

Report to:	QSMTM
Report by:	Margaret Keyse
Meeting Date:	5 February 2019
Subject/ Title: (and VC no)	Investigations Performance (VC112543)
Attached Papers (title and VC no)	2018-19 Report on investigations performance KPIs as at 31 December 2018

Purpose of report

1. To report to QSMTM on the Enforcement Team's performance against agreed KPIs.

Recommendation and actions

2. It is recommended that:
 - (i) QSMTM note the contents of this report
 - (ii) this report and the attached paper are published in full, subject to redactions set out in paragraph 20.

Executive summary

3. The Performance and Equality Framework 2018-19 (VC111088) includes 13 KPIs regarding the time taken to close applications made to the Commissioner. As at the end of Q3, the Enforcement Team were meeting only nine of the 13 KPIs.
4. 12 of the KPIs (and performance in relation to those KPIs) are set out in the attached paper. As can be seen, the team is failing to meet the "earliest" of those KPIs in each case, although YTD performance against "later" KPIs remains on track.
5. In addition, the average case closure time is to be four months or less. As at the end of Q3, the average case closure time was 3.9 months. (The average age of open cases was 3.7 months.)

Overview

6. As at the end of Q3, we had received 381 cases and closed 388.
7. We remain on track to receive roughly the same number of applications which we received in 2017/18 (507). This is much higher than the 425 applications received in 2016/17.

Performance against KPIs

8. SMT are aware that a lack of validation resource at the start of 2018/19 led to delays in applications moving through the system. Since then, we have recruited an additional (full time, but temporary) member of staff. The validation team have worked hard over the year and, with some assistance from the investigators before Christmas, have dealt with the cases received in 2018 and are now working on cases received in 2019.
9. There is also a slow but sure improvement in the validation KPIs and, in particular, the KPI which aims to make a determination on validity in 80% of cases within one month. However,

delays in validating cases are having a knock-on effect with other KPIs, as cases are older when they are allocated for investigation.

10. This has been made more difficult by the relatively low number of invalid applications we have received this year, as more cases are going to investigation stage.
11. The team will continue to work towards the KPIs. However, given that we are so close to the end of the financial year, it is very unlikely that we will be able to meet all of the KPIs. I expect that matters will improve over the coming year, provided that we are given the funding which will allow us to retain the temporary member of staff.

Risk impact



Equalities impact

14. None. These are purely internal KPIs.

Privacy impact

15. None.

Resources impact

16. This report reflects a core part of the work of the office.

Operational/ strategic plan impact

17. The Operational Plan 2018/19 (VC103517) expects us to register, validate and decide applications in line with the KPIs.

Records management impact (including any key documents actions)

18. None

Consultation and Communication

19. Performance against KPIs has been shared amongst the team and discussed monthly with the Commissioner at Investigation Performance Management meetings.

Publication

20. I recommend that this committee report (and attached papers – see table at the start of this report) are published with paragraphs 12 and 13 redacted on the basis that disclosure would,

or would be likely to, prejudice substantially the effective conduct of public affairs in terms of section 30(c) of FOISA.