

<b>Report to:</b>	WSMTM
<b>Report by:</b>	Helen Gardner-Swift
<b>Meeting Date:</b>	1 June 2017
<b>Subject/ Title:</b> (and VC no)	<b>Compliance with Governance Reporting Arrangements</b> <b>VC103084</b>
<b>Attached Papers</b> (title and VC no)	None

## Purpose of report

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1. To provide an assurance report to the SMT, as required by the Governance Reporting Arrangements (VC59705).

## Recommendation and actions

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2. I recommend
  - (i) this report is noted
  - (ii) this report is published in full.

## Executive summary

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3. The current Governance Reporting Arrangements (GRA) include a requirement to provide the SMT with assurance that the GRA are being complied with. The table set out in the Appendix provides a format against which compliance can be measured. The reporting arrangement concerning the publication of a Biodiversity Report has been included in the table.
4. The table shows that of the 37 reporting measures, 35 were achieved in full and two statutory reports are awaiting publication.
5. Subject to the remaining two statutory reports being published, I can provide assurance that the arrangements in the GRA are being complied with.
6. I am reviewing the GRA and will circulate my suggestions to the SMT for comment before seeking approval of the same.

## Risk impact

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9. This assurance report and the GRA contribute to the control measures aimed at reducing the likelihood and impact of Risk 7 (robust governance arrangements). The governance arrangements are working effectively and the current residual assessment (3) remains appropriate.

## Equalities impact

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11. No equalities impact arises directly from the provision of this assurance report.

## Resources impact

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12. The GRA are resource intensive and I will be considering whether there can be “smarter” reporting, using less resource when reviewing the GRA.

### **Operational/ strategic plan impact**

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13. None

### **Records management impact (including any key documents actions)**

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14. None

### **Consultation and Communication**

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15. QSMTM minute and internal blog

### **Publication**

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16. This committee report should be published in full.

**Appendix**

Ref	Report	Purpose	Designated Manager	Completed? (Y/N)	Comments
<b>Finance</b>					
1	<b>Financial</b>	Provide assurance that budget is managed effectively, including details of spend against budget with variances, and forecast 'committed spend'.	HOCS	Y	Regular financial reports to SMT
2	<b>Invoice Payments</b>	Provide assurance invoices are being paid promptly and KPIs achieved	HOCS	Y	QSMTM reports
<b>Governance</b>					
3	<b>Assurance for the Governance Statement</b>	Provide assurance to the SIC in his capacity as Accountable Officer that appropriate and robust systems to manage finances and related subjects such as procurement are in place and being implemented effectively.	HOCS	Y	Draft statement for 2017-18 prepared - to be included in the Annual Accounts
4	<b>Compliance with Governance Reporting Arrangements</b>	Provide assurance that the arrangements in this document are being complied with	HOCS	Y	This report
5	<b>Equalities Monitoring (Service Users)</b>	<p>Demonstrate that SIC meets the public sector equality duty in the Equality Act 2010 by gathering and analysing service user data and using the outcomes to refine policies and practice</p> <p>Provide assurance that all policies which impact the public have been equalities impact assessed (including a review of Equalities Impact Forms completed as part of the project management process)</p>	HOCS	Y	QSMTM reports (EIFs not reviewed)

Ref	Report	Purpose	Designated Manager	Completed? (Y/N)	Comments
6	<b>Communication Strategy</b>	Set forward strategy and provide annual summary and forward workplan 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	Y	Strategy approved by SMT
7	<b>Sickness Absence</b>	Provide data on the amount and nature of sickness absence to: <ul style="list-style-type: none"> <li>• support effective management of sickness absence</li> <li>• monitor organisational performance against the agreed benchmark</li> <li>• identify trends which may indicate the need for management action</li> </ul>	HOCS	Y	QSMTM reports
8	<b>Workforce Trends</b>	Provide 'Staff in Post' data to inform resource, operational and strategic planning	HOCS	Y	QSMTM reports
<b>Human Resources</b>					
9	<b>Employment Policy Update</b>	Keep the SMT informed of changes in employment law and provide assurance that SIC's employment policies are legally compliant	HOCS	Y	Also being taken account of in current full review of the Employment Policies and Employee Handbook which been carried forward into 2018-2019

Ref	Report	Purpose	Designated Manager	Completed? (Y/N)	Comments
10	<b>Equalities Monitoring (Staff)</b>	<p>Demonstrate that SIC 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</p> <p>Provide assurance that all policies which impact staff have been equalities impact assessed (including a review of Equalities Impact Forms completed as part of the project management process)</p>	HOCS	Y	<p>QSMTM report</p> <p>Age Awareness training</p> <p>(EIFs not reviewed)</p>
11	<b>Learning &amp; Development</b>	<p>Demonstrate that SIC's learning and development plan is aligned with its HR Strategy and supports effective delivery of its Operational Plan</p>	HOCS	Y	<p>L&amp;D activities were aligned with HR Strategy &amp; supported delivery of Op Plan</p> <p>L&amp;D Plan agreed by QSMTM in July 2017</p>
12	<b>Performance &amp; Development Framework</b>	<p>Provide assurance on the effectiveness of the Framework, including:</p> <ul style="list-style-type: none"> <li>• details of number of reviews completed, and timescales achieved</li> <li>• outcomes e.g. organisation or team level (i.e. not individual)</li> </ul>	HOCS	Y	<p>Report to QSMTM on 27 July covered 2015-16 and 2016-17</p> <p>Report to QSMTM in July 2018 will cover 2017-18</p>

Ref	Report	Purpose	Designated Manager	Completed? (Y/N)	Comments
13	<b>Review of HR Strategy</b>	Demonstrate that SIC has an effective HR Strategy in place which will enable it to deliver its strategic objectives.	HOCS	Y	QSMTM report
<b>Information &amp; Records Management</b>					
14	<b>Information and Records Management</b>	<p>Provide assurance that SIC's information and records are being managed in accordance with published policies and procedures, in particular that:</p> <ul style="list-style-type: none"> <li>• records are being destroyed at the appropriate time</li> <li>• records are held for the appropriate time</li> <li>• information is held securely</li> <li>• appropriate back-up arrangements are in place</li> <li>• personal data is being lawfully processed</li> <li>• key documents are being managed in line with the Handbook</li> </ul>	HOCS	Y	QSMTM report
15	<b>Key Documents</b>	<p>Inform operational and resource planning and prioritisation by providing a report on:</p> <ul style="list-style-type: none"> <li>• planned reviews falling due</li> <li>• details of planned reviews completed in the prior period</li> <li>• details of planned reviews not completed in the prior period</li> </ul>	HOCS	Y	SMT monthly review at extended monthly SMT meetings

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16	<b>Publication Scheme (SIC)</b>	Provide assurance that SIC is publishing and making accessible as much information as possible, in line with its own published good practice	HOCS	Y	QSMTM report
<b>Performance Management &amp; Monitoring</b>					
17	<b>Enquiries Service</b>	Provide information on key performance measures, volumes and subject matter of enquires to inform resource planning	HOCS	Y	QSMTM reports
18	<b>Feedback from Roadshows</b>	Provide assurance that feedback achieves key performance measure and to support continuous improvement	HOPI	Y	WSMTM reports
19	<b>Information Requests and Reviews</b>	Provide information on key performance measures, volumes and subject matter of requests and reviews to inform resource planning	HOCS	Y	QSMTM reports
20	<b>Investigations Performance</b>	Provide assurance that key performance measures are being achieved, including: <ul style="list-style-type: none"> <li>• Investigations Performance Report</li> <li>• Dashboards ('Numbers and KPIs)</li> <li>• Cases aged four months or over</li> </ul>	HOE	Y	IPM reports
21	<b>Operational Plan Monitoring</b>	Provide assurance that activities are progressing to plan, and to inform the prioritisation of projects and resources	HOCS	Y	QSMTM reports

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22	<b>Operational Plan Project Register</b>	Enable the Programme Board to oversee progress of the project programme defined in the Operational Plan, and to inform the prioritisation of projects and resources	HOCS	Y	SMT monthly review
23	<b>Publications Schemes (PAs)</b>	Provide assurance that adoptions are progressing in line with key performance indicators	HOPI	Y	QSMTM reports
24	<b>Quality Assurance – Investigations</b>	Provide assurance on the quality of investigations as defined by the agreed quality criteria	HOE	Y	QSMTM report
25	<b>Quality Assurance - Enquiries</b>	Provide assurance on the quality of responses to enquiries as defined by the agreed quality criteria	HOCS	Y	QSMTM reports
26	<b>Self-Assessment Tools</b>	Provide assurance on the utilisation and effectiveness of the self-assessment tools	HOPI	Y	QSMTM report
27	<b>Service Standards</b>	Provide assurance on the quality of service provision, including: <ul style="list-style-type: none"> <li>• analysis of user feedback (when undertaken)</li> <li>• number of compliments received</li> <li>• number of complaints received and their outcomes</li> </ul>	HOCS	Y	QSMTM reports
28	<b>Website</b>	Provide report on website usage and assurance that key performance measure is achieved	HOPI	Y	QSMTM reports
<b>Risk</b>					
29	<b>Health and Safety</b>	Provide assurance that SIC is meeting its statutory obligations in respect of employee health, safety and well-being, and is providing statutory training	HOCS	Y	QSMTM reports
30	<b>Risk Management</b>	Provide assurance that risk is being managed effectively, including a review of the Risk Management Policy	HOCS	Y	QSMTM report



Ref	Report	Purpose	Designated Manager	Completed? (Y/N)	Comments
31	Risk Registers	Provide assurance that risk is being managed effectively, in line with Risk Policy:	HOCS	Y	ORR reviewed monthly SRR reviewed quarterly Heat maps to QSMTM
		- Operational Risk Register & Heat Map			
		- Strategic Risk Register & Heat Map			
<b>Statutory</b>					
32	Annual Accounts (FOISA)	Provide an audited set of annual accounts in accordance with relevant accounting standards.	HOCS	Y	2016-17 Published
33	Annual Report (FOISA)	Performance Report - provide a summary and analysis of achievement and activity, and a look forward to the coming year.	HOPI	Y	2016-17 published
		Accountability Report	HOCS	Y	2016-17 published
34	Statements of Expenditure (PSR Act)	Publish statements of expenditure as required by section 31 of the PSR Act	HOCS	Y	Published quarterly
35	Statement on the 3Es and Sustainable Growth (PSR Act)	Publish statements as required by section 32 of the PSR Act	HOCS	Y	Published within Annual Report and Accounts 2016-17
36	The Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	The Commissioner is a "prescribed person" for the purpose of the Public Interest Disclosure Act 1998, which deals with whistleblowing and is required to publish an annual report on the number of disclosures made.	HOCS	Y (in draft)	Draft considered by QSMTM on 25 April 2018 – revised following meeting and due to be published May /June

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37	<b>Biodiversity Report</b>	<p>Biodiversity - the Wildlife and Natural Environment (Scotland) Act 2011 came into force on 1 January 2012 and introduced a requirement for all public bodies to report publicly on their compliance with the biodiversity duty. Biodiversity duty reports are required every three years.</p> <p>Our first report was due to be made by 2015 and the second report due to be made on 1 January 2018.</p> <p>Unfortunately, this reporting requirement overlooked and not included in the GRA.</p>	HOCS	Y (in draft)	Draft report circulated to the SMT for comment.