Governance Reporting Arrangements

Scottish Information Commissioner

Contents

Glossary and abbreviations

Term used	Explanation
FOISA	Freedom of Information (Scotland) Act 2002
HOCS	Head of Corporate Services
HOE	Head of Enforcement
HOPI	Head of Policy and Information
PSR	Public Services Reform (Scotland) Act 2010
The Commissioner	Scottish Information Commissioner
SMT	Senior Management Team

Governance Arrangements

1. The Scottish Information Commissioner's Governance Arrangements are set out in VC140283.

2. The tables below set out the schedule of reports that will be provided to the Scottish Information Commissioner (the Commissioner) as part of the governance arrangements to provide assurance of their effectiveness.

3. The Designated Manager is responsible for ensuring reports are submitted to the SMT (or the Commissioner where appropriate) and that the activities that contribute to the report or which are being reported on are reflected in operational plans. Each member of the Senior Manager Team is accountable to the Commissioner for those covered by their area of responsibility.

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
Finance							
1	**Financial**	Provide assurance that budget is managed effectively, including details of spend against budget with variances, and forecast 'committed spend'	Quarterly				HOCS
2	**Time take to pay suppliers**	Provide annual assurance suppliers are being paid promptly and KPIs achieved				✓	HOCS
Governance							
3	**Assurance for the Governance Statement**	Provide assurance to the Commissioner in his capacity as accountable officer as set out in the Internal Control Checklist.	Summer (direct to SIC)				HOCS
4	**Compliance with Governance Reporting Arrangements**	Provide assurance that the arrangements in this document were complied with in previous financial year	✓				HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
5	**Equalities Monitoring (Service Users)**	Where relevant and appropriate, gather and analyse service user data and use the outcomes to refine policies and practice and also to help demonstrate that the Commissioner meets the public sector duty under the Equality Act 2010. Provide assurance that all policies and projects which impact the public have been equalities impact assessed (including, where relevant and appropriate, a review of any Equalities Impact Form completed as part of a project management process)			✓		HOCS
6	**Communication and Engagement Framework**	Set forward strategy and provide annual summary and forward work plan in respect of communications, media and other P&I functions. Limited annual review to ensure aims and messages remain consistent with those of the organisation				✓	HOPI
7	**Sickness Absence**	Provide data on the amount and nature of sickness absence to: • support effective management of sickness absence • monitor organisational performance against the agreed benchmark • identify trends which may indicate the need for management action				✓	HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
8	**Workforce Trends**	Provide 'Staff in Post' data to inform resource, operational and strategic planning				✓	HOCS
Human Resources							
9	**Employment Policy Update**	Apprise the SMT of changes in employment law and provide assurance that the Commissioner's employment policies are legally compliant			✓		HOCS
10	**Equalities Monitoring (Staff)**	Demonstrate that the Commissioner meets the public sector equality duty in the Equality Act 2010 by gathering and analysing staff data and using the outcomes to refine policies and practice Provide assurance that all policies which impact staff have been equalities impact assessed (including a review of any Equalities Impact Form completed as part of a project management process) Provide assurance that staff have undertaken appropriate training to enable them to meet their obligations under the Equality Act 2010				✓	HOCS
11	**Learning & Development Plan**	Demonstrate that the Commissioner's learning and development plan is aligned with the HR Strategy and supports effective delivery of the annual Operational Plan	✓				HOCS
12	**Performance & Development Framework**	Provide assurance on the effectiveness of the Framework, including: • details of number of reviews completed, and timescales achieved • outcomes e.g. organisation or team level (i.e. not individual)	✓				HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
13	**Review of HR Strategy**	Review of annual actions under the Human Resources Strategy	✓				HOCS

Information & Records Management

Ref	Report	Purpose	Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	Designated Manager
14	**Information and Records Management**	Provide assurance that the Commissioner's information and records are being managed in accordance with published policies and procedures, in particular that: • records are being destroyed at the appropriate time • records are held for the appropriate time • information is held securely • appropriate back-up arrangements are in place • personal data is being lawfully processed • key documents are being managed in line with the Handbook				✓	HOCS
15	**Key Documents**	Provision of a report on outstanding reviews, reviews due and reviews not completed	every 2 months				HOCS
16	**Publication Scheme (SIC)**	Provide assurance that the Commissioner is publishing and making accessible as much information as possible, in line with their own published good practice			✓		HOCS

Performance Management & Monitoring

Ref	Report	Purpose	Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	Designated Manager
17	**Enquiries Service**	Provide information on key performance measures, volumes and subject matter of enquires to inform resource planning		✓		✓	HOCS

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
18	**Feedback from events and training**	Provide assurance that feedback achieves key performance indicators and to support continuous improvement	Per event schedule				HOPI
19	**Subject Access Requests**	Provide information on key performance indicators and volumes	✓	✓	✓	✓	HOCS
20	**Information Requests and Reviews**	Provide information on key performance measures, volumes and subject matter of requests and reviews to inform resource planning, incl. statistics and Reuse Requests	✓	✓	✓	✓	HOCS
21	**Information Requests and Requests for Reviews**	Provide assurance to HOCS that responses to information requests and requests for reviews comply with relevant legislation and related guidance				✓	HOE
22	**Investigations Performance**	Report on performance, including whether key performance measures are being achieved, numbers and KPIs, ages of cases, etc.	✓	✓	✓	✓	HOE
23	**Operational Plan Monitoring**	Monitor and provide assurance that activities are progressing to plan and to inform the prioritisation of projects and resources	Every 2 months				HOCS
24	**Publications Schemes (PAs)**	Provide assurance that adoptions are progressing in line with key performance indicators				✓	HOPI
25	**Interventions**	Provide quarterly reports on interventions carried out during the year	✓	✓	✓	✓	HOPI
26	**Quality Assurance – Investigations**	Provide assurance on the quality of investigations as defined by the agreed quality criteria as set out in the Investigations Handbook	✓	✓	✓	✓	HOE
27	**Quality Assurance - Enquiries**	Provide assurance on the quality of responses to enquiries as defined by the agreed quality criteria				✓	HOCS

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28	**Self-Assessment Tools**	Provide assurance on the utilisation and effectiveness of the self-assessment tools			✓		HOPI
29	**Service Standards**	Provide assurance on the quality of service provision, including: • number of compliments received • number of complaints received and their outcomes		✓		✓	HOCS
30	**Website Performance and Analytics Report**	Provide report on website usage and assurance that key performance measures are achieved		✓		✓	HOPI

Risk

Ref	Report	Purpose	Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	Designated Manager
31	**Health and Safety**	Provide assurance that the Commissioner is meeting their statutory obligations in respect of employee health, safety and well-being, and is providing statutory training	✓		✓		HOCS
32	**UK GDPR Report**	Provide report on UK GDPR and data protection arrangements, including data incidents	✓	✓	✓	✓	HOCS
33	**Risk Management**	Provide annual assurance that risk is being managed effectively, including a review of the Risk Management Policy				✓	HOCS
34	**Risk Registers**	Provide assurance that risk is being managed effectively, in line with Risk Policy:					HOCS
		- Operational Risk Register	every 2 months				
		- Strategic Risk Register and Heat Maps (both Registers)	✓	✓	✓	✓	

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
Statutory							

35	**Annual Report and Accounts (ARA)**	Provide:
		
		• Performance Report (HOPI) (HOCS as regards the relevant corporate sections)
		
		• Accountability Report (HOCS)
		
		     o Parliamentary Accountability
		
		        • Commissioner's Report
		
		        • Statement of Accountable Officer's Responsibilities
		
		        • Governance Framework/Scheme of Control
		
		        • Remuneration and staff report (HOCS)
		
		• Financial Statements (HOCS)
		
		• successfully audited Annual Report (ARA) (HOCS)
		
		• designed, printed and signed ARA (HOPI/HOCS)
		
		• Auditor General clearance for laying (HOCS)
		
		• laying of the ARA before Parliament (HOPI)
		
		The ARA to be drafted in compliance with the Scottish Public Finance Manual and the Government Financial Reporting Manual (FReM).
			June – Draft Performance Report agreed by SMT
			
			September/October – ARA - final sign off by Commissioner
							HOPI & HOCS
							
							(as indicated)

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
36	**Statements of Expenditure** **(Public Services Reform (Scotland) Act 2010) (PSR(S)A)**	Publish statements of expenditure as required by section 31 of the PSR (S)Act				✓	HOCS
37	**Statement on Sustainable Growth** **(PSR (S) Act)**	Publish statement as required by section 32 of the PSR (S) Act				✓	HOCS
38	**Prescribed Persons (Reports on Disclosure of Information) Regulations 2017**	Publish annual report				✓	HOE
39	**British Sign Language**	Action Plan – report and review				✓	HOPI
40	**Report on Biodiversity**	As required by the Nature Conservation Act 2004 (every 3 years)			✓		HOCS
41	**Sustainable Development**	Monitor and report on Carbon Footprint				✓	HOCS
42	**Community Empowerment (Scotland) Act 2015**	Publish annual report (as required)	✓				HOCS

Senior Management Team Meetings – outline agendas

Quarter/Month	Meeting type	Standing items	Additional items (there may be further additional items included on the agenda for each meeting as required)
Q1			
April	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Key Documents – outstanding, due and not completed)
May	Monthly	Operational Plan Monitoring – BAU and Projects Operational Risk Register	Governance Reporting – assurance report
June	Monthly	Key Documents – outstanding, due and not completed	Draft Annual Report and Accounts (ARA) (Performance Report)
Q2			
July	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Operational Plan Monitoring and Operational Risk Register)
August	Monthly	Key Documents – outstanding, due and not completed	Internal Audit Policy and Plan
September	Monthly	Operational Plan Monitoring – BAU and Projects Operational Risk Register	
Q3			
October	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Key Documents – outstanding, due and not completed)
November	Monthly	Operational Plan Monitoring – BAU and Projects Operational Risk Register	
December	Monthly	Key Documents – outstanding, due and not completed	
Q4			
January	**Quarterly**	QSMTM standing items	QSMTM additional items (incl Operational Plan Monitoring and Operational Risk Register)
February	Monthly	Key Documents – outstanding, due and not completed	
March	Monthly	Operational Plan Monitoring – BAU and Projects Operational Risk Register	

Quarterly Senior Management Team Meetings - AGENDA

Quarter 1: July (to 30 June)	Quarter 2: October (to 30 September)
Standing Items ➢ Minutes, action points update and matters outstanding ➢ Finance Report ➢ Health and Safety ➢ Information Requests and Reviews ➢ Subject Access Requests ➢ Investigations Performance ➢ Quality Assurance – Investigations ➢ Operational Plan Monitoring Report ➢ UK GDPR Report ➢ Interventions Report ➢ Operational Risk Register ➢ Strategic Risk Register & Heat Maps	**Standing Items** ➢ Minutes, action points update and matters outstanding ➢ Finance Report ➢ Information Requests and Reviews ➢ Subject Access Requests ➢ Enquiries Service ➢ Website ➢ Investigations Performance ➢ Quality Assurance – Investigations ➢ Key Documents ➢ UK GDPR Report ➢ Interventions Report ➢ Strategic Risk Register & Heat Maps
Additional Items ➢ Learning & Development Plan ➢ Performance & Development Framework ➢ Review of HR Strategy ➢ Community Empowerment (Scotland) Act 2015 (if required)	**Additional Items** ➢ Service Standards – Compliments/Complaints ➢
Quarter 3: January (to 31 December)	**Quarter 4: April (to 31 March)**
Standing Items ➢ Minutes, action points update and matters outstanding ➢ Finance Report ➢ Information Requests and Reviews ➢ Subject Access Requests ➢ Health & Safety ➢ Investigations Performance ➢ Quality Assurance – Investigations ➢ Operational Plan Monitoring Report ➢ UK GDPR Report ➢ Interventions Report ➢ Operational Risk Register ➢ Strategic Risk Register & Heat Maps	**Standing Items** ➢ Minutes, action points update and matters outstanding ➢ Finance Report ➢ Sickness Absence ➢ Statements of Expenditure – PSR(S)A ➢ Information Requests and Reviews, including Assurance Statement ➢ Subject Access Requests ➢ Enquiries Service ➢ Website ➢ Investigations Performance ➢ Quality Assurance – Investigations ➢ Key Documents ➢ UK GDPR Report ➢ Interventions Report ➢ Strategic Risk Register & Heat Maps
Additional Items ➢ Publication Scheme (SIC) Assurance Report ➢ Self-Assessment Tools ➢ Equalities Monitoring – Service Users ➢ Employment Policy Update ➢ Biodiversity report (every 3 years)	**Additional Items** ➢ Time taken to pay suppliers ➢ Workforce Trends ➢ Service Standards – Compliments/Complaints ➢ Quality Assurance – Enquiries ➢ Publication Schemes (PAs) ➢ Communication Strategy ➢ Risk Management Annual Assurance Report ➢ Prescribed Persons (Reports on Disclosure of Information) Regulations 2017 ➢ Information and Records Management ➢ Equalities Monitoring – Staff ➢ Sustainable Growth Statement (PSR) and Sustainable Development Carbon Footprint (CR) ➢ British Sign Language - Action Plan – report and review

Document control sheet

Document Information	
Full name of current version: Class, Title, Version No and Status.	C1 Governance Reporting Arrangements v04 CURRENT ISSUE
VC File Id	140283
Type	Procedure
Approver	SMT
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Corrections / Unplanned or Ad hoc reviews (see Summary of changes below for details)	
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Summary of changes to document

Date	Action by (initials)	Version updated (e.g. v01.25-36*)*	New version number (e.g. v01.27, or 02.03)	Brief description (e.g. updated paras 1-8, updated HOPI to HOCS, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)
21/10/20	BOW	04.00	04.01	New document created following approval of draft
21/10/20	BOW	04.01	04.02	DCS updated, published on website
03/12/20	LB	04.02	04.03	Checked out in error – no changes made
08/01/21	HGS	04.03	04.04	Checked out in error – no changes made
18/02/21	HGS	04.04	04.06	Ad hoc change to reporting period for BSL Action Plan
18/02/21	BOW	04.06	04.07	DCS updated, published on website
13/05/21	KB	04.07	04.08	Amended invoice payments to time taken to pay suppliers
27/05/21	HGS	04.08	04.09	Ad hoc minor updates to working of reporting requirements shown as track changes and DCS updated
27/05/21	HGS	04.09	04.10	Ad hoc minor amendments accepted and approved by HGS and DCS updated
28/05/21	LB	04.10	04.11	Checked out in error
28/05/21	BOW	04.11	04.12	DCS updated, published on website
16/06/21	HGS	04.12	04.13	Ad hoc minor amendments accepted and approved by HGS and DCS updated.
18/06/21	BOW	04.13	04.14	DCS updated, published on website
06/08/21	LB	04.15	04.16	Interventions & Quality Assurance – Investigations both set to Quarterly and QSMTM agendas updated– shown as track changes
06/08/21	HGS	04.16	04.17	Approved ad hoc changes agreed by SMT. And DCS updated.
03/09/21	BOW	04.17	04.18	DCS updated, published on website