

Performance and Quality Framework

Scottish Information Commissioner



Scottish Information
Commissioner

Contents

Introduction	1
Quality aims	1
SIC performance and quality framework	1
Appendix 1: Targets, KPIs, indicators and measures	3
Document control sheet.....	9

Performance and Quality Framework

Introduction

1. To the Scottish Information Commissioner, good performance and quality relate to the delivery of statutory duties and responsibilities. This delivery must be to a defined standard which meets the needs and, where practicable, the expectations of people in Scotland seeking information.
2. Quality assurance is the system by which we measure, report on, and achieve continuous improvement in the quality of our work. Performance management is the system by which we monitor and report on organisational outcomes. This framework is the mechanism by which we report publically. It is supported by internal systems which ensure that we can identify and monitor how individual performance contributes to organisational outputs.
3. In developing and defining our quality measures and the performance framework, the Scottish Information Commissioner recognises that a holistic approach is needed. To achieve our ultimate aims for the delivery of a quality service, the organisation will need to take into account the inter-dependencies of a range of stakeholders, not only those seeking information, and a range of activity.

Quality aims

4. Good quality for the SIC is:
 - (i) Professional, courteous, communication that imparts accurate and helpful advice and information to a range of stakeholders. Providing information about the SIC, access to information legislation and practice and signposting to other relevant organisations. Demonstrating that we are actively informing and pursuing activity that contributes to openness and the proactive dissemination of information in Scotland.
 - (ii) Robust decisions on applications that are the result of fair and proportionate investigations. Decisions must be delivered in good time, accessible to the requester and authority, and contribute to the positive development of good FOI practice in Scotland.
 - (iii) Demonstrating that our monitoring, promotion and assessment of practice is improving the FOI experience for requesters and authorities.
 - (iv) Operating as efficiently as we can, ensuring we are accountable for how we both plan and manage resources.

SIC performance and quality framework

5. The framework is summarised on the following page. Appendix 1 contains a detailed list of targets and KPIs, the frequency with which they will be reported upon, and where to find the relevant information on our website. Our Annual Report will also provide commentary on our performance against the targets and KPIs.

Communication, proactive dissemination and openness

- Quarterly, report against KPIs for time taken to respond to enquiries
- Quarterly, report statistics for compliance with FOISA/EI(S)R response timescales
- Publish information under PSR(S) Act by mid September following end of reporting year
- Annually, report against KPIs and targets for complaints/ feedback about our service and changes made in response
- Report at least 2-yearly on people's awareness of their FOI rights, aiming for least 75% awareness
- Publication of thematic papers, surveys and reports on access to information
- Quarterly, report on website usage and performance against targets
- Annually, report progress against a range of indicators for success set in our Communication Strategy

Deciding applications

- Quarterly, publish dashboard of statistics and performance against a range of KPIs
- Report annually against KPIs for appeals and judicial reviews challenging SIC decisions
- Ensure the organisation has robust, current and proportionate investigation procedures
- Publish and maintain a clear Enforcement Policy

Monitoring, promoting, assessing FOI performance

- Weekly, capture examples of good and poor practice from decisions and publish in the Decisions Round-up
- Quarterly, collect, collate and publish National FOI statistics, reporting as appropriate
- Twice-yearly, report against KPI for take-up of model publication scheme
- Feedback on effectiveness of delivery of outreach events and activity
- Quarterly, report against target for proportion of valid applications relating to public authority non-compliance with timescales
- Quarterly, report against target for proportion of invalid applications to SIC
- Publish and maintain regularly guidance and good practice advice
- Publish, maintain and report on use of self-assessment tools for authorities

Operational efficiency

- Lay Annual Report and Accounts by 31st October following end of reporting year, aiming for annual variance of spend against budget of no more than 5%
- Maintain a compliant publication scheme and guide to information
- Publish an annual operational plan by 30 April followed by quarterly updates
- Ensure the SIC has an up-to-date governance framework that ensures compliance and accountability across a range of functions
- Quarterly, report against KPI for payment of supplier invoices

Appendix 1: Targets, KPIs, indicators and measures

Communication, proactive dissemination and openness		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Time taken to respond to enquiries	Quarterly	<i>Respond to enquiries</i> 90% in 5 days 100% in 20 days	P&C 7	Managing the organisation – SMT minutes
Compliance with FOISA/ EI(S)R statutory timescales	Quarterly	<ul style="list-style-type: none"> 60% of request responses in 5 days 100% of request responses in 20 days 100% of review responses in 20 days 	IM 10	Managing the organisation – SMT minutes
Public Services Reform (Scotland) Act 2010 reporting requirements	Quarterly	Report published on website	P&R 3	Statutory Reporting
Feedback on our service	Six-monthly	<ul style="list-style-type: none"> 75% of feedback forms express more satisfaction than dissatisfaction Frontline resolution of complaints 95% in 5 days 100% in 10 days Investigation of complaints 95% within 20 days 100% within 40 days Fewer than 20% of complaints upheld in part or full 	QA 1 QA 2	Managing the organisation – SMT minutes Managing the organisation – SMT minutes
	Annual	<ul style="list-style-type: none"> Report on performance included in Annual Report and Accounts 	QA 2 N/A	Managing the organisation – SMT minutes
People's awareness of their rights to information	At least 2-yearly	75% of the public definitely or think they have heard of FOISA (through survey)	P&C 4	
Thematic papers, surveys and reports	Ad hoc	As set out in the operational plan	As set out in the operational plan	Published as appropriate

Communication, proactive dissemination and openness (day = working day) (week = calendar week) (month = calendar month)			Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Report on website usage and performance against targets	Quarterly	14,150 absolute unique visits (i.e. individual visitors) to the SIC website per quarter	P&C 8	Managing the organisation – SMT minutes
Communication Strategy – report on progress against indicators of success	Annually	By 31 March 2020, to achieve and maintain: <ul style="list-style-type: none"> • A minimum of 40% of all applications received annually to be made via the online application portal. • Continued reduction in failures to respond to 15% of valid applications. • 20% increase in the number of absolute unique website visits annually (from 54,000 to 64,800) • 20% increase in the total number of subscribers to content via our website (from 1017 to 1220) • Increase in read receipts for Commissioner emails to public authorities (benchmark to be confirmed). 	P&C 1	Managing the organisation – SMT minutes

Deciding applications		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Dashboard: statistics and KPIs	Quarterly	<i>Overall case closure times</i> 75% in 4 months or fewer 85% in 6 months or fewer 97% in 12 months or fewer Average closure time 4 months (17.8 weeks) or fewer	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Validation of applications</i> 80% in 1 month or fewer 90% in 2 months or fewer 97% in 3 months or fewer	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>‘Failure to respond’ applications</i> 65% in 1.5 months or fewer 100% in 4 months or fewer	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Valid (substantive) applications</i> 50% in 4 months or fewer 75% in 6 months or fewer 95% in 12 months or fewer	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Applications received</i> Table in dashboard Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Cases under investigation</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Cases awaiting validation</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Invalid applications</i> Chart by month: current and previous 2 yrs Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Caseload age profile</i> Chart by quarter and YTD Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports

Deciding applications		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
		<i>Average age of closed cases</i> By month and YTD by month Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Average age of open cases</i> By month and YTD by month Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Number of Cases Closed</i> As per current table Report as appropriate in the annual report	R&E 2 & R&E 3	‘Dashboard’ Reports
		<i>Trends and commentary</i> Posted on website with dashboard and reported in Annual Report	R&E 2 & R&E 3	‘Dashboard’ Reports
Appeals and judicial review	Annually, in annual report	Successfully defend 100% of appeals (or elements of appeals) where the grounds are an error in law on how the SIC has investigated.	R&E 1	Decisions Round-up
Robust, current and proportionate investigations	Periodic & ad hoc	Clear procedures that are monitored and reviewed/ updated in line with Register of Key Documents	IM 8	Guide to Information (Class 2)
Clear Enforcement Policy	Periodic & ad hoc	Review in line with Register of Key Documents	IM 8	Guide to Information (Class 2)

Monitoring, promoting, assessing FOI performance		(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Capturing and disseminating good practice and lessons learned	Weekly	Decisions round-up	IAP 5	Decisions Round-up
	Annually	Report on Learning From Decisions, Annual Report	IAP 6	Decisions Round-up
	Ad hoc	Special and periodic reporting	As set out in the operational plan	Published as appropriate
Collect, collate and publish national FOI statistics	Quarterly	Report on website	P&C 10	FOI and EIR statistics database
Publication Schemes	6-monthly	Publication Scheme notifications for new bodies completed: <ul style="list-style-type: none"> 80% by due date 100% notified or enforcement commenced within 3 months of due date (Due date is set at point of creation of publication scheme file)	R&E 7	Managing the organisation – SMT minutes
Feedback reports from Regional Roadshows	Report following each of 3 events	80% good or excellent rating for the day overall.	IAP 2	Managing the organisation – SMT minutes
Proportion of valid applications relating to public authority non-compliance with statutory timescales	Quarterly	No more than 15% of valid applications received to be related to authorities' failure to respond	IAP 8 & 10	'Dashboard' Reports
Proportion of applications to the SIC that are invalid	Quarterly	No more than 30% of all applications in 2016/17 No more than 20% of all applications by end of 2017/18	P&C 5	'Dashboard' Reports
Publish and maintain guidance, briefings etc	As needed and periodically	Review in line with Register of Key Documents.	IM 8	Briefings and Guidance
Publish, maintain and report on use of self-assessment tools for authorities	Annual	Assessment of the use and effectiveness of the self-assessment tools	P&R 7	Managing the organisation – SMT minutes

Operational efficiency			(day = working day) (week = calendar week) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to the Annual Report)
Name	Frequency/ date	Measure/ indicator			
Lay Annual Report and Accounts	By 31 st October following end of reporting year	Auditor's sign off of unqualified accounts Report laid	RM 5 P&C 6 and 13	Annual Reports and Accounts	
Variance in spend against budget	Annual accounts	Achieve no more than 5% variance	RM 2	Budgets and Expenditure	
Maintain a compliant publication scheme and guide to information	Annually	Assurance Report to SMT	IM 11 IM 12	Managing the organisation – SMT minutes	
Up-to-date and effective governance framework	Annually	Assurance Report to SMT	P&R 7	Managing the organisation – SMT minutes	
Prompt payment of invoices	Quarterly	95% of undisputed invoices in 10 days or fewer 100% of undisputed invoices in 30 days or fewer	RM 3	Managing the organisation – SMT minutes	
Information and Records Management	Annual	Assurance Report to SMT Manage Key Documents as per agreed review programme	IM 5 IM 8	Managing the organisation – SMT minutes	

Key:

HRM	Human Resources Management	QA	Quality Assurance
IAP	Improving Authority Practice	R&E	Regulation and Enforcement
IM	Information Management	RM	Resource Management
P&R	Planning & Reporting	RiM	Risk Management
P&C	Promotion & Communications		

Scottish Information Commissioner

Kinburn Castle
Doubledykes Road
St Andrews, Fife
KY16 9DS

t 01334 464610

f 01334 464611

enquiries@itspublicknowledge.info

www.itspublicknowledge.info