



Scottish Information  
Commissioner  
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# Operational Plan 2019-20 Monitoring Report

Scottish Information Commissioner

# Introduction

## Introduction

This document sets out the Scottish Information Commissioner's operational plan for the period from 1 April 2019 to 31 March 2020. The plan explains how we will realise the Commissioner's vision and strategic aims, and provides a tool for on-going monitoring of outcomes and management of resources, financial and human.

## Vision

**Freedom of Information will add demonstrable value to public services and contribute positively to the transparency and accountability of public functions in Scotland**

## Strategic aims

To realise this vision, the Commissioner's office will:

- (1) **Support** the on-going development of Scottish public sector culture and practice where the sharing and disclosing information is routine, and which actively serves openness, transparency and the public interest
- (2) **Help** people to be familiar with their rights to access information and exercise them knowledgeably and responsibly
- (3) **Enable and support** Scottish public authorities to develop and maintain high standards of FOI policy and practice. We will do this through a combination of regulation, advice and assistance, and appropriate collaboration. This includes promoting embedding FOI in good communication, excellent customer service, creation and management of records and in supporting efficient, equitable and accountable delivery of statutory functions
- (4) **Contribute positively** to Scotland being respected as a world-leader in openness, transparency, and access to information law, policy and practice. Including supporting the development of Scottish access to information law to ensure it remains fit for purpose
- (5) **Be recognised** as an organisation of accessible experts, that is run efficiently, governed effectively and leads by example in the delivery of its statutory functions. We will ensure that delivery of our functions meets and keeps pace with recognised standards and national public service improvements, and is delivered openly and transparently.

## Structure of the operational plan

This plan is laid out as a programme of actions listed under types of operational activity, with cross references to which strategic aim(s) it supports. The actions listed are business as usual (BAU) and one-off projects. This a working document which forms the basis of on-going monitoring and assessment and may be updated.

In general, BAU will be managed and monitored in line with set targets, performance indicators, established reporting structures and approved policy.

Projects will be managed according to project management principles and practice. Each project is approved by the Senior Management Team.

## Monitoring and reporting

Progress against the plan will be reviewed every two months by the Senior Management Team and an update of progress will be published following this review. Achievement and output against individual line items will be also assessed and reported in line with the organisational targets and indicators and measures set out in our Performance and Quality Framework.

## Resources

The Commissioner's budget for 2019-20 is £1,673,000:

- Total staff costs: £1,312,000
- Total revenue costs: £1,639,000
- Capital expenditure: £34,000

## KEY

**BAU:** Business as Usual

**DHOE:** Deputy Head of Enforcement

**HOCS:** Head of Corporate Services

**HOE:** Head of Enforcement

**HOPI:** Head of Policy and Information

**Priority:** Relative priority - Statutory, High, Medium, Low

**SIC:** Scottish Information Commissioner

**SMT:** Senior Management Team

## Human Resources Management

Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
					1	2	3	4	5							
1 Report to SMT on Performance & Development Framework	BAU	Annual	01/04/2019	31/07/2019					X	H	Comp	Comp	Comp		HOCS	
2 Learning & Development Plan 2019-20 (internal)	BAU	Annual	01/04/2019	30/11/2019 31/07/2019					X	H	OT	OT	Comp		HOCS	Revised completion date from 31/07/2019 to 30/11/19 - awaiting comments from SIC
3 Review HR Strategy	BAU	Annual	01/04/2019	31/07/2019					X	M	Comp	Comp	Comp		HOCS	
4 Apply & monitor Performance & Development Framework	BAU		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
5 Carers Accreditation – monitoring and application	BAU		31/09/2019	31/03/2020					X	M	NS	NS	NS		HOCS	Work to be undertaken in Q4
6 Security & Vetting scheme- monitoring and application	BAU		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
1 Employee Handbook	Project		01/04/2019	31/03/2020 31/08/2019					X	H	OT	OT	OT		HOCS	work to be undertaken in Q3 and Q4 - revised completion date
2 Procurement - Employment Advice Contract	Project		01/04/2019	31/03/2020 31/10/2019					X	H	OT	OT	OT		HOCS	contract to be procured in Q4 - revised completion date
3 Procurement – Health & Safety Advice Contract	Project		01/04/2019	31/03/2020 31/10/2019					X	H	OT	OT	OT		HOCS	contract to be procured in Q4 - revised completion date
4 Carer Positive Scheme - Accreditation	Project		01/04/2019	31/12/2019					X	H	NS	NS	NS		HOCS	work to be undertaken in Q4

## Improving Authority Practice

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Liaise with Holyrood Events about the annual Holyrood Conference	BAU	Annual	01/04/2019	31/12/2019	X		X		X	L	OT	OT	Comp		HOPI	Completed 26/11/19
2	Deliver a practitioners' conference for the Centre for FOI - May 2019	BAU	Annual	01/04/2019	31/05/2019	X		X		X	M	Comp	Comp	Comp		HOPI	
3	Prepare a practitioners' conference for the Centre for FOI - May 2020	BAU	Annual	01/10/2019	31/03/2020	X		X		X	M	OT	OT	OT		HOPI	Title, registration opening and publicity are being worked on together with programme development.
4	Publish Decisions Round up	BAU	Weekly	01/04/2019	31/03/2020	X		X		X	H	OT	OT	OT		HOE/HOPI	
5	Maintain and develop new content on Knowledge Hub group for public authorities	BAU		01/04/2019	31/03/2020	X				X	H	OT	OT	Disc		HOPI	DF - decision taken to close down once e-mail service up and running.
6	Collect, collate and publish FOI/EIRs statistics portal data from public authorities	BAU	Quarterly	01/04/2019	31/03/2020	X		X			S/H	OT	OT	OT		HOPI	
7	Provide <b>quarterly</b> intelligence reports to <b>Quarterly Interventions Meeting</b> to inform decisions about interventions	BAU	Quarterly	01/04/2019	31/03/2020	X		X		X	H	OT	OT	OT		HOPI	
8	Provide bespoke intervention reports to IPM	BAU	<b>Quarterly</b>	01/04/2019	31/03/2020	X		X			S/H	OT	OT	OT		HOPI	<b>Updated in red ink to reflect revised intervention meetings. Now bespoke meeting.</b>
9	Intervention Procedures: ensure non-compliance is recorded and take action in line with procedures and as resources permit	BAU		01/04/2019	31/03/2020	X		X		X	S/H	OT	OT	OT		HOE	
10	Provide support to new public authorities to prepare for FOI duties	BAU		01/04/2019	31/03/2020	X		X		X	H	OT	OT	OT		HOPI	RSL work ongoing, after 11/11/19, and work with Scottish Commission for Social Security
11	Provide new advice and guidance (as required)	BAU		01/04/2019	31/03/2020	X		X		X	H	OT	OT	OT		HOE	
12	Provide support to existing public sector FOI practitioner groups, encourage emergency services providers and colleges to develop groups	BAU		01/04/2019	31/03/2020	X		X		X	M	OT	OT	OT		HOPI	NHS, Scot Gov and Local Govt groups scheduled for Feb/Mar 20.
1	Publish a self assessment toolkit for public authorities on monitoring and managing FOI performance	Project		01/04/2019	31/03/2020	X		X	X		H	NS	OT	OT		HOPI	Underway - review module published. Twitter campaign underway. Monitoring module for final internal comment before SMT consideration
2	Preparation of Registered Social Landlords and subsidiaries to meet their new FOI duties	Project		01/04/2019	31/12/2019	X		X	X		S	OT	OT	OT		HOPI	Range of successful training events held. High rate of returns for notification forms. Small number of bodies to clarify status.
3	Complete evaluation and review of Decisions Round Up –	Project		01/01/2019	28/02/2020	X	X	X	X	X	M	NS	NS	NS		HOPI	Dependant on procurement of survey software and email service
4	Support Registered Social Landlords and subsidiaries to develop template Guides to Information	Project		01/04/2019	30/09/2019	X		X	X		S/H	OT	Comp	Comp		HOPI	SFHA template launched
5	Report progress of Scottish Government intervention to Parliament (June)	Project		01/05/2019	30/06/2019	X		X	X		H	OT	Comp	Comp		HOPI	Report published 29 July 2019.
6	Review of sharing good practice cross-sector and role of Advisory Group	Project		01/04/2019	31/03/2020	X		X		X	M	NS	NS	OT		HOPI	AG meeting being arranged for Q4. HOPI to consider agenda items and AG remit.

## Information Management

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Coordinate on-going IRM controls and procedures and ensure they are applied	BAU		01/04/2019	31/03/2020	X	X			X	S/H	OT	OT	OT		HOCS	
2	IRM Assurance report to SMT	BAU	Annual	01/04/2019	31/07/2019	X	X			X	S/H	Comp	Comp	Comp		HOCS	
3	Maintenance of secure and reliable IT network	BAU		01/04/2019	31/03/2020					X	S/H	OT	OT	OT		HOCS	
4	Review Programme for Key Documents	BAU	Annual	01/05/2019	31/07/2019	X	X	X	X	X	H	Comp	Comp	Comp		HOCS	
5	Manage Key Documents as per the Review Programme	BAU		01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOCS	
6	Monitor compliance with data protection legislation and the General Data Protection Regulation	BAU		01/04/2019	31/03/2020	X				X	S	OT	OT	OT		HOCS	
7	Maintain a compliant publication scheme and guide to information	BAU		01/04/2019	31/03/2020	X	X		X	X	H	OT	OT	OT		HOCS	
8	SIC Publication Scheme Assurance report to SMT	BAU		01/01/2020	30/04/2020					X	S	OT	OT	OT		HOCS	
9	Monitor SIC compliance in responding to RFIs and reviews – compliance with statutory timescales, policy and procedures and quality assurance (quality assurance report to be provided by HOE to HOCS)	BAU		01/04/2019	31/03/2020			X		X	S	Comp	Comp	OT		HOCS	
10	Cyber Resilience Action Plan – implement and monitor	BAU		01/09/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
1	Deliver GDPR implementation plan 2019 – 2020 to ensure SIC is GDPR compliant	Project		01/04/2019	31/03/2020	X		X	X	X	S/H	OT	OT	OT		HOCS	
2	IT and Digital Strategy	Project		01/04/2019	31/01/2020 31/08/2019					X	S/H	OT	Slip	Slip		SIC / HOCS	work to be undertaken in Q3/4 - revised completion date
3	Cyber Resilience Action Plan 2019-2020	Project		01/04/2019	31/01/2020 31/08/2019					X	H	OT	Slip	Slip		HOCS	awaiting further framework and guidance - work to be undertaken in
4	Cyber Essentials Plus Accreditation	Project		31/07/2019	31/03/2020 31/10/2019					X	H	NS	OT	OT		HOCS	Revised completion date - accreditation due to take place in
5	IRM – consider and recommend way forward as regards review, retention and assurance	Project		01/04/2019	31/03/2020	X	X			X	H	OT	OT	OT		HOCS	

## Planning & Reporting

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Annual Report(AR) 2018-19 – statutory reporting and 3Es	BAU	Annual	01/04/2019	01/09/2019					X	S	OT	Comp	Comp		HOCS	
2	AR 2018-19 : Accountability Report and Financial Statements - ensure compliance with FReM, SPFM, prepare and obtain approval	BAU	Annual	01/04/2019	31/10/2019					X	S	OT	Comp	Comp		HOCS	
3	Annual Report & Accounts: Performance Report – ensure compliance with FReM, SPFM prepare and obtain approval	BAU	Annual	01/04/2019	31/10/2019					X	S	OT	Comp	Comp		HOPI / HOCS	
4	AR 2018-19 - Annual Statement of Assurance to SIC	BAU	Annual	01/04/2019	30/09/2019	X	X	X	X	X	H	OT	Comp	Comp		HOCS	
5	AR 2018-19 – Auditor’s Report – liaise with Auditor and Advisory Audit Board (AAB)	BAU	Annual	01/07/2019	31/10/2019					X	H	OT	Comp	Comp		HOCS	
6	AR 2018-19 - AAB meeting 2019	BAU	Annual									OT	Comp	Comp			
7	Audit Planning Report – AR 2019- 2020 - liaise with auditor and AAB	BAU	Annual	01/10/2019	31/03/2020 01/02/2020					X	H	NS	NS	OT		HOCS	AAB - Audit Planning Meeting due to take place on 13/2/20 - revised completion date
8	Performance and statistical reporting	BAU	As set out in the GRA	01/04/2019	31/03/2020	X	X	X	X	X	S	Comp	Comp	Comp		HOCS	
9	Manage and report on Enquiries Service	BAU	Six monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	OT	OT		HOCS	
10	Public Service Reform (Scotland) Act 2010 – annual expenditure reporting	BAU	Quarterly	01/04/2019	31/03/2020					X	S	OT	OT	OT		HOCS	
11	Operational Plan 2019-20 – monitor and report progress	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	Comp	OT		SMT	
12	Operational Plan 2019-20 Projects – monitor and review progress	BAU	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		SMT	
13	Key Documents – reviews due and overdue reviews - monitor	BAU	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		SMT	
14	Operational Plan 2020-21 - coordinate and prepare	BAU	Annual	01/01/2019	31/03/2020	X	X	X	X	X	H	NS	NS	NS		HOCS	Work will be undertaken in Q4
15	Governance Reporting Arrangements – reporting against cycle	BAU		01/04/2019	31/03/2020	X	X	X	X	X	H	OT	Comp	OT		HOCS/HOPI/ HOE	
16	Governance Reporting Arrangements- compliance report to SMT	BAU	Annual	01/04/2019	31/07/2019	X	X	X	X	X	H	Comp	Comp	Comp		HOCS	
17	Case Management System – reporting (manual and automatic)	BAU		01/04/2019	31/03/2020					X	M	OT	OT	OT		HOCS	
18	Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	BAU	Annual	01/04/2019	31/07/2019					X	S	Comp	Comp	Comp		HOCS	
19	Report on biodiversity (as required by the Nature Conservation (Scotland) Act 2004)	BAU	As required	01/04/2019	31/03/2020					X	S	NS	NS	NS		HOCS	Any required work to be undertaken in Q4
20	Sustainable Development - monitor and report on carbon footprint	BAU	Annual	01/04/2019	31/03/2020					X	S	OT	OT	OT		HOCS	
1	Case Management System – implementation of recommendations following internal audit of performance reporting	Project		01/04/2019	31/08/2019	X	X	X	X	X	H	OT	Comp	Comp		HOCS	
2	Case Management System – development of additional reporting	Project		01/04/2019	31/03/2020					X	M	OT	OT	OT		HOCS	
3	Case Management System – publication scheme reporting	Project		01/04/2019	30/09/2019					X	H	OT	Comp	Comp		HOCS	
4	Enquiries Service – review assurance arrangements	Project		01/04/2018	31/03/2020 30/09/2019	X	X	X	X	X	H	OT	Slip	OT		HOCS	work will be undertaken in Q3/Q4 - revised completion date
5	Strategic Plan – revision	Project		01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		SIC	Draft submitted to SPCB, AAB, Keeper - to be laid in Scottish Parliament by 01/04/20

## Promotion and Communications

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ update
						1	2	3	4	5							
1	Communication Strategy Report	BAU	Annual	01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOPI	Complete at year end
2	Manage and maintain press and media enquiry service	BAU		01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOPI	
3	Deliver training and briefing events to promote effective use of FOI rights to civil society and media organisations	BAU		01/04/2019	31/03/2020		X		X	X	S	OT	OT	OT		HOPI	In contact with libraries, poster for requesters to be designed, YRTK to be distributed. Inverclyde and Napier events supported.
4	Research public awareness of FOI rights through omnibus poll	BAU	Annual	01/04/2019	31/03/2020		X				H	Comp	Comp	Comp		HOPI	
5	Promote website and social media content to increase audience participation to achieve performance targets	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X		X	H	OT	OT	OT		HOPI	
6	Maintain website content, ensuring it is up to date and relevant and reporting progress	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X		X	H	OT	OT	OT		HOPI	27 Sep - reallocation of sections around HOPI team.
7	Implementation of British Sign Language Action Plan 2019-2023	BAU		01/04/2019	31/03/2020		X		X		S/H	NS	NS	OT		SMT	YRTK BSL translation complete - to be published and promoted.
1	Produce and publish three FOI stories (video case studies), including one co-produced with young people	Project		01/04/2019	31/03/2020		X		X		S/H	Slip	Slip	Slip		HOPI	DP impact assessment work - ongoing.
2	Commission an accessibility audit of SIC website, with recommendations to achieve WCAG 2.1 to achieve compliance with European accessibility standard EN 301 549 by 23/09/2020	Project		01/04/2019	31/10/2019	X	X			X	S/H	OT	OT	OT		HOPI	Work ongoing - 20 applications - 4 suppliers to be shortlisted.
3	Produce, publish and promote FOI tips for political researchers	Project		01/10/2019	28/02/2020		X		X		H	OT	OT	Comp		HOPI	web page live - Spice blog live
4	Develop subscription and email service to increase take-up of electronic mailings by stakeholders	Project		01/04/2019	30/06/2019	X	X		X	X	H	OT	OT	Slip		HOPI	Underway - see ResMgt 13
5	Active membership of International Conference of Information Commissioners' Executive Committee	Project		01/04/2019	01/04/2020				X	X	H	OT	OT	OT		SIC	Chairing Strategic Plan WG - ongoing.
6	Contribute national content to International Conference of Information Commissioners' website	Project		01/04/2019	01/04/2020				X	X	H	NS	NS	Slip		HOPI	As required now membership confirmed - some provided on committee
7	Participate in delivering Scottish Open Government Partnership commitments	Project		01/04/2019	01/04/2020	X	X		X	X	H	OT	OT	OT		SIC	Ongoing participation at commitment 4 and Steering Group. Delay to stakeholder workshops.
8	Contribute to rating of Scottish FOI regime against the Right to Information index by international experts	Project		01/04/2019	01/04/2020				X		H	NS	NS	NS		HOPI	Initial contact established - matter to be put on hold until DF's return

## Quality Assurance

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ update
						1	2	3	4	5							
1	Compliments and complaints – record, analyse and report	BAU	Six monthly	01/04/2019	31/03/2020					X	S	OT	Comp	OT		HOCS	
2	Information Requests to SIC: (a) record, analyse and monitor performance in accordance with the Section 60 Code of Practice (b) upload details to the FOI/EIRs statistics portal	BAU	Quarterly	01/04/2019	31/03/2020	X		X	X	X	S	Comp	Comp	OT		HOCS	
3	Information Requests to SIC – provide assurance to HOCS that responses to information requests comply with relevant legislation and related guidance	BAU	Annual	01/04/2019	31/03/2020	X		X	X	X	S	OT	OT	OT		HOE	
4	Equalities Statistics – Service Users – recording, analysis and reporting	BAU	Annual	01/04/2019	31/03/2020			X		X	H	OT	OT	OT		HOCS	
5	Investigation targets and Key Performance Indicators - monitor and review to ensure appropriate and fit for purpose	BAU		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOE	
6	Performance and Quality Framework – managers to report on performance for their areas of responsibility (including carrying out appropriate quality assurance reviews) and to review Key Performance Indicators and other targets and standards annually	BAU		01/04/2019	31/03/2020	X	X	X	X	X	S/H	NS	OT	OT		SMT	QA on Investigations Handbook to be introduced Q3 to allow QA work to focus on amended procedures introduced Q2.
1	Commission a new feedback survey for appeal portal users	Project		01/10/2019	31/03/2020	X		X	X		M	OT	OT	OT		HOPI	Dependant on procurement of survey software (underway)



## Regulation & Enforcement

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Enforce FOI in line with Enforcement Policy	BAU		01/04/2019	31/03/2020	X		X	X	X	S	OT	OT	OT		HOE	
2	Register, validate, investigate and decide applications in line with approved procedures	BAU	Monthly	01/04/2019	31/03/2020	X		X	X	X	S	OT	OT	OT		HOE	
3	Monitor investigation and enforcement performance	BAU	Monthly	01/04/2019	31/03/2020	X				X	S/H	OT	OT	OT		HOE	
4	Report on investigation and enforcement performance	BAU	Quarterly	01/04/2019	31/03/2020	X				X	S/H	OT	OT	OT		HOE	
5	Provide legal advice to, or procure legal advice for, the SIC on matters including litigation, FOI law (including how this affects or is effected by other areas of law) or other corporate responsibilities and duties and ensure that the legal advice is recorded and the record kept up to date	BAU		01/04/2019	31/03/2020	X				X	H	OT	OT	OT		HOE	
6	Maintain a rolling programme to ensure standard/template letters on the case management system are reviewed and regularly updated, as required.	BAU		01/04/2019	31/03/2020	X				X	S	OT	OT	OT		DHOE	
7	Maintain a list of bodies suitable for consideration for designation under Section 4 and Section 5 and report on proposed list to be submitted to the Scottish Ministers	BAU	Annual	01/04/2019	31/03/2020	X			X	X	S	OT	OT	OT		HOPI	Added to monthly team meeting agenda. List was added to consultation submission.
8	Review the Model Publication Scheme, SIC guidance and support materials (including presentation of materials), publish updates and communicate updates to all public authorities	BAU	Annual	01/11/2019	30/05/2020	X		X	X	X	S	NS	NS	Disc		HOPI	Possibly carry forward to 2020/21
9	Manage and monitor notifications from new authorities re: compliance with publication scheme duty	BAU		01/04/2019	31/03/2020	X		X	X	X	S	OT	OT	OT		HOPI	Monitoring new bodies, including ongoing legislation - RSLs going well.
1	Manage and monitor notifications by Registered Social Landlords and subsidiaries re compliance with publication scheme duty	Project		01/04/2018	31/03/2020	X		X		X	S/H	OT	OT	OT		HOPI / HOE	
2	Contribute to post-legislative scrutiny of the FOISA	Project										OT	OT	OT		SIC	Majority completed. Stand by for further input if required.
3	Investigations Handbook: complete review and train team on revised procedures	Project		01/04/2019	31/12/2019						S/H	Slip	Comp	Comp		HOE	
4	Contribute to consultation on contracted out services	Project		01/01/2019	31/03/2019	X	X	X	X	X	S	NS	OT	Comp		SIC/H OPI	Consultation submitted.

## Resource Management

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
1	Set and profile budget for 2020/2021	BAU	Annual	01/06/2019	31/10/2019	X	X	X	X	X	H	OT	Comp	Comp		HOCS	
2	Budget monitoring and control – 2019-20	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	Comp	Comp		HOCS	
3	Monitor and report on payment of invoices	BAU	Annual	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
4	Workforce monitoring and planning	BAU	Annual	01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOCS	
5	Maintenance of premises	BAU		01/04/2019	31/03/2020					X	H	Comp	Comp	Comp		HOCS	
6	Contracts (all in VC 116608 except as noted below in (8) - (18))– procurement and management	BAU	As agreed in relevant contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
7	Case management system – review reporting requirements and requisition new reports (as required)	BAU		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
8	External provision of legal services: contract management	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOE	
9	Contract management: website supported hosting and maintenance	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	Ongoing - quarterly meetings being held with C2's account manager
10	Contract management: design and printing of AR	BAU	As agreed in contract	01/04/2019	31/10/2019					X	H	OT	OT	OT		HOPI	Authorised non-competative procurement
11	Contract management: annual report photography	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	Disc		HOPI	No photography for latest AR.
12	Contract management: press cutting service	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	
13	Contract management: electronic mailing service	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	
14	Contract management: survey service	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	Slip	Slip	OT		HOPI	
15	Contract management: electronic voting equipment service contract	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	
16	Contract management: stock photography	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	
17	Contract management: support service Internal Bulletin	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	DPIA ongoing
18	Contract management: animation software service	BAU	As agreed in contract	01/04/2019	31/03/2020					X	H	OT	OT	OT		HOPI	
1	Case management system – upgrade	Project		01/04/2019	31/03/2020 31/01/2020					X	H	OT	OT	OT		HOCS	Work to be undertaken Q3/Q4 and revised completion date
2	IT Support and Maintenance Contract – review arrangements (dependent on Digital and IT Strategy being put in place)	Project		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
3	IT - operating system project	Project		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
4	IT – hardware project	Project		01/04/2019	31/03/2020					X	H	OT	OT	OT		HOCS	
5	Office premises – Kinburn Castle – external painting	Project		01/04/2019	31/03/2020 31/10/2019					X	M	OT	Slip	OT		HOCS	Work to be undertaken in Q4 - revised completion date
6	Office premises - Kinburn Castle - lease renewal	Project		01/04/2019	31/03/2020					X	M	OT	OT	OT		SIC / HOCS	Ongoing - with lawyers - authority to conclude and sign.

## Resource Management

	Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update
						1	2	3	4	5							
7	Procurement of legal services contract	Project		01/04/2019	31/03/2020					X	H	Slip	OT	Slip		HOE	Timetable to be reviewed in light of SIC absence
8	Procurement of website supported hosting and maintenance services	Project		01/05/2019	31/03/2020					X	H	OT	OT	OT		HOPI / HOCS	
9	Recruitment and induction of additional staff for extension of FOISA to RSLs and subsidiaries	Project		01/04/2019	31/07/2019					X	H	OT	Comp	Comp		HOPI / HOE /	
10	Procurement of design and printing of Annual Report and Accounts	Project		01/11/2019	28/02/2020					X	S/H	NS	NS	OT		HOPI	Authorised non-competative procurement
11	Procurement of press cutting service	Project		01/01/2020	31/03/2020					X	H	NS	NS	NS		HOPI	SPCB framework may be available - investigating options
12	Procurement of electronic mailing service	Project		01/04/2019	31/05/2020					X	H	OT	OT	OT		HOPI	Waiting on pre-contract questionnaire
13	Procurement of survey service	Project		01/04/2019	31/05/2020					X	H	OT	OT	Comp		HOPI	
14	Procurement of electronic voting equipment service contract	Project		01/04/2019	31/05/2020					X	H	NS	NS	NS		HOPI	

## Risk Management

Activity	Type	Frequency	Start Date	End Date	Strategic Aim					Priority	Q1	Q2	Q3	Q4	Lead Mgr	Comment/ Update	
					1	2	3	4	5								
1	Review of operational risk	BAU	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	Comp	OT		SMT	
2	Review of strategic risk	BAU	Quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	Comp	OT		SMT	
3	Updating risk registers	BAU	Monthly / quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	Comp	OT		HOCS	
4	Annual assessment and review of risk and report to SMT	BAU	Annual	01/04/2019	31/07/2019	X	X	X	X	X	H	Comp	Comp	OT		HOCS	
5	Internal Audit Plan 2018-19 to 2020-21 – implementation and reports	BAU	Annual	01/09/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOCS	
6	Business Continuity Plan – maintenance of plan and testing (as required)	BAU		01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOCS	
7	Health and Safety – reporting	BAU	Six monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	Comp	Comp	OT		HOCS	
8	Health and Safety – monitoring	BAU	Six monthly	01/04/2018	31/03/2019	X	X	X	X	X	H	Comp	Comp	Comp		SMT	
9	AAB – reports on audits and review of strategic risk	BAU	Annual	01/04/2019	31/09/2019	X	X	X	X	X	H	OT	Comp	Comp		HOCS	
1	Internal Audit – procurement of contract for internal audit services	Project		01/04/2019	28/02/2020 30/09/2019	X	X	X	X	X	H	OT	Slip	OT		HOCS	Work to be undertaken in Q3/Q4 - revised completion date
2	Internal audit – GDPR compliance – external audit to assess implementation process and compliance	Project		01/11/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOCS	
3	Internal audit – planning & resources – in house audit to assess whether level of resources adequate to enable SIC to carry out functions.	Project		01/10/2019	31/03/2020	X	X	X	X	X	H	OT	Disc	Disc		HOCS	
4	Risk management – in-house audit using Audit Scotland toolkit - assessment of compliance with legislation, best practice and effectiveness of policy and procedures.	Project		01/04/2019	31/07/2019	X	X	X	X	X	M	OT	Disc	Disc		HOCS	
5	Internal Audit – review/audit of website discovery findings	Project		01/04/2019	31/03/2020	X	X	X	X	X	H	OT	OT	OT		HOPI	