU	Six Monthly	01/04/2022	31/03/2023	X	X	X		X	X	H	Comp	OT	OT	OT	SMT	6 monthly reports - CRs to QSMTM Q1 and Q3
9	AAB – reports on external and internal audits, risk policy and review of strategic risk	BAU	Annual	01/04/2022	31/12/2022	X	X	X		X	X	H	NS	NS	Comp	Comp	HOCS	

1	Business continuity arrangements - COVID -19 –office re-opening- health and safety, physical distancing and hygiene arrangements – management of risk	Project		01/04/2022	31/03/2023	X	X	X	X	X	X	H	Comp	Comp	Comp	Comp	HOCS	Office premises re-opened May 2022
2	Internal audit – project (details to be confirmed following review of Internal Audit Plan)	Project		01/04/2022	31/03/2023	X	X	X	X	X	X	H	OT	OT	OT	OT	HOCS	Q3 project
3	Internal audit – project (details to be confirmed following review of Internal Audit Plan)	Project		01/04/2022	31/03/2023	X	X	X	X	X	X	H	NS	NS	NS	OT	HOCS	Q4 project
4	Health and safety audit 2022-23	Project		01/04/2022	31/03/2023						X	H	NS	NS	NS	OT	HOCS	
5	Internal auditor service – procure	Project		01/04/2022	31/03/2023						X	H	NS	NS	NS	NS	HOCS	SPCB indicated a shared service may be available - awaiting update