

KEY DOCUMENT REVIEWS OVERDUE/FORTHCOMING TO 31 DECEMBER 2018 (as at 25/10/18)

Sorted by 1. Responsible Manager; 2. Date next planned review (oldest first)

Class	Title As shown on cover, excluding type	VC FileID	Type	Approver	Resp Mgr	Review Frequency	Date next planned review	Retention Category A (permanent) Category B (Temporary)	Notes and Comments
C5	Staff Manual	81504	Handbook	HOCS	FAM	3 - Yearly	Nov-18	B	
C5	Business Continuity Plan	10241	Plan	SMT	HOCS	Annual	Sep-17	B	To align with Op Plan project - to also align with BCP Audit Plan -management actions - once these completed then revised buisness plan to be put place
C5	Environmental Policy	9706	Policy	SMT	HOCS	5 - Yearly	Feb-18	B	
C5	Publication Scheme Handbook	46413	Handbook	SMT	HOCS	3 - Yearly	Feb-18	B	
C6	Contracting with the Scottish Information Commissioner: Information for Contractors	26329	Briefing	SMT	HOCS	3 - Yearly	Feb-18	B	
C1	Charging for Information Policy	49012	Policy	SMT	HOCS	2 - Yearly	Mar-18	B	
C2	Procedures and Guidance on how to respond to Re-use requests and complaints	78673	Procedure	SMT	HOCS	Annual	Mar-18	B	
C2	Re-use statement and guidance on making Re-use requests and complaints	78674	Policy	SMT	HOCS	Annual	Mar-18	B	
C2	Re-use request form	78677	Form	SMT	HOCS	Annual	Mar-18	B	
C4	Finance Handbook	49280	Handbook	SMT	HOCS	3 - Yearly	Mar-18		
C5	Workpro User Manual	25577	Manual	HOCS	HOCS	5 - Yearly	Mar-18	B	Change frequency to 'As required', document updated as any changes made and following software upgrade
C5	Information and Records Management Policy	36244	Pol&Pro	SMT	HOCS	Annual	Mar-18	B	
C5	PRSA Records Management Plan	42970	Plan	SMT	HOCS	3 - Yearly	Mar-18	B	
C5	File Plan and Retention Schedule	72711	Procedure	SMT	HOCS	Annual	Mar-18	B	
C9	Open Data Publication Plan (Excel Master)	69773	Policy	SMT	HOCS	Annual	Mar-18	B	
C1	Governance Reporting Arrangements	59705	Procedure	SMT	HOCS	2 - Yearly	Apr-18	B	
C1	Statement on sustainable groth 2016-17	89455	Statement	SMT	HOCS	Annual	May-18	B	Replaced with new statement annually
C1	Internal Audit Policy	41427	Policy	SMT	HOCS	2 - Yearly	Jul-18	B	
C1	Internal Audit Plan 2017-18 to 2019-20	92649	Plan	SMT	HOCS	Annual	Jul-18		
C5	Human Resources Strategy	98820	Plan	SMT	HOCS	Annual	Jul-18	B	
C5	Health & Safety Policy and Handbook	98825	Pol&Pro	SMT	HOCS	Annual	Nov-18	B	
C5	Health & Safety Policy and Handbook (readacted version for publication)	98838	Pol&Pro	SMT	HOCS	Annual	Nov-18	B	
C5	Privacy Notice	102891	Policy	SMT	HOCS	Annual	Nov-18	A	

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C1	2010 04 PCSPS Participation MoU and cessation of delegation instrument	15101	Pol&Pro	SIC	HOCS	As required	Dec-18	B	Review on appointment of new SIC, and as required per the MOU. "Revised service levels may be agreed From time to time"
C1	Equality Policy	19231	Pol&Pro	SMT	HOCS	Annual	Dec-18	B	Review together with Anti Harassment etc Policy (VC 48666)
C1	Unacceptable Actions Policy	29132	Policy	SMT	HOCS	3 - Yearly	Dec-18	B	Review to align with Complaint Handling Procedures
C1	Register of interests policy and guidance	33475	Policy	SMT	HOCS	3 - Yearly	Dec-18	B	To be reviewed by HOCS (following consideration of latest guidance from Ethical Standards Commissioner) - report due to WSMTM by end of September 2017
C1	Anti-Fraud Policy	34084	Policy	SMT	HOCS	3 - Yearly	Dec-18	B	
C1	Ministry of Justice Payroll Services Agreement	35075	Other	SIC	HOCS	As required	Dec-18	B	
C1	Memorandum of Understanding between the Keeper of the Records of Scotland and SIC - in relation to transfer of records	37724	Pol&Pro	SMT	HOCS	As required	Dec-18	B	Review on appointment of new SIC, and as required
C1	Complaints Handling Procedures	55658	Procedure	SMT	HOCS	3 - Yearly	Dec-18	B	
C1	How to make a complaint	55673	Other	SMT	HOCS	3 - Yearly	Dec-18	B	
C5	Security Clearance - Vetting Record (access to records restricted to Management)	10756	Pol&Pro	SIC	HOCS	As required	Dec-18		Review to check for upcoming renewals Access restricted to Commissioner & HOCS
C5	Employee Handbook	17556	Handbook	SMT	HOCS	Annual	Dec-18	A	Revised Employee Handbook with Law at Work for legal review and consideration of a number of policies
C5	Data Protection Policy and Handbook	39909	Pol&Pro	SMT	HOCS	2 - Yearly	Dec-18	A	To be considered as part of GDPR preparations and also with Employee Handbook review
C5	Performance & Development Framework Handbook	45564	Handbook	SMT	HOCS	2 - Yearly	Dec-18	B	Initial review after 2 year; likely to drop to 3-yearly thereafter
C7	Quality Assurance Criteria and Procedures: Enquiries	98932	Procedure	SMT	HOCS	Annual	Dec-18	B	
C2	C2 Should I use FOISA or the EIRs?: A quick guide to help Scottish public authorities	4310	Briefing	SMT	HOE	3 - Yearly	Mar-18	A	Review work has started, but document not yet ready to be circulated for comment
C1	Memorandum of Understanding between the Scottish Information Commissioner, the Crown Office & Procurator Fiscal Service and the Chief Constable of the Police Service of Scotland (unsigned)	35562	Pol&Pro	SIC	HOE	As required	May-18	B	Meeting with COPFS and Police Scotland took place in October . SIC to suggest changes to MoU.
C2	C2 The Scottish Information Commissioner's investigations: a guide for Scottish public authorities	18529	Guidance	SMT	HOE	3 - Yearly	May-18	B	Revised draft circulated August 2018. Waiting on comments.
C2	Guidance on Information requests verbal, telephone and email	33452	Guidance	SMT	HOE	3 - Yearly	May-18	B	Approved.
C2	Guide for applicants: What Happens Next?	34584	Briefing	HOE	HOE	3 - Yearly	May-18	B	Approved, but further changes required to tie in with appeals portal.
C2	FOISA Guidance Section 33: Commercial interests and the economy	54301	Briefing	SMT	HOE	3 - Yearly	May-18	A	Approved
C2	FOISA Exemption Guidance Section 34: Investigations by Scottish Public Authorities	55356	Briefing	SMT	HOE	3 - Yearly	Jun-18	A	Approved
C2	FOISA Exemption Guidance Section 35: Law Enforcement	58331	Briefing	SMT	HOE	3 - Yearly	Aug-18	A	Approved
C2	FOISA Exemption Guidance Section 36: Confidentiality	58974	Briefing	SMT	HOE	3 - Yearly	Sep-18	A	Review work has started, but document not yet ready to be circulated for comment

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C2	FOISA Exemption Guidance Section 37: Court Records, etc	58979	Briefing	SMT	HOE	3 - Yearly	Sep-18	A	Review work has started, but document not yet ready to be circulated for comment
C2	FOISA Exemption Guidance Section 39: Health, safety and the environment	61103	Briefing	SMT	HOE	3 - Yearly	Oct-18	A	Work not yet started on review
C7	Quality Assurance Criteria and Procedures: Investigations	60483	Procedure	SMT	HOE	3 - Yearly	Oct-18	B	Review work has started, but document not yet ready to be circulated for comment
C2	Investigations Handbook	44845	Procedure	SMT	HOE	4 - Yearly	Nov-18	A	First meeting to consider changes to take place 22/11/18
C2	FOISA Exemption Guidance Section 40: Audit functions	61727	Briefing	SMT	HOE	3 - Yearly	Nov-18	A	Work not yet started on review
C2	FOISA Exemption Guidance Section 41: Communications with Her Majesty etc; and honours	62018	Briefing	SMT	HOE	3 - Yearly	Nov-18	A	Work not yet started on review
C5	Website Manual	25348	Manual	HOPI	HOPI	Annual	Sep-17	A	To be removed from register (as previously agreed - VC99833)
C5	Guidance for Internal Bulletin Online	85354	Procedure	HOPI	HOPI	3 - Yearly	Mar-18	A	To be removed from register (as previously agreed - VC99833)
C1	2014 05 26 Memorandum of Understanding with the Keeper of the Records of Scotland (regulatory function) - SIGNED	43175	Pol&Pro	SMT	HOPI	5 - Yearly	Apr-18	A	Awaiting meeting date with new Keeper of Records
C2	Setting up your FOI function: Guidance for Scottish public authorities new to FOI	68181	Tool	SMT	HOPI	Annual	Apr-18	B	Under review
C2	Setting up your FOI function: Checklist for Scottish public authorities new to FOI	68189	Tool	SMT	HOPI	Annual	Apr-18	B	Under review
C2	Who is covered by FOI legislation in Scotland?: Schedule 1 to the Freedom of Information (Scotland) Act 2002	86817	Briefing	SMT	HOPI	Annual	Apr-18	A	Non-substantive review with HOPI for approval.
C2	Model Publication Scheme: Guide for Scottish Public Authorities	91045	Briefing	SMT	HOPI	Annual	May-18	A	Non-substantive review completed - approved by SIC
C2	Model Publication Scheme	91047	Briefing	SMT	HOPI	Annual	May-18	A	Non-substantive review completed - approved by SIC
C1	External Blog: conventions and procedures	56288	Procedure	SMT	HOPI	3 - Yearly	Jun-18	B	Agreed at QSMTM 14/11/18 - document is to be destroyed.
C2	Communication Strategy 2015-20	60881	Policy	SMT	HOPI	2 - Yearly	Jul-18	B	Under review
C7	Performance and Quality Framework 2017-18	85969	Plan	SMT	SIC	Annual	Apr-18	B	Draft changes made - just requires final draft for completion and approval.
C5	Information Strategy	82649	Policy	SMT	SIC	Annual	May-18	B	Work not yet started on review