

Scottish Information Commissioner
Minutes of the Quarterly Senior Management Team Meeting
05 February 2019

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Present: Scottish Information Commissioner - Daren Fitzhenry (DF),
 Head of Enforcement - Margaret Keyse (MK),
 Head of Policy & Information - Sarah Hutchison (SH),
 Head of Corporate Services - Helen Gardner-Swift (HGS)
 Finance and Administration Manager - Liz Brown (LB) (Minutes)

Apologies:

| Details | Action By | Target Completion Date | Publish Yes / No | Comments |
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1. Minutes, action points update and matters outstanding

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| <p>1.1 Review of minutes – 12/12/18 & 19/12/18</p> <ul style="list-style-type: none"> Both sets of minutes have been approved and published. <p>1.2 Action points update</p> <ul style="list-style-type: none"> No action points outstanding. <p>1.3 Matters outstanding</p> <ul style="list-style-type: none"> Item 12 - British Sign Language Action Plan – report and review - deferred to April Quarterly Monthly Senior Management Team Meeting (QSMTM). Item 14 Equalities Monitoring / Service Users – deferred to March Monthly Senior Management Team Meeting (MSMTM). Item 15 Quality Assurance Investigations - deferred to April QSMTM. Item 16 Quality Assurance Enquiries - deferred to March MSMTM. Item 17 Learning & Development – deferred to | | | | |
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| <p>March MSMTM.</p> <ul style="list-style-type: none"> Item 18 Performance and Development Framework – deferred to March MSMTM. Item 19 – Review of HR Strategy – deferred to March MSMTM. Although not on this agenda it was agreed that Workforce Trends will be considered at the April QSMTM. | | | | |
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2. Finance Report: Report for the period ended 31 December 2018

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| <ul style="list-style-type: none"> The report to end of December was reviewed and discussed - <ul style="list-style-type: none"> Court of Session costs were noted – not included in budget forecast because of the nature of the costs, so will always show as unbudgeted. A draft report for end January was also reviewed and discussed - <ul style="list-style-type: none"> The current underspend has been due to issues outside the SICs control – there have been delays in the RSL implementation and some procurement. | | | Yes | <p>December finance report published in full – available here</p> <p>Committee report published in full</p> |
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3. Enquiries Service

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| <ul style="list-style-type: none"> The lower numbers of enquiries in Q2 & Q3 were noted. The review of the Investigations Handbook will look at re-introducing a procedure to prevent enquiries being passed on as applications. Training will also be provided on identifying applications. | | | Yes | Committee report published in full |
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4. Information Requests and Reviews

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| <ul style="list-style-type: none"> The target for responding to information requests within five days was missed – the lower than usual number of “information not held” requests has made this target difficult to achieve. However, all requests were responded to within 20 working days. All subject access requests were responded to within the statutory timescales. The rise in requests for reviews and subject access requests was also noted. It was agreed that this report should be produced | | | Yes | <p>Information request report published in full - available here (Class 7)</p> <p>Committee report published in full</p> |
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| <p>and considered by the SMT on a quarterly basis.</p> <ul style="list-style-type: none"> • MK will include an annual assurance statement in the Committee Report every April. • Governance reporting arrangements and Operational Plan Monitoring report will be updated to reflect the change in the frequency of the production of the report and the HOE's assurance statement. | LB | 07/02/19 | | |
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5. Health & Safety

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| <ul style="list-style-type: none"> • The report was noted. | | | No | Exemption s.39(1) |
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6. Investigations Performance

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| <p>The dashboard and committee report were noted with the following comment:</p> <ul style="list-style-type: none"> • MK to add 'YTD' to para 4. | MK | 08/02/19 | Yes | Dashboard published in full - available here Committee report published subject to redactions – exemption s.30(c) |
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7. Operational Plan Monitoring Report

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| <ul style="list-style-type: none"> • The report was reviewed. • Each member of the SMT will update the report before it is published. • The SMT will meet at the beginning of March to start discussing the 2019-20 Operational Plan. <ul style="list-style-type: none"> ○ 2019-20 Operational Plan & 2019-20 Operational Plan Monitoring Report to be created in VC. ○ Meeting to be set up for the beginning of March in Alexander. | LB | 08/02/19 | Yes | Report published in full – available here |
| | LB | 08/02/19 | | |

8. Strategic Risk Register & Heat Maps

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| <p>The register was discussed with the following changes were agreed:</p> <ul style="list-style-type: none"> • Amendments to be made to Residual (Current) Assessments relating to risk 1 & 2. • Action planned column to be updated for Risk 1, 5 & 6. • Controls in place column to be updated in Risk 1 • Heat map to be updated. • Comments to be added to heat map. | LB | 08/02/19 | No | Exemptions s.30(b)(ii) and s.30(c) |
| | LB | 08/02/19 | | |
| | LB | 08/02/19 | | |
| | LB | 08/02/19 | | |
| | DF | 28/02/19 | | |

9. Operational Risk Register & Heat Maps

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|---|----|----------|----|------------------------------------|
| The register was discussed and the following changes were agreed: | | | No | Exemptions s.30(b)(ii) and s.30(c) |
| • Amendments to be made to Residual (Current) Assessments relating to risk 5 & 6. | LB | 08/02/19 | | |
| • Action planned column to be updated in Risk 3 | LB | 08/02/19 | | |
| • Heat map to be updated. | LB | 08/02/19 | | |
| • Comments to be added to heat map | DF | 28/02/19 | | |

10. Publication Scheme (SIC) Assurance Report

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| • The report was noted | | | Yes | Committee report published in full |
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11. Self-Assessment Tools

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| • The report was noted | | | Yes | Committee report published in full |
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12. British Sign Language - Action Plan – report and review

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| • Deferred to QSMTM in April | | | | |
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13. Employment Policy Update

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| • The report was noted | | | Yes | Committee report published in full |
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14. Equalities Monitoring – Service Users

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| • Deferred to March MSMTM | | | | |
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15. Quality Assurance Investigations (HOE)

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| • Deferred to QSMTM in April | | | | |
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16. Quality Assurance Enquiries

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| • Deferred to March MSMTM | | | | |
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17. Learning and Development Plan

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| • Deferred to March MSMTM | | | | |
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18. Performance & Development Framework

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| • Deferred to March MSMTM | | | | |
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19. Review of HR strategy

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| • Deferred to March MSMTM | | | | |
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20. Consultation on Scottish Charity Law

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| <ul style="list-style-type: none"> It was agreed that a submission should be made to the consultation. The P&I team will draft a response which will be signed off by the SMT. | SH | 01/04/2019 | Yes | Link to consultation available in agenda |
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21. Recruitment

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| <ul style="list-style-type: none"> If the Section 5 Order is laid by the Scottish Ministers the proposals in section 2(ii) of the Committee Report are agreed. Recruitment paperwork and business cases relating to this section should be drawn up by the relevant Heads of Department and submitted to the SMT to consider at the next MSMTM in February when a formal decision will be taken on FOIO and DHOE recruitment. HGS will contact the SPCB for guidance on the recruitment of the DHOE. | SH/MK | 19/02/2019 | No | Exemption s.30(c) |
| | HGS | 19/02/2019 | | |

Signed off by:



Date: 13/02/2019