Operational Plan 2019-20

Scottish Information Commissioner

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 vison

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 and 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:

Total staff costs	**£1,312,000**
Total revenue costs	**£1,639,000**
Capital expenditure	**£34,000**
Total	**£1,673,000**

At the time of putting in place this Operational Plan, the Scottish Government has laid an Order extending the list of public authorities regulated under the Freedom of Information (Scotland) Act 2002 FOISA to include registered social landlords and related bodies. The Order which has now been passed by the Scottish Parliament has a commencement date of 11 November 2019. It is estimated that the additional resource in the region of £143,000 p.a. will be required to ensure that the Commissioner is sufficiently resourced to be able undertake the regulation of the public authorities under the proposed designation and the following additional posts have been put in place:

- Freedom of Information Officer (Policy and Information) (Grade 4)
- Administrative Officer (Policy and Information) (Grade 2)
- Freedom of Information Officer (Enforcement) (Grade 4)
- Validation Officer (Grade 2)

There will be a set up period to enable preparation work to be undertaken and training will be provided to the newly designated public authorities.

Summary of activity

The majority of activity in relation to regulation of FOI (investigations and publication schemes) is recorded as business as usual (BAU). Only the major activities are shown in this plan. Underpinning this is the day-today management of the organisation and its resources, which is not listed in detail.

Functional areas are:

- Human resource management (HRMgt)
- Improving authority practice (IAP)
- Information and records management (IRM)
- Planning and reporting (PlanRep)

- Promotion and communications (PromCom)
- Quality assurance (QA)
- Regulation and enforcement (RegEnf)
- Resource management (ResMgt)

- Risk management (RiMgt)
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- Strategic Management (StrMgt)

The dates in the plan are as firm as they can be at the start of the year but may change in response to external factors or a change in priorities.

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:		Statutory, High, Medium, Low
(relative)

SIC:	Scottish Information Commissioner

SMT:	Senior Management Team

Human resource management

	BAU				Strategic Aim					Priority	Lead Manager
	Activity	**Frequency**	**Start Date**	**End Date**	1	2	3	4	5	**Priority**	**Lead Manager**
1	Report to SMT on Performance & Development Framework	Annual	01/04/2019	31/07/2019					X	H	HOCS
2	Learning & Development Plan 2019-20 (internal)	Annual	01/04/2019	31/07/2019					X	H	HOCS
3	Review HR Strategy	Annual	01/04/2019	31/07/2019					X	M	HOCS
4	Apply & monitor Performance & Development Framework		01/04/2019	31/03/2020					X	H	HOCS
5	Carers Accreditation – monitoring and application		31/09/2019	31/03/2020					X	M	HOCS
6	Security & Vetting scheme- monitoring and application		01/04/2019	31/03/2020					X	H	HOCS

	Project			Strategic Aim					Priority	Lead Manager
	Activity	**Start Date**	**End Date**	1	2	3	4	5	**Priority**	**Lead Manager**
1	Employee Handbook	01/04/2019	31/08/2019					X	H	HOCS
2	Procurement - Employment Advice Contract	01/04/2019	31/10/2019					X	H	HOCS
3	Procurement – Health & Safety Advice Contract	01/04/2019	31/10/2019					X	H	HOCS
4	Carer Positive Scheme - Accreditation	01/04/2019	31/12/2019					X	H	HOCS

Improving authority practice

	BAU				Strategic Aim					Priority	Lead Manager
	Activity	**Frequency**	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Lead Manager**
1	Liaise with Holyrood Events about the annual Holyrood Conference	Annual	01/04/2019	31/12/2019	X		X		X	L	HOPI
2	Deliver a practitioners' conference for the Centre for FOI - May 2019	Annual	01/04/2019	31/05/2019	X		X		X	M	HOPI
3	Prepare a practitioners' conference for the Centre for FOI - May 2020	Annual	01/10/2019	31/03/2020	X		X		X	M	HOPI
4	Publish Decisions Round up	Weekly	01/04/2019	31/03/2020	X		X		X	H	HOE/HOPI
5	Maintain and develop new content on Knowledge Hub group for public authorities		01/04/2019	31/03/2020	X				X	H	HOPI
6	Collect, collate and publish FOI/EIRs statistics portal data from public authorities	Quarterly	01/04/2019	31/03/2020	X		X			S/H	HOPI
7	Provide quarterly intelligence reports to Quarterly Interventions Meeting to inform decisions about interventions	Quarterly	01/04/2019	31/03/2020	X		X		X	H	HOPI
8	Provide quarterly intervention reports to IPM	Quarterly	01/04/2019	31/03/2020	X		X			S/H	HOPI
9	Intervention Procedures: ensure non-compliance is recorded and take action in line with procedures and as resources permit		01/04/2019	31/03/2020	X		X		X	S/H	HOE
10	Provide support to new public authorities to prepare for FOI duties		01/04/2019	31/03/2020	X		X		X	H	HOPI
11	Provide new advice and guidance (as required)		01/04/2019	31/03/2020	X		X		X	H	HOE
12	Provide support to existing public sector FOI practitioner groups, encourage emergency services providers and colleges to develop groups		01/04/2019	31/03/2020							

	Project			Strategic Aim					Priority	Lead Manager
	Activity	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Lead Manager**
1	Publish a self assessment toolkit for public authorities on monitoring and managing FOI performance	01/04/2019	31/03/2020	X		X	X		H	HOPI
2	Preparation of Registered Social Landlords and subsidiaries	01/04/2019	31/12/2019	X		X	X		S	HOPI

	to meet their new FOI duties										
3	Complete evaluation and review of Decisions Round Up –	01/01/2020	28/02/2020	X	X	X	X	X		M	HOPI
4	Support Registered Social Landlords and subsidiaries to develop template Guides to Information	01/04/2019	30/09/2019	X		X	X			S/H	HOPI
5	Report progress of Scottish Government intervention to Parliament (June)	01/05/2019	30/06/2019	X		X	X			H	HOPI
6	Review of sharing good practice cross-sector and role of Advisory Group	01/04/2019	31/03/2020	X		X		X		M	HOPI

Information and records management

	BAU				Strategic Aim					Priority	Lead
	Activity	Frequency	Start Date	End Date	1	2	3	4	5		Manager
1	Coordinate on-going IRM controls and procedures and ensure they are applied		01/04/2019	31/03/2020	X	X			X	S/H	HOCS
2	IRM Assurance report to SMT	Annual	01/04/2019	31/07/2019	X	X			X	S/H	HOCS
3	Maintenance of secure and reliable IT network		01/04/2019	31/03/2020					X	S/H	HOCS
4	Review Programme for Key Documents	Annual	01/05/2019	31/07/2019	X	X	X	X	X	H	HOCS
5	Manage Key Documents as per the Review Programme		01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
6	Monitor compliance with data protection legislation and the General Data Protection Regulation		01/04/2019	31/03/2020	X				X	S	HOCS
7	Maintain a compliant publication scheme and guide to information		01/04/2019	31/03/2020	X	X		X	X	H	HOCS
8	SIC Publication Scheme Assurance report to SMT		01/01/2020	30/04/2020					X	S	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)		01/04/2019	31/03/2020			X		X	S	HOCS
10	Cyber Resilience Action Plan – implement and monitor		01/09/19	31/03/2020					X	H	HOCS

	Project			Strategic Aim					Priority	Lead
	Activity	Start Date	End Date	1	2	3	4	5		Manager
1	Deliver GDPR implementation plan 2019 – 2020 to ensure SIC is GDPR compliant	01/04/2019	31/03/2020	X		X	X	X	S/H	HOCS
2	IT and Digital Strategy	01/04/2019	31/08/2019					X	S/H	SIC / HOCS
3	Cyber Resilience Action Plan 2019-2020	01/04/2019	31/08/2019					X	H	HOCS
4	Cyber Essentials Plus Accreditation	31/07/2019	31/10/2019					X	H	HOCS
5	IRM – consider and recommend way forward as regards review, retention and assurance	01/04/2019	31/03/2020	X	X			X	H	HOCS

Planning and reporting

	BAU				Strategic Aim					Priority	Lead Manager
	Activity	**Frequency**	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Lead Manager**
1	Annual Report(AR) 2018-19 – statutory reporting and 3Es	Annual	01/04/2019	01/09/2019					X	S	HOCS
2	AR 2018-19 : Accountability Report and Financial Statements - ensure compliance with FReM, SPFM, prepare and obtain approval	Annual	01/04/2019	31/10/2019					X	S	HOCS
3	Annual Report & Accounts: Performance Report – ensure compliance with FReM, SPFM prepare and obtain approval	Annual	01/04/2019	31/10/2019					X	S	HOPI / HOCS
4	AR 2018-19 - Annual Statement of Assurance to SIC	Annual	01/04/2019	30/09/2019	X	X	X	X	X	H	HOCS
5	AR 2018-19 – Auditor's Report – liaise with Auditor and Advisory Audit Board (AAB)	Annual	01/07/2019	31/10/2019					X	H	HOCS
6	AR 2018-19 - AAB meeting 2019	Annual									
7	Audit Planning Report – AR 2019- 2020 - liaise with auditor and AAB	Annual	01/10/2019	01/02/2020					X	H	HOCS
8	Performance and statistical reporting	As set out in the GRA	01/04/2019	31/03/2020	X	X	X	X	X	S	HOCS
9	Manage and report on Enquiries Service	Six monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
10	Public Service Reform (Scotland) Act 2010 – annual expenditure reporting	Quarterly	01/04/2019	31/03/2020					X	S	HOCS
11	Operational Plan 2019-20 – monitor and report progress	Quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	SMT
12	Operational Plan 2019-20 Projects – monitor and review progress	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	SMT
13	Key Documents – reviews due and overdue reviews - monitor	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	SMT
14	Operational Plan 2020-21 - coordinate and prepare	Annual	01/01/2019	31/03/2020	X	X	X	X	X	H	HOCS
15	Governance Reporting Arrangements – reporting against cycle		01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS/H OPI/HOE
16	Governance Reporting Arrangements- compliance report to SMT	Annual	01/04/2019	31/07/2019	X	X	X	X	X	H	HOCS
17	Case Management System – reporting (manual and automatic)		01/04/2019	31/03/2020					X	M	HOCS
18	Prescribed Persons (Reports on Disclosure of Information)	Annual	01/04/2019	31/07/2019					X	S	HOCS

			Start Date	End Date						Priority	Lead Manager
	Regulations 2017										
19	Report on biodiversity (as required by the Nature Conservation (Scotland) Act 2004)	As required	01/04/2019	31/03/2020					X	S	HOCS
20	Sustainable Development - monitor and report on carbon footprint	Annual	01/04/2019	31/03/2020					X	S	HOCS

	Project								
	Activity	**Start Date**	**End Date**	**Strategic Aim**				**Priority**	**Lead Manager**
				1	2	3	4	5		
1	Case Management System – implementation of recommendations following internal audit of performance reporting – see	01/04/2019	31/08/2019	X	X	X	X	X	H	HOCS
2	Case Management System – development of additional reporting	01/04/2019	31/03/2020					X	M	HOCS
3	Case Management System – publication scheme reporting	01/04/2019	30/09/2019					X	H	HOCS
4	Enquiries Service – review quality assurance arrangements	01/04/2018	30/09/2019	X	X	X	X	X	H	HOCS
5	Strategic Plan – revision	01/04/2019	31/03/2020	X	X	X	X	X	H	SIC

Promotion and communications

	BAU				Strategic Aim					Priority	Lead Manager
	Activity	**Frequency**	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Lead Manager**
1	Communication Strategy Report	Annual	01/04/2019	31/03/2020	X	X	X	X	X	H	HOPI
2	Manage and maintain press and media enquiry service		01/04/2019	31/03/2020	X	X	X	X	X	H	HOPI
3	Deliver training and briefing events to promote effective use of FOI rights to civil society and media organisations		01/04/2019	31/03/2020		X		X	X	S	HOPI
4	Research public awareness of FOI rights through omnibus poll	Annual	01/04/2019	31/03/2020		X				H	HOPI
5	Promote website and social media content to increase audience participation to achieve performance targets	Quarterly	01/04/2019	31/03/2020	X	X	X		X	H	HOPI
6	Maintain website content, ensuring it is up to date and relevant and reporting progress	Quarterly	01/04/2019	31/03/2020	X	X	X		X	H	HOPI
7	Implementation of British Sign Language Action Plan 2019-2023		01/04/2019	31/03/2020		X		X		S/H	SMT

	Project			Strategic Aim					Priority	Lead Manager
	Activity	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Lead Manager**
1	Produce and publish three FOI stories (video case studies), including one co-produced with young people	01/04/2019	31/03/2020		X		X		S/H	HOPI
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	01/04/2019	31/10/2019	X	X			X	S/H	HOPI
3	Produce, publish and promote FOI tips for political researchers	01/10/2019	28/02/2020		X		X		H	HOPI
4	Develop subscription and email service to increase take-up of electronic mailings by stakeholders	01/04/2019	30/06/2019	X	X		X	X	H	HOPI
5	Active membership of International Conference of Information Commissioners' Executive Committee	01/04/2019	01/04/2020				X	X	H	SIC
6	Contribute national content to International Conference of Information Commissioners' website	01/04/2019	01/04/2020				X	X	H	HOPI

#		Start	End							
7	Participate in delivering Scottish Open Government Partnership commitments	01/04/2019	01/04/2020	X	X		X	X	H	SIC
8	Contribute to rating of Scottish FOI regime against the Right to Information index by international experts	01/04/2019	01/04/2020				X		H	HOPI

Quality Assurance

	BAU				Strategic Aim					Priority	Lead
	Activity	**Frequency**	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Manager**
1	Compliments and complaints – record, analyse and report	Six monthly	01/04/2019	31/03/2020					X	S	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	Quarterly	01/04/2019	31/03/2020	X		X	X	X	S	HOCS
3	Information Requests to SIC – provide assurance to HOCS that responses to information requests comply with relevant legislation and related guidance	Annual	01/04/2019	31/03/2020	X		X	X	X	S	HOE
4	Equalities Statistics – Service Users – recording, analysis and reporting	Annual	01/04/2019	31/03/2020			X		X	H	HOCS
5	Investigation targets and Key Performance Indicators - monitor and review to ensure appropriate and fit for purpose		01/04/2019	31/03/2020					X	H	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		01/04/2019	31/03/2020	X	X	X	X	X	S/H	SMT

	Project			Strategic Aim					Priority	Lead
	Activity	**Start Date**	**End Date**	**1**	**2**	**3**	**4**	**5**	**Priority**	**Manager**
1	Commission a new feedback survey for appeal portal users	01/10/2019	31/03/2020		X		X	X	M	HOPI

Regulation and Enforcement

	BAU				Strategic Aim					Priority	Lead Manager
	Activity	Frequency	Start Date	End Date	1	2	3	4	5		
1	Enforce FOI in line with Enforcement Policy		01/04/2019	31/03/2020	X		X	X	X	S	HOE
2	Register, validate, investigate and decide applications in line with approved procedures	Monthly	01/04/2019	31/03/2020	X		X	X	X	S	HOE
3	Monitor investigation and enforcement performance	Monthly	01/04/2019	31/03/2020	X				X	S/H	HOE
4	Report on investigation and enforcement performance	Quarterly	01/04/2019	31/03/2020	X				X	S/H	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		01/04/2019	31/03/2020	X				X	H	HOE
6	Maintain a rolling programme to ensure standard/template letters on the case management system are reviewed and regularly updated, as required.		01/04/2019	31/03/2020	X				X	S	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	Annual	01/04/2019	31/03/2020	X			X	X	S	HOPI
8	Review the Model Publication Scheme, SIC guidance and support materials (including presentation of materials), publish updates and communicate updates to all public authorities	Annual	01/11/2019	30/05/2020	X		X	X	X	S	HOPI
9	Manage and monitor notifications from new authorities re: compliance with publication scheme duty		01/04/2018	31/03/2019	X		X	X	X	S	HOPI

	Project			Strategic Aim					Priority	Lead Manager
	Activity	Start Date	End Date	1	2	3	4	5		
1	Manage and monitor notifications by Registered Social Landlords and subsidiaries re compliance with publication scheme duty	01/04/2019	31/03/2020	X		X		X	S/H	HOPI / HOE
2	Contribute to post-legislative scrutiny of the FOISA	01/04/2019	31/12/2019	X	X	X	X	X	S	SIC
3	Investigations Handbook: complete review and train team on	01/04/2019	31/10/2019			X	X	X	H	HOE

	revised procedures											
4	Contribute to consultation on contracted out services	tbc	tbc							H	SIC/HOPI

Resource management

	BAU				Strategic Aim					Priority	Lead Manager
	Activity	Frequency	Start Date	End Date	1	2	3	4	5	Priority	Lead Manager
1	Set and profile budget for 2020/2021	Annual	01/06/2019	31/10/2019	X	X	X	X	X	H	HOCS
2	Budget monitoring and control – 2019-20	Quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
3	Monitor and report on payment of invoices	Annual	01/04/2019	31/03/2020					X	H	HOCS
4	Workforce monitoring and planning	Annual	01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
5	Maintenance of premises		01/04/2019	31/03/2020					X	H	HOCS
6	Contracts (all in VC 116608 except as noted below in (8) - (18))– procurement and management	As agreed in relevant contract	01/04/2019	31/03/2020					X	H	HOCS
7	Case management system – review reporting requirements and requisition new reports (as required)		01/04/2019	31/03/2020					X	H	HOCS
8	External provision of legal services: contract management	As agreed in contract	01/04/2019	31/03/2020					X	H	HOE
9	Contract management: website supported hosting and maintenance	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
10	Contract management: design and printing of AR	As agreed in contract	01/04/2019	31/10/2019					X	H	HOPI
11	Contract management: annual report photography	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
12	Contract management: press cutting service	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
13	Contract management: electronic mailing service	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
14	Contract management: survey service	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
15	Contract management: electronic voting equipment service contract	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
16	Contract management: stock photography	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
17	Contract management: support service Internal Bulletin	As agreed in contract	01/04/2019	31/03/2020					X	H	HOPI
18	Contract management: animation software service	As agreed	01/04/2019	31/03/2020					X	H	HOPI

| | | | | | in contract | | | | | | | | | | |

	Project									
	Activity	Start Date	End Date	Strategic Aim					Priori ty	Lead Manager
				1	2	3	4	5		
1	Case management system – upgrade	01/04/2019	31/08/2020					X	H	HOCS
2	IT Support and Maintenance Contract – review arrangements (dependent on Digital and IT Strategy being put in place)	01/04/2019	31/03/2020					X	H	HOCS
3	IT - operating system project	01/04/2019	31/03/2020					X	H	HOCS
4	IT – hardware project	01/04/2019	31/03/2020					X	H	HOCS
5	Office premises – Kinburn Castle – external painting	01/04/2019	31/10/2019					X	M	HOCS
6	Office premises - Kinburn Castle - lease renewal	01/04/2019	31/03/2020					X	M	SIC / HOCS
7	Procurement of legal services contract	01/04/2019	31/03/2020					X	H	HOE
8	Procurement of website supported hosting and maintenance services	01/05/2019	31/03/2020					X	H	HOPI / HOCS
9	Recruitment and induction of additional staff for extension of FOISA to RSLs and subsidiaries	01/04/2019	31/07/2020					X	H	HOPI / HOE / HOCS
10	Procurement of design and printing of Annual Report and Accounts	01/11/2019	28/02/2020					X	S/H	HOPI
11	Procurement of press cutting service	01/01/2020	31/03/2020					X	H	HOPI
12	Procurement of electronic mailing service	01/04/2019	31/05/2020					X	H	HOPI
13	Procurement of survey service	01/04/2019	31/05/2020					X	H	HOPI
14	Procurement of electronic voting equipment service contract	01/04/2019	31/05/2020					X	H	HOPI

Risk management

	BAU				Strategic Aim					Priority	Lead
	Activity	**Frequency**	**Start Date**	**End Date**	1	2	3	4	5		**Manager**
1	Review of operational risk	Monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	SMT
2	Review of strategic risk	Quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	SMT
3	Updating risk registers	Monthly / quarterly	01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
4	Annual assessment and review of risk and report to SMT	Annual	01/04/2019	31/07/2019	X	X	X	X	X	H	HOCS
5	Internal Audit Plan 2018-19 to 2020-21 – implementation and reports	Annual	01/09/2019	31/03/2020	X	X	X	X	X	H	HOCS
6	Business Continuity Plan – maintenance of plan and testing (as required)		01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
7	Health and Safety – reporting	Six monthly	01/04/2019	31/03/2020	X	X	X	X	X	H	HOCS
8	Health and Safety – monitoring	Six monthly	01/04/2018	31/03/2020	X	X	X	X	X	H	SMT
9	AAB – reports on audits and review of strategic risk	Annual	01/04/2019	31/09/2020	X	X	X	X	X	H	HOCS

	Project			Strategic Aim					Priority	Lead
	Activity	**Start Date**	**End Date**	1	2	3	4	5		**Manager**
1	Internal Audit – procurement of contract for internal audit services	01/04/2019	30/09/2019	X	X	X	X	X	H	HOCS
2	Internal audit – GDPR compliance – external audit to assess implementation process and compliance	01/11/2019	31/03/2020	X	X	X	X	X	H	HOCS
3	Internal audit – planning & resources – in house audit to assess whether level of resources adequate to enable SIC to carry out functions.	01/10/2019	31/03/2020	X	X	X	X	X	H	HOCS
4	Risk management – in-house audit using Audit Scotland toolkit - assessment of compliance with legislation, best practice and effectiveness of policy and procedures.	01/04/2019	31/07/2019	X	X	X	X	X	M	HOCS
5	Internal Audit – review/audit of website discovery findings	01/04/2019	31/03/2020	X	X	X	X	X	H	HOPI

Document Control Sheet

Document Information	
Full name of current version: Class, Title, Version No and Status. *E.g. C1 MOU Between the SIC and the IC v01*	C1 Operational Plan 2019-20 v01 CURRENT ISSUE
VC No.	119559
Type	Plan
Approver	SMT
Responsible Manager	HOCS
Date of next planned review	N/A – new plan issued each year
Approval & Publication	
Approval Date of current major version	06/06/2019
For publication *(Y/N)*	Y
Date published	11/12/2019
Name of document in website file library	OperationalPlan201920
Technical Changes / Unplanned or Ad hoc reviews (see Summary of changes below for details)	
Date of last update	29/11/2019

**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)*
10/06/19	BOW	01.00	01.01	New document created following approval of draft
10/06/19	BOW	01.01	01.02	DCS updated, published on website
02/09/19	HGS	01.02	01.05	HGS made minor amendments following QSMTM on 08/08/19 and P&I Team meeting on 09/08/19 and updated DCS
02/09/19	KB	01.05	01.06	Amendment to headers to remove duplicate logo
06/09/19	HGS	01.06	01.07	Amendment of incorrect dates eg 03/2019 to 03/2020
07/11/19	BOW	01.07	01.08	DCS updated, published on website
28/11/19	HGS	01.08	01.09	Updated IAP 7 & 8 to refer to Quarterly Interventions Meeting and quarterly reporting and updated DCS.
29/11/19	HGS	01.09	01.10	Updated to remove duplicate entry in Risk management Projects re: enquiries quality assurance review and updated DCS.
10/12/2019	BOW	01.10	01.11	DCS updated, published on website