

Governance Reporting Arrangements

Scottish Information Commissioner



Scottish Information
Commissioner

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Glossary and abbreviations

Term used	Explanation
FOISA	Freedom of Information (Scotland) Act 2002
HOCS	Head of Corporate Services
HOE	Head of Enforcement
HOPI	Head of Policy and Information
PSR	Public Services Reform (Scotland) Act 2010
SIC	Scottish Information Commissioner
SMT	Senior Management Team

Governance Arrangements

1. The Scottish Information Commissioner's Governance Arrangements are set out in VC108971.
2. The tables below set out the schedule of reports that will be provided to the Scottish Information Commissioner (SIC) as part of the governance arrangements to provide assurance of their effectiveness.
3. The Designated Manager is responsible for ensuring reports are submitted to the SMT (or SIC where appropriate) and that the activities that contribute to the report or which are being reported on are reflected in operational plans. Each Senior Manager is accountable to the SIC for those covered by their area of responsibility.

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
Finance							
1	Financial	Provide assurance that budget is managed effectively, including details of spend against budget with variances, and forecast 'committed spend'	Quarterly				HOCS
2	Invoice Payments	Provide annual assurance invoices are being paid promptly and KPIs achieved				✓	HOCS
Governance							
3	Assurance for the Governance Statement	Provide assurance to the SIC in his capacity as accountable officer as set out in the Internal Control Checklist.	Summer (direct to SIC)				HOCS
4	Compliance with Governance Reporting Arrangements	Provide assurance that the arrangements in this document are being complied with				✓	HOCS
5	Equalities Monitoring (Service Users)	Demonstrate that SIC meets the public sector equality duty in the Equality Act 2010 by gathering and analysing service user data and using the outcomes to refine policies and practice Provide assurance that all policies which impact the public have been equalities impact assessed (including a review of Equalities Impact Forms completed as part of the project management process)				✓	HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
6	Communication Strategy	Set forward strategy and provide annual summary and forward work plan in respect of communications, media and other P&I functions. Limited annual review to ensure aims and messages remain consistent with those of the organisation				✓	HOPI
7	Sickness Absence	Provide data on the amount and nature of sickness absence to: <ul style="list-style-type: none"> • support effective management of sickness absence • monitor organisational performance against the agreed benchmark • identify trends which may indicate the need for management action 				✓	HOCS
8	Workforce Trends	Provide 'Staff in Post' data to inform resource, operational and strategic planning				✓	HOCS
Human Resources							
9	Employment Policy Update	Apprise the SMT of changes in employment law and provide assurance that SIC's employment policies are legally compliant			✓		HOCS
10	Equalities Monitoring (Staff)	Demonstrate that SIC meets the public sector equality duty in the Equality Act 2010 by gathering and analysing staff data, and using the outcomes to refine policies and practice Provide assurance that all policies which impact staff have been equalities impact assessed (including a review of Equalities Impact Forms completed as part of the project management process) <ul style="list-style-type: none"> • staff have undertaken appropriate training to enable them to meet their obligations under the Equality Act 2010 				✓	HOCS

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
11	Learning & Development Plan	Demonstrate that SIC's learning and development plan is aligned with its HR Strategy and supports effective delivery of its Operational Plan	✓				HOCS
12	Performance & Development Framework	Provide assurance on the effectiveness of the Framework, including: <ul style="list-style-type: none"> • details of number of reviews completed, and timescales achieved • outcomes e.g. organisation or team level (i.e. not individual) 	✓				HOCS
13	Review of HR Strategy	Demonstrate that SIC has an effective HR Strategy in place which will enable it to deliver its strategic objectives.	✓				HOCS
Information & Records Management							
14	Information and Records Management	Provide assurance that SIC's information and records are being managed in accordance with published policies and procedures, in particular that: <ul style="list-style-type: none"> • records are being destroyed at the appropriate time • records are held for the appropriate time • information is held securely • appropriate back-up arrangements are in place • personal data is being lawfully processed • key documents are being managed in line with the Handbook 				✓	HOCS
15	Key Documents	Provision of a report on outstanding reviews, reviews due and reviews not completed	every 2 months				HOCS

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
16	Publication Scheme (SIC)	Provide assurance that SIC is publishing and making accessible as much information as possible, in line with its own published good practice			✓		HOCS
Performance Management & Monitoring							
17	Enquiries Service	Provide information on key performance measures, volumes and subject matter of enquires to inform resource planning	✓		✓		HOCS
18	Feedback from Roadshows	Provide assurance that feedback achieves key performance measure, and to support continuous improvement	Per Roadshows' Schedule				HOPI
19	Information Requests and Reviews	Provide information on key performance measures, volumes and subject matter of requests and reviews to inform resource planning, incl. statistics for SARs and Reuse Requests	✓	✓	✓	✓	HOCS
20	Information Requests and Reviews	Provide assurance to HOCS that responses to information requests comply with relevant legislation and related guidance				✓	HOE
20	Investigations Performance	Report on performance, including whether key performance measures are being achieved, numbers and KPIs, ages of cases, etc)	✓	✓	✓	✓	HOE
21	Operational Plan Monitoring	Provide assurance that activities are progressing to plan, and to inform the prioritisation of projects and resources	✓	✓	✓	✓	HOCS
22	Publications Schemes (PAs)	Provide assurance that adoptions are progressing in line with key performance indicators				✓	HOPI

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
23	Quality Assurance – Investigations	Provide assurance on the quality of investigations as defined by the agreed quality criteria		✓		✓	HOE
24	Quality Assurance - Enquiries	Provide assurance on the quality of responses to enquiries as defined by the agreed quality criteria				✓	HOCS
25	Self-Assessment Tools	Provide assurance on the utilisation and effectiveness of the self-assessment tools			✓		HOPI
26	Service Standards	Provide assurance on the quality of service provision, including: <ul style="list-style-type: none"> • number of compliments received • number of complaints received and their outcomes 		✓		✓	HOCS
27	Website	Provide report on website usage and assurance that key performance measure is achieved		✓		✓	HOPI
Risk							
28	Health and Safety	Provide assurance that SIC is meeting its statutory obligations in respect of employee health, safety and well-being, and is providing statutory training	✓		✓		HOCS
29	Risk Management	Provide annual assurance that risk is being managed effectively, including a review of the Risk Management Policy				✓	HOCS
30	Risk Registers	Provide assurance that risk is being managed effectively, in line with Risk Policy:					
		- Operational Risk Register	every 2 months				

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
		- Strategic Risk Register and Heat Maps (both Registers)	✓	✓	✓	✓	HOCS
Statutory							
31	Annual Report	<p>Provide:</p> <ul style="list-style-type: none"> Performance Report (HOPI) Accountability Report - Corporate Governance Report (Commissioner's report, governance statement), Remuneration and staff report (HOCS) Financial Statements (HOCS) successfully audited Annual Report (AR) (HOCS) designed, printed and signed AR (HOPI) laying of the AR before Parliament (HOPI) <p>The AR to be drafted in compliance with the Scottish Public Finance Manual and the Government Financial Reporting Manual (FReM).</p>	September				HOPI & HOCS (as indicated)
32	Statements of Expenditure (PSR Act)	Publish statements of expenditure as required by section 31 of the PSR Act		✓		✓	HOCS

Ref	Report	Purpose	QSMTM (Unless otherwise stated)				Designated Manager
			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
33	Statement on Sustainable Growth (PSR Act)	Publish statement as required by section 32 of the PSR Act				✓	HOCS
34	Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	Publish annual report				✓	HOCS
35	British Sign Language	Action Plan – report and review			✓		HOPI & HOCS
36	Report on Biodiversity	As required by the Nature Conservation Act 2004				✓	HOCS
37	Sustainable Development	Monitor and report on Carbon Footprint				✓	HOCS

Senior Management Team Meetings – outline agendas

Quarter/Month	Meeting type	Standing items	Additional items (there may be further additional items included on the agenda for each meeting as required)
Q1			
April	Quarterly	QSMTM standing items	QSMTM additional items
May	Monthly	Operational Plan – BAU and Projects Operational Risk Register	Governance Reporting – assurance report
June	Monthly	Key Documents – outstanding, due and not completed	Draft AR&A/Cs
Q2			
July	Quarterly	QSMTM standing items	QSMTM additional items
August	Monthly	Key Documents – outstanding, due and not completed	Final AR&A/Cs Internal Audit Plan Budget
September	Monthly	Operational Plan – BAU and Projects Operational Risk Register	
Q3			
October	Quarterly	QSMTM standing items	QSMTM additional items
November	Monthly	Operational Plan Monitoring – BAU and Projects Operational Risk Register	
December	Monthly	Key Documents – outstanding, due and not completed	
Q4			
January	Quarterly	QSMTM standing items (revised)	QSMTM additional items
February	Monthly	Key Documents – outstanding, due and not completed	
March	Monthly	Operational Plan Monitoring – BAU and Projects Operational Risk Register	

Quarterly Senior Management Team Meetings - AGENDA

Quarter 1: July (to 30 June)	Quarter 2: October (to 30 September)
Standing Items <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance Report ➤ Health and Safety ➤ Enquiries Service ➤ Information Requests and Reviews ➤ Investigations Performance ➤ Operational Plan Monitoring Report ➤ Strategic Risk Register & Heat Maps ➤ Operational Risk Register 	Standing Items <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance Report ➤ Statements of Expenditure - PSRA ➤ Information Requests and Reviews ➤ Website ➤ Investigations Performance ➤ Key documents ➤ Strategic Risk Register & Heat Maps
Additional Items <ul style="list-style-type: none"> ➤ Learning & Development Plan ➤ Performance & Development Framework ➤ Review of HR Strategy 	Additional Items <ul style="list-style-type: none"> ➤ Service Standards – Compliments/Complaints ➤ Quality Assurance – Investigations
Quarter 3: January (to 31 December)	Quarter 4: April (to 31 March)
Standing Items <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance Report ➤ Enquiries Service ➤ Information Requests and Reviews ➤ Health & Safety ➤ Investigations Performance ➤ Operational Plan Monitoring Report ➤ Strategic Risk Register & Heat Maps ➤ Operational Risk Register 	Standing Items <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance Report ➤ Sickness Absence ➤ Statements of Expenditure - PSRA ➤ Information Requests and Reviews, including Assurance Statement Website ➤ Investigations Performance ➤ Key documents ➤ Strategic Risk Register & Heat Maps
Additional Items <ul style="list-style-type: none"> ➤ Publication Scheme (SIC) Assurance Report ➤ Self-Assessment Tools ➤ British Sign Language - Action Plan – report and review ➤ Equalities Monitoring – Service Users ➤ Employment Policy Update 	Additional Items <ul style="list-style-type: none"> ➤ Invoice payments ➤ Workforce Trends ➤ Service Standards – Compliments/Complaints ➤ Quality Assurance - Enquiries ➤ Statement on Sustainable Growth (PSR) ➤ Publication Schemes (PAs) ➤ Quality Assurance – Investigations ➤ Compliance with Governance Reporting Arrangements ➤ Communication Strategy ➤ Risk Management Annual Assurance Report ➤ Prescribed Persons (Reports on Disclosure of Information) Regulations 2017 ➤ Information and Records Management ➤ Equalities Monitoring – Service Users ➤ Equalities Monitoring – Staff ➤ Sustainable Development – Carbon Footprint ➤ Biodiversity report

Document control sheet

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Summary of changes to document				
Date	Action by (initials)	Version updated (e.g. v01.25-36)	New version number (e.g. v01.27, or 02.03)	Brief description (e.g. updated paras 1-8, updated HOPI to HOCS, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)
19/11/18	KB	03.00	03.01	New document created following approval of draft
19/11/18	KB	03.01	03.02	DCS updated, published on website
14/01/19	KB	03.02	03.03	Update timetable, page 10, to agree to schedule as detailed on pages 2 to 8
14/01/19	KB	03.03	03.04	Track changes accepted, DCS updated, published on website
07/02/19	LB	03.04	03.06	Information request report changed to quarterly
19/02/19	LB	03.06	03.07	RFI assurance statement added
21/02/19	DF	03.07	03.09	Checked updates on two occasions thus jump from 7 to 8. Changes approved.
25/02/19	LB	03.09	03.10	Checked out in error
06/03/19	BOW	03.10	03.11	Typo in DCS. Updated & published on website
03/04/19	HGS	03.11	03.12	Corrected typos on page 9, removed 2 repeated items in Q4 QSMTM agenda and added additional note to Biodiversity report in Q4 QSMTM agenda
09/04/2019	BOW	03.12	03.13	DCS updated, published on website
14/05/19	HGS	03.13	03.14	Corrected numbering (from 23 onwards), missing bullet point in 31, deleted repeated "the" and removed "Information and Records Management – Key Documents Plan" from MSMTM agenda items for May (included in error) and amended review date to 04/21 in accordance with usual review plan.
21/05/19	BOW	03.14	03.15	DCS updated, published on the website

Scottish Information Commissioner

Kinburn Castle
Doubledykes Road
St Andrews, Fife
KY16 9DS

t 01334 464610

f 01334 464611

enquiries@itspublicknowledge.info

www.itspublicknowledge.info

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