

Operational Plan 2015-2016

Scottish Information Commissioner



Introduction

This document sets out the Scottish Information Commissioner's operational plan for the year April 2015 to March 2016. The plan explains how resources will be used to realise the Commissioner's vision and strategic aims, and provides a tool for on-going monitoring of outcomes and management of resources.

Vision

The Scottish Information Commissioner aims to regulate fairly, and add value to a Scotland:

- where people are familiar with their rights to access information and exercise them knowledgeably, effectively and responsibly;
- where those bodies delivering public functions disseminate and disclose information willingly and openly;
- where access to information is the result of open dialogue and communication that enables both the exercise of rights to information and the delivery of statutory functions; and
- which is recognised and respected internationally as a world-leader in access to information law, policy and practice

Strategic aims

To work towards this vision, the Commissioner has set out her strategic aims as follows, the overarching theme being **improving access to information through adding value**:

- (i) We will enable and support Scottish public authorities to develop and maintain high standards of FOI policy and practice through a combination of regulation, advice and assistance, and appropriate collaboration.
- (ii) We will influence positively cultural change in Scottish public authorities' approaches to meeting their FOI duties.
- (iii) We will encourage effective and responsible use of FOI rights through support, education and promotion.
- (iv) We will influence and support the development of Scottish information law and policy to ensure it remains fit for purpose and enables effective communication.
- (v) We will be recognised as an organisation of accessible experts, that is run efficiently, governed effectively and leads by example.

Structure of the operational plan

The 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 a mixture of 'business as usual' and one-off projects. The aim is to make this a working document which forms the basis of on-going monitoring and assessment.



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

Project-based work will be managed according to sound project management principles and practice. Each project will be scoped, then initiated by the Senior Management Team and reported on monthly for its duration.

Monitoring and reporting

Progress against plan will be reviewed monthly. An update of progress against plan, using a traffic-light system, will be published quarterly.

Achievement and output against individual line items will be 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 2015-16 is:

Total staff costs*	£1,175,200
Total revenue costs	£285,300
Capital expenditure	£3,500
Total	£1,464,000
*including a non-consolidated amount for an additional temporary post	



Summary of activity

The majority of activity in relation to regulation of FOI (investigations and publication schemes) is recorded as business as usual. Only the major activities are shown in this plan. Underpinning this is the day-today management of the organisation and its resources, which again is not listed in detail.

Functional areas are:

- Human resource management
- Improving authority practice
- Information management
- Planning and reporting
- Promotion and communications (including the enquiries service)
- Quality assurance
- Regulation and enforcement
- Resource management
- Risk management
- Sustainable development
- Other

The dates in the plan are as firm as they can be at the start of the year, but may change in response to external factors or a change in priorities.

KEY:

BAU: Business as Usual

Priority: Relative priority Statutory, High, Medium, Low

HOE: Head of Enforcement

HOPI: Head of Policy and Information

HOOM: Head of Operational Management

SIC: Scottish Information Commissioner

SMT: Senior Management Team



Human resource management

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Annual report to SMT on Performance & Development Framework	BAU	Annual	01/05/2015	30/06/2015					X	H	HOOM
2	Create Annual Learning & Development Plan (internal)	BAU	Annual	01/05/2015	30/06/2015					X	H	HOOM
3	Review HR Strategy	BAU	Annual	01/01/2016	31/03/2016					X	M	HOOM
4	Apply & monitor Performance & Development Framework	BAU		01/04/2015	31/03/2016					X	H	HOOM
5	Achieve recognition as a 'Carer Positive' organisation	Project		01/10/2015	31/03/2016					X	M	HOOM
6	Major review of Employee Handbook	Project		01/10/2015	31/12/2015					X	S/H	HOOM



Improving authority practice

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Monitor authority compliance with the Model Publication Scheme	BAU		01/06/2015	30/08/2015	X	X				M	HOPI
2	Hold a programme of regional roadshows to promote FOI authority good practice, leadership and governance	BAU		01/04/2015	31/03/2016	X	X			X	H	HOPI
3	Liaise with Holyrood Events (if holding the annual Holyrood Conference)	BAU		01/04/2015	31/12/2015	X	X	X		X	L	HOPI
4	Organise & deliver a practitioners' conference for the Centre for FOI - May 2015	BAU		01/04/2015	31/05/2015	X	X		X		H	HOPI
5	Organise & deliver a practitioners' conference for the Centre for FOI - May 2016	BAU		01/11/2015	31/03/2016	X	X		X		M	HOPI
6	Produce and publish weekly decisions round up	BAU	Weekly	01/04/2015	31/03/2016	X	X	X		X	H	HOE/HOPI
7	Produce & publish annual report on lessons learned from decisions round-up	BAU	Annual	01/04/2015	29/02/2016	X				X	M	HOPI
8	Produce and publish an interventions procedure to deliver the Enforcement Policy	Project		01/04/2015	31/05/2015	X	X				S/H	HOPI
9	Deliver a programme of self-assessment tools for authorities.	Project		01/04/2015	31/03/2016	X	X				H	HOPI
10	Scope the development of a strategy to enable knowledge sharing between authorities	Project		01/04/2015	31/08/2015	X	X				M	HOPI
11	Deliver a strategy to enable knowledge sharing between authorities (dependent on outcome of IAP 10)	Project		01/09/2015	31/03/2016	X	X				M	HOPI



Information management

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Apply on-going IRM controls and procedures - P&I	BAU		01/06/2015	30/09/2015					X	S/H	HOOM
2	Apply on-going IRM controls and procedures -Enforcement	BAU		01/07/2015	30/09/2015					X	S/H	HOOM
3	Apply on-going IRM controls and procedures - OMT	BAU		01/10/2015	31/03/2016					X	S/H	HOOM
4	Review IRM Policies & Procedures	BAU	Annual	01/01/2016	31/03/2016					X	S/H	HOOM
5	IRM Assurance report to SMT	BAU	Annual	01/04/2015	30/04/2015					X	S/H	HOOM
6	Maintenance of secure and reliable IT network	BAU		01/04/2015	31/03/2016					X	S/H	HOOM
7	Agree review programme for Key Documents	BAU		01/05/2015	31/05/2015					X	H	HOOM
8	Manage Key Documents as per agreed review programme agreed annually	BAU		01/05/2015	31/03/2016					X	H	HOOM
9	Monitor compliance with Data Protection legislation	BAU		01/04/2015	31/03/2016					X	S	HOOM
10	Respond to information requests and reviews in line with policy and procedure, within statutory time scales	BAU		01/04/2015	31/03/2016			X		X	S	HOOM
11	Maintain a compliant publication scheme and guide to information	BAU		01/04/2015	31/03/2016		X			X	S	HOOM
12	SIC Publication Scheme Assurance report to SMT	BAU	Annual	01/04/2015	30/06/2015					X	S/H	HOOM
13	Create a record of information assets	BAU		01/04/2015	30/06/2015		X			X	M	HOOM
14	Complete implementation of Review of IT & Information Security	Project		01/04/2015	30/06/2015					X	S/H	HOOM
15	Case Management System - establish functionality meets requirements, including for integrated online application 'web form' (See also P&C18)	Project		01/04/2015	30/06/2015					X	H	HOOM
16	Case Management System - deliver upgrade (dependant on outcome of IM15 and P&C18)	Project		01/07/2015	31/01/2016					X	H	HOOM
17	Complete implementation of new Electronic Documents & Records Management System	Project		01/04/2015	30/06/2015					X	H	HOOM
18	Develop functionality of new EDRMS	Project		01/10/2015	31/01/2016					X	M	HOOM
19	Website file library: Review file structure and content; develop and implement improved records management policy and procedures	Project		01/10/2015	31/03/2016					X	H	HOOM/HOPI



Planning and reporting

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Publish Statement on 3Es	BAU	Annual	01/09/2015	30/09/2015					X	S	HOOM
2	Performance and statistical reporting	BAU	by 4th wk day each	01/04/2015	31/03/2016	X	X	X	X	X	S	HOOM
3	Public Service Reform (Scotland) Act 2010 - Annual expenditure reporting	BAU	Quarterly	01/04/2015	31/03/2016					X	S	HOOM
4	Co-ordinate, prepare and publish Operational Plan 16/17	BAU	Annual	01/01/2016	31/03/2016	X	X	X	X	X	H	HOOM
5	Programme Board - oversee and steer project work	BAU	Monthly	01/04/2015	31/03/2016	X	X	X	X	X	H	SMT
6	Monitor and report progress against Operational Plan	BAU	Quarterly	01/04/2015	31/03/2016	X	X	X	X	X	H	SMT
7	Report against our annual Governance Reporting Arrangements Cycle	BAU		01/04/2015	31/03/2016	X	X	X	X	X	H	SMT
8	Enquiries service - review of revised classification codes	BAU		01/07/2015	31/07/2015	X	X	X	X	X	M	HOOM
9	Prepare 'annual report' statistics on a 6-monthly basis, incorporating review of methodology	Project		01/10/2015	31/10/2015					X	M	HOOM
10	Develop, lay and publish Strategic Plan 2016-2020	Project	Annual	01/12/2015	31/03/2016	X	X	X	X	X	S	SIC



Promotion and communications (including the enquiries service)

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Produce and implement annual Communication Plan, introducing regular reporting	BAU	Annually	01/04/2015	31/03/2016	X	X	X	X	X	H	HOPI
2	Revise Communication Strategy to include social media strategy, incorporating roll-out of use of twitter, external blog and email marketing. Update	Project		01/04/2015	31/07/2015	X	X	X	X	X	M	HOPI
3	Review Regional Roadshows	Project		01/04/2015	31/03/2016			X			M	HOPI
4	Promote effective use of FOI rights to civil society and media organisations	BAU		01/04/2015	31/03/2016			X			S	HOPI
5	Promote FOI rights to young people through partnership with advice providers and young people's organisations	Project		01/04/2014	31/03/2016			X			M	HOPI
6	Research the extent of public awareness of FOI rights through an omnibus poll	BAU	Annually	01/06/2015	31/08/2015			X			M	HOPI
7	Evaluate need for an online 'Request for Information' form which improves the quality of requests and reduces the work involved in compliance by public authorities.	Project		01/09/2015	30/11/2015	X		X			L	HOPI
8	Research, draft and publish the annual report	BAU		01/04/2015	30/09/2015	X	X	X	X	X	S	HOPI
9	Manage and report on enquiries service	BAU	Quarterly	01/04/2015	31/03/2016	X	X	X	X	X	H	HOOM
10	Manage and maintain press and media enquiry service	BAU	as required	01/04/2015	31/03/2016					X	H	HOPI
11	Complete programme of migration of website databases and deliver staff website training and	BAU		01/04/2015	31/05/2015					X	H	HOPI
12	Regularly review and update existing website content according to a maintenance plan	BAU	Quarterly	01/04/2015	31/03/2016	X	X	X		X	S/H	HOPI
13	Review website content in light of good practice and user needs. Produce and implement a development plan to improve content and navigation.	Project		01/04/2015	31/03/2016	X	X	X			H	HOPI
14	Develop and implement an improved approach to managing mailings to subscribers	Project		01/10/2015	29/02/2016					X	H	HOPI



	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
15	Manage the collection of statistics from the FOI/ EIR statistics portal	BAU	Quarterly	01/04/2015	31/03/2016	X	X				H	HOPI
16	Review and deliver the range of reports available from the FOI / EIR statistics dataset	Project		01/04/2015	30/07/2015	X	X				M	HOPI
17	Update existing briefings on exemptions and key issues against the agreed programme	Project		01/04/2015	31/03/2016	X	X	X	X	X	S/H	HOE
18	Develop online application form which can be integrated with Case Management System (Online form -essential; Link to CMS - desirable). (See also IM 15 & 16)	Project		01/04/2015	31/03/2016			X			H	HOPI
19	Establish a standing advisory group of practitioners e.g. development of resources and learning	Project		01/04/2015	31/03/2016	X	X				M	HOPI
20	Audit Scotland and Accounts Commission -scope information sharing	Project		01/07/2015	29/02/2016	X	X				L	HOPI



Quality Assurance

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	User Feedback - collection and analysis	BAU	Six Monthly	01/04/2015	31/03/2016	X	X	X		X	M	HOOM
2	Compliments and Complaints - recording and analysis	BAU	Six Monthly	01/04/2015	31/03/2016					X	S	HOOM
3	Information requests - collection of performance data in line with the requirements of the s60 code of practice and the FOI/EIRs statistics portal	BAU	Quarterly	01/04/2015	31/03/2016					X	S	HOOM
4	Service User Equalities Statistics - collection and analysis	BAU	Annual	01/04/2015	31/03/2016			X		X	H	HOOM
5	Monitor and review Investigation targets & KPIs to ensure appropriate and fit for purpose	BAU		01/04/2015	31/03/2016			X		X	H	HOE
6	Monitor and report against performance and quality framework, including an annual review of KPIs and other targets and standards	BAU		01/04/2015	31/03/2016	X	X	X	X	X	H	SMT



Regulation and Enforcement

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Enforce FOI in line with Enforcement Policy	BAU		01/04/2015	31/03/2016	X	X				S	HOE
2	Register, validate, investigate and decide applications in line with approved procedures and KPIs	BAU	Monthly	01/04/2015	31/03/2016					X	S	HOE
3	Monitor and report on investigation performance	BAU	Monthly	01/04/2015	31/03/2016	X				X	S/H	HOE
4	Consider whether there are appropriate bodies suitable to designate under s4 and s5 as a matter of routine, and propose to Scottish Ministers	BAU		01/04/2015	29/02/2016				X	X	S	HOPI
5	Provide legal advice to the Commissioner as and when required, and update record of legal advice	BAU		01/04/2015	31/03/2016	X				X	H	HOE
6	Publish the Model Publication Scheme 2016, Commissioner's Guidance and support materials, including reference to open data	BAU		01/09/2015	31/03/2016	X	X				S	HOPI
7	Manage and monitor notifications from Parts 1 & 2 bodies to comply with publication scheme	BAU		01/08/2015	31/03/2016	X	X				S	HOPI
8	Maintain a rolling-programme to ensure standard letters on case management system are reviewed and updated regularly, and as needed.	BAU		01/04/2015	31/03/2016	X				X	H	HOE
9	Respond to Scottish Government consultation on designation	Project		01/04/2015	01/07/2015				X	X	S/H	HOPI
10	Special Report 2016-17 - scoping	Project		01/09/2015	11/02/2016						M	HOPI



Resource management

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Set and profile budget for 2016/17	BAU	Annual	01/06/2015	31/08/2015	X	X	X	X	X	S	HOOM
2	Current year Budget monitoring and control	BAU	Monthly	01/04/2015	31/03/2016	X	X	X	X	X	S	HOOM
3	Workforce monitoring and planning	BAU	Quarterly	01/04/2015	31/03/2016	X	X	X	X	X	H	HOOM
4	Audited Accounts - drafting and clean approval	BAU		01/04/2015	31/08/2015					X	S	HOOM
5	Maintenance of premises	BAU		01/04/2015	31/03/2016					X	M	HOOM
6	Procurement and contract management	BAU		01/04/2015	31/03/2016					X	S/H	HOOM
7	Provision of Governance Statement of Assurance to SIC	BAU	Annual	01/05/2015	31/05/2015					X	S	HOOM
8	Legal Services contract option to extend - review	BAU		01/05/2015	30/06/2015					X	H	HOE
9	Re-tender press cutting / parliamentary / media monitoring service	Project		01/04/2015	30/06/2015					X	M	HOPI
10	Review of procurement policy & procedures	Project		01/04/2015	30/09/2015					X	H	HOOM
11	Tender IT Support & Maintenance Contract	Project		01/06/2015	30/09/2015					X	H	HOOM



Risk management

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Regular review of risk, updating of register and annual risk report	BAU	Monthly	01/04/2015	31/03/2016	X	X	X	X	X	S	HOOM
2	Implement internal audit plan	BAU	Annual	01/10/2015	31/03/2016	X	X	X	X	X	S/H	HOOM
3	BCP - maintenance of plan and testing	BAU	Annual	01/01/2016	31/03/2016	X	X	X	X	X	H	HOOM
4	H&S reporting and procedures	BAU	Quarterly	01/04/2015	31/03/2016	X	X	X	X	X	S	HOOM
5	BCP - review of plan	Project		01/06/2015	30/09/2015	X	X	X	X	X	H	HOOM



Sustainable development

	Activity (Activities run for whole year unless stated otherwise)	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Lead Mgr
						1	2	3	4	5		
1	Monitor Carbon Footprint	BAU	Quarterly	01/04/2015	31/03/2016					X	S	HOOM



Document Control Sheet

Document Information	
Full name of current version: Class, Title, Version No and Status. <i>E.g. C1 MOU Between the SIC and the IC v01</i>	C2 Operational Plan 2015-16 v01 CURRENT ISSUE
VC No.	50136
Type	Plan
Approver	SMT
Responsible Manager	HOOM
Date of next planned review	N/A – new plan issued each year
Approval & Publication	
Approval Date of current major version	14/04/2015
For publication (Y/N)	Y
Date published	15/07/2015
Name of document in website file library	OperationalPlan201516.pdf
Technical Changes / Unplanned or Ad hoc reviews (see Summary of changes below for details)	
Date of last update	13/07/2015

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. v01.25-36)</i>	New version number <i>(e.g. v01.27, or 02.03)</i>	Brief description <i>(e.g. updated paras 1-8, updated HOPI to HOOM, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)</i>
15/04/2015	DL	01.01	01.02	Approved Plan
16/04/2015	DL	01.02	01.03	Technical Change: HRM6 end date corrected to 31/12/15
17/04/2015	DL	01.03	01.04	DCS update
30/04/2015	KB	01.04	01.05	DCS update with publish date
13/07/2015	RA	01.05	01.07	Amended text under strategic aims
15/07/2015	KB	01.07	01.08	DCS updated. Published on website.
15/07/2015	KB	01.08	01.09	DCS updated. Published on website