

Operational Plan 2023-24

Scottish Information Commissioner



Introduction

This document sets out the Scottish Information Commissioner's operational plan for the period from 1 April 2023 to 31 March 2024. The operational plan explains how we will realise the Commissioner's vision and strategic objectives, as set out in the Strategic Plan 2020-24, and provides a tool for on-going monitoring of outcomes and management of resources, financial and human.

Vision

The impact of Freedom of Information is increased, being recognised and valued as the key enabler of openness and transparency of public functions in Scotland, enhancing people's right to access the information that matters to them

Strategic objectives

To realise this vision:

The Commissioner's office will:

1. increase knowledge and understanding of FOI rights
2. enable and support high standards of FOI policy and practice
3. develop Scottish public sector culture and practice where the proactive disclosure of information is routine and valued
4. influence and support the development and strengthening of Scottish FOI law and practice
5. contribute to Scotland being respected as a world-leader in openness and transparency
6. be recognised as an organisation of independent and trusted experts that is run efficiently, governed effectively and is open and transparent

Structure of the operational plan

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

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 general project management principles and practice. And are approved by the Senior Management Team (SMT).

Monitoring and reporting

Progress against the plan will be reviewed every two months by the SMT and an update of progress will be published following this review in the Operational Plan Monitoring Report 2023-24.



Achievement and output against individual line items will also be assessed and reported in line with the organisational targets and indicators and measures set out in our Key Documents C7 Performance and Quality Framework 2023-24 and C1 Governance Reporting Arrangements.

Resources

The Commissioner's budget for 2023-24 is:

	£	£
Total staff costs	1,850,000	
Total running costs	166,000	
Total revenue costs		2,213,000
Capital expenditure		19,000
Total		2,232,000

The following matters have been taken into account when preparing the draft Operational Plan 2023-24:

- how we can achieve strategic priorities in 2023-24 - what can we achieve, how can we deliver strategic priorities
- workforce capacity, planning, deployment and wellbeing
- quality, efficiency, effectiveness and response/s to changing demands
- our resources - workforce, property and digital
- sustainability in our operational work

COVID-19 pandemic

Our priority as an organisation has been to continue to provide key services and guidance within available resource while safeguarding the health, safety and wellbeing of our members of staff.

The office premises re-opened on 3 May 2022 and a hybrid working trial is taking place.



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-to-day 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)
- Communications, Engagement and Policy (External) (CEP)
- Quality assurance (QA)
- Regulation and enforcement (RegEnf)
- Resource management (ResMgt)
- Risk management (RiMgt)

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

Commissioner/SIC Scottish Information Commissioner

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)

SMT: Senior Management Team



Human resource management

BAU					Strategic Objective						Priority	Lead Manager
Activity	Frequency	Start Date	End Date	Strategic Objective						Priority	Lead Manager	
				1	2	3	4	5	6			
1	Report to SMT on Performance & Development Framework	Annual	01/04/2023	31/10/2024						X	H	HOCS
2	Learning & Development Plan 2023-24 (internal)	Annual	01/04/2023	31/10/2023						X	H	HOCS
3	Review Human Resources Strategy	Annual	01/04/2023	31/10/2023						X	M	HOCS
4	Apply & monitor Performance & Development Framework		01/04/2023	31/03/2024						X	H	HOCS
5	Security & Vetting scheme- monitoring and application		01/04/2023	31/03/2024						X	H	HOCS
6	Recruitment – planned and approved	As approved	01/04/2023	31/03/2024						X	H	HOCS
7	Workforce Plan – monitoring	Quarterly	01/04/2023	31/03/2024						X	H	Commissioner HOCS HOE HOPI

Project					Strategic Objective						Priority	Lead Manager
Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager		
			1	2	3	4	5	6				
1	Business continuity - review interim human resources policies and processes	01/04/2023	31/03/2024							X	H	HOCS
2	Hybrid working – office premises and remote working – human resources policies and processes	01/04/2023	31/03/2024							X	H	HOCS
3	Workforce Plan – departmental review project (in accordance with Human Resources Strategy)	01/04/2023	31/03/2024							X	H	HOCS
4	Workforce Plan – departmental review project (in accordance with Human Resources Strategy)	01/04/2023	31/03/2024							X	H	HOE
5	Workforce Plan – departmental review project (in accordance with Human Resources Strategy)	01/04/2023	31/03/2024							X	H	HOPI
6	Review recruitment costs 2022-23	01/04/2023	31/10/2023							X	M	HOCS



7	HR data base – replacement	01/04/2023	31/03/2024						X	H	HOCS
8	Review – Employee Handbook	01/04/2023	30/06/2024						X	H	HOCS
9	Review security vetting procedures	01/04/2023	30/09/2023						X	M	HOCS
10	Pandemic policies – general (overarching) – in connection with business continuity	01/04/2023	30/09/2023						X	H	HOCS



Improving authority practice

BAU					Strategic Objective						Priority	Lead Manager
Activity	Frequency	Start Date	End Date	Strategic Objective						Priority	Lead Manager	
				1	2	3	4	5	6			
1	Prepare, deliver and report on programme of events and learning opportunities (on or offline) for FOI practitioners – prepare, deliver and report on		01/04/2023	31/03/2024		X	X	X		X	H	HOPI
2	Public sector FOI practitioner peer support mechanisms and networks - support and develop		01/04/2023	31/03/2024		X	X	X			M	HOPI
3	Prepare and circulate learning points from decisions	Monthly	01/04/2023	31/03/2024		X	X	X		X	H	HOE
4	Collaborate with/involve authority representatives to inform best practice		01/04/2023	31/03/2024		X	X	X		X	M	HOPI
5	FOI/EIRs statistics portal data from public authorities - collect, collate and publish	Quarterly	01/04/2023	31/03/2024	X		X				S/H	HOPI
6	New public authorities - support to prepare for FOI duties		01/04/2023	31/03/2024		X	X	X			H	HOPI
7	Good practice resources, guidance and case studies for authorities – maintain, develop, promote, and report on use		01/04/2023	31/03/2024		X	X	X	X	X	H	HOPI

Project					Strategic Objective						Priority	Lead Manager
Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager		
			1	2	3	4	5	6				
1	Statistics Portal – review and develop new collection and dissemination method.	01/04/2023	31/03/2024		X				X	M	HOPI	
2	Research, design and pilot bitesize online webinars for practitioners.	01/04/2023	31/03/2024		x	x	x			M	HOPI	
3	Establish network group for Further/Higher Education	01/04/2023	31/03/2024		x	x	x			M	HOPI	
4	Review and refine current self-assessment toolkits – pilot with section 14	01/04/2023	31/03/2024		x	x	x	x	x	M	HOPI	
5	SIC to engage directly with senior staff of public authorities - roadshows/webinar/podcast	01/04/2023	01/10/2023	x	x	x	x			M	HOPI	



Information and records management

BAU					Strategic Objective						Priority	Lead Manager
Activity	Frequency	Start Date	End Date	1	2	3	4	5	6	Priority	Lead Manager	
				1	Coordinate on-going Information and Records Management (IRM) controls and procedures and ensure they are applied		01/04/2023	31/03/2024	X			
2	IRM assurance report to SMT	Annual	01/04/2023	30/09/2023	X		X			X	S/H	HOCS
3	Maintenance of secure and reliable IT network		01/04/2023	31/03/2024						X	S/H	HOCS
4	Manage Key Documents as per the Review Programme		01/04/2023	31/03/2024	X	X	X			X	H	HOCS
5	Monitor compliance with data protection legislation and the UK General Data Protection Regulation		01/04/2023	31/03/2024			X			X	S	HOCS
6	UK GDPR/Data protection – SMT update	Quarterly	01/04/2023	31/03/2024			X			X	S	HOCS
7	Maintain a compliant publication scheme and guide to information		01/04/2023	31/03/2024	X		X		X	X	H	HOCS
8	Commissioner’s Publication Scheme - assurance report to SMT		01/01/2023	31/03/2024						X	S	HOCS
9	Monitor Commissioner’s compliance in responding to RFIs and reviews – compliance with statutory timescales, policy and procedures and quality assurance		01/04/2023	31/03/2024		X				X	S	HOCS
10	Monitor Commissioner’s compliance in responding to SARs – compliance with statutory timescales, policy and procedures		01/04/2023	31/03/2024						X	S	HOCS



	Project	Start Date	End Date	Strategic Objective						Priority	Lead Manager
	Activity			1	2	3	4	5	6		
1	Business continuity --hybrid working – interim policies	01/04/2023	31/03/2024					X	X	H	HOCS
2	Virtual Cabinet – upgrade	01/04/2023	31/03/2024	X		X		X	X	S/H	HOCS
3	Digital and IT Strategy	01/04/2023	31/03/2024						X	S/H	SIC / HOCS
4	Information and Records Management (IRM) – consider and recommend way forward as regards review, retention and assurance	01/04/2023	31/03/2024		X				X	H	HOCS
5	IRM – review and update File Plan	01/04/2023	31/03/2024		X				X	H	HOCS
6	IRM – review and update Retention Schedule	01/04/2023	31/03/2024		X				X	H	HOCS
7	Data Protection Policy and Handbook – review	01/04/2023	31/03/2024								
8	Case Management System (CMS) - RFI/RFR/workflow	01/04/2023	31/03/2024		X				X	M/H	HOCS
9	CMS – SAR workflow	01/04/2023	31/03/2024		X				X	M/H	HOCS
10	CMS – access protection – approval processes	01/04/2023	31/03/2024		X				X	M/H	HOCS
11	Website Manual – approval by SMT	01/04/2023	31/07/2023		X	X	X	X	X	H	HOPI



Planning and reporting

	BAU							Priority	Lead Manager			
	Activity	Frequency	Start Date	End Date	Strategic Objective							
					1	2	3			4	5	6
1	Annual Report (AR) 2022-23: Statutory reporting and 3Es	Annual	01/04/2023	31/12/2024						X	S	HOCS
2	AR 2022-23: Accountability Report and Financial Statements - ensure compliance with FReM, SPFM, prepare and obtain approval	Annual	01/04/2023	31/12/2024						X	S	HOCS
3	AR 2022-23: Performance Report – ensure compliance with FReM, SPFM prepare and obtain approval	Annual	01/04/2023	31/12/2024						X	S	HOPI / HOCS
4	AR 2022-23: Annual Statement of Assurance to Commissioner	Annual	01/04/2023	31/10/2023	X	X	X			X	H	HOCS
5	AR 2022-23: Auditor's Report – liaise with Auditor and Advisory Audit Board (AAB)	Annual	01/04/2023	31/12/2024						X	H	HOCS
6	AR 2022-23: AAB meeting 2023	Annual	01/08/2023	31/12/2024						X	H	HOCS
7	Audit Planning Report – AR 2022-23 liaise with auditor and AAB	Annual	01/08/2023	31/10/2024						X	H	HOCS
8	Performance and statistical reporting operational (relating to finance, payment of invoices, requests for information, subject access requests, equalities monitoring, sickness absence, workforce trends, performance and development framework)	As set out in the GRA	01/04/2023	31/03/2024	X	X	X			X	S	HOCS
9	Manage and report on Enquiries Service	Six monthly	01/04/2023	31/03/2024	X	X	X			X	H	HOCS
10	Public Service Reform (Scotland) Act 2010 – annual statement of expenditure and annual statement of sustainable growth report	Annual	01/04/2023	31/03/2024						X	S	HOCS
11	Operational Plan 2023-24 – monitor and report progress	Two monthly	01/04/2023	31/03/2024	X	X	X			X	H	SMT
12	Key Documents – reviews due and overdue reviews - monitor	Two Monthly	01/04/2023	31/03/2024	X	X	X			X	H	SMT
13	Operational Plan 2024-25 - coordinate and prepare	Annual	01/01/2024	30/06/2024	X	X	X			X	H	HOCS



14	Governance Reporting Arrangements (GRA) – reporting against cycle		01/04/2023	31/03/2024	X	X	X			X	H	HOCS/ HOPI/ HOE
15	GRA - compliance report to SMT	Annual	01/04/2023	31/03/2024	X	X	X			X	H	HOCS
16	Case Management System (CMS) – reporting (manual and automatic) for IPM/end of year Enforcement statistics	Monthly	01/04/2023	31/03/2024						X	M	HOCS
17	Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	Annual	01/04/2023	31/08/2023						X	S	HOE
18	Report on biodiversity (as required by the Nature Conservation (Scotland) Act 2004)	As required	01/04/2023	31/03/2024						X	S	HOCS
19	Sustainable Development - monitor and report on carbon footprint	Annual	01/04/2023	31/03/2024						X	S	HOCS
20	C2 British Sign Language (BSL) Plan 2018-2023 – reporting	Annual	01/04/2023	31/12/2023	x	x	x	x	x	x	H	HOPI

Project												
Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager		
			1	2	3	4	5	6				
1	Business continuity –enquiries - interim revised arrangements and reporting procedures	01/04/2023	31/03/2024					X	X	H	HOCS	
2	Enquiries procedures – review of outcome codes and assurance reporting	01/04/2023	31/03/2024	X	X	X		X	X	H	HOCS	
3	Equalities Monitoring and Reporting – service users - revised system	01/04/2023	31/03/2024					X	X	H	HOCS	
4	CMS – review of in-house reporting	01/04/2023	31/03/2024					X	X	H	HOCS	
5	Strategic Plan 2024-2028	01/04/2023	31/03/2024	x	x	x	x	x	x	H	SIC/SMT	



Communications, Engagement and Policy (External)

	BAU Activity	Frequency	Start Date	End Date	Strategic Objective						Priority	Lead Manager
					1	2	3	4	5	6		
1	Communications and engagement framework 2021 - 2024 - report on for 2023-24	Annually	01/04/2023	31/03/2024	X	X	X	X	X	X	H	HOPI
2	News media - manage and maintain news media enquiry service and ongoing media engagement		01/04/2023	31/03/2024	X	X	X	X	X	X	M	HOPI
3	News media - manage and maintain media monitoring service		01/04/2023	31/03/2024	X	X	X	X	X	X	M	HOPI
4	Email newsletters - prepare, promote and circulate regularly and as required	Bimonthly	01/04/2023	31/03/2024	X	X	X	X	X	X	M	HOPI
5	Social media - monitor, maintain and develop in line with Communications Framework/as required		01/04/2023	31/03/2024	X	X	X	X	X	X	M	HOPI
6	Events - support and participate in key relevant conferences/events		01/04/2023	31/03/2024	X	X	X	X	X	X	L/M	HOPI
7	Events - deliver events to promote effective use of FOI rights (such as to civil society, MSPs and media)		01/04/2023	31/03/2024	X					X	M	HOPI
8	Website – manage website support and development service		01/04/2023	31/03/2024	X	X	X	X		X	H	HOPI
9	Website - maintain and promote content, ensuring it is up to date and relevant, and reporting progress	Quarterly	01/04/2023	31/03/2024	X	X	X	X	X	X	H	HOPI
10	Website – maintain, develop and report on accessibility compliance via accessibility statements		01/04/2023	31/03/2024						X	S	HOPI
11	BSL Action plan 2019-2023 – implement		01/04/2023	31/03/2024	X	X	X	X		X	S	SMT
12	Annual report 2022-23 - coordinate design and promotion where required	Annually	01/04/2023	30/09/2023						X	H	HOPI
13	Content and communications planning – maintain and implement, delivering communications campaigns on FOI as required		01/04/2023	31/03/2024	X	X	X	X	X	X	M	HOPI
14	FOI Policy monitoring systems and policy positions – maintain as required (includes parliamentary monitoring service)		01/04/2023	31/03/2024	X	X	X	X	X	X	H	HOPI
15	Key stakeholder relationships/ partnerships – maintain, develop and support as required		01/04/2023	31/03/2024	X	X	X	X	X	X	M	HOPI



16	Input to Legislative change and consultations - monitor and respond to relevant consultations / inform legislative change processes as required		01/04/2023	31/03/2024	X	X	X	X	X	X	H	HOPI
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	Project Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager	
				1	2	3	4	5	6			
1	Review 'Your Right to Know' and related resources, text and approach			X							H	HOPI
2	Promoting FOI awareness to young people project	01/10/2022	31/03/2024	X						X	H	HOPI
3	LinkedIn Account- scope and research	01/04/2023	31/03/2024	x	x	x	x	x	x		H	HOPI
4	LinkedIn Account – approval and launch	01/04/2023	31/03/2024	x	x	x	x	x	x		H	HOPI
5	FOI Awareness Poll research	01/04/2023	31/03/2024	X	X		X	X			H	HOPI
6	Engage as appropriate with Scottish Open Government Partnership			X	X	X	X	X	X		M	SIC
7	Improve accessibility of website content (Briefings and Guidance)	01/04/2023	31/03/2024	X	X	X	X	X	X		H	HOPI
8	Scope promotional events for 20 years of commencement (2025)	01/04/2023	31/03/2024	X			X	X	X		M	HOPI
9	BSL Plan 2023-2028 – prepare and SMT approval	01/04/2023	23/10/2023	x	x	x	x	x	x		H	HOPI



Quality Assurance

BAU					Strategic Objective						Priority	Lead Manager
Activity	Frequency	Start Date	End Date	Strategic Objective						Priority	Lead Manager	
				1	2	3	4	5	6			
1	Compliments and complaints – record, analyse and report	Quarterly	01/04/2023	31/03/2024						X	S	HOCS
2	Information Requests to Commissioner: (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	01/04/2023	31/03/2024		X	X		X	X	S	HOCS
3	Subject access requests to Commissioner - record, analyse and monitor performance	Quarterly	01/04/2023	31/03/2024		X	X		X	X	S	HOCS
4	Information Requests to Commissioner – provide assurance to HOCS that responses to information requests comply with relevant legislation and related guidance	Annual	01/04/2023	31/03/2024		X	X		X	X	S	HOE
5	Investigation targets and Key Performance Indicators - monitor and review to ensure appropriate and fit for purpose	Monthly	01/04/2023	31/03/2024					X	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		01/04/2023	31/03/2024	X	X	X		X	X	S/H	SMT
7	Communication targets and key performance indicators - monitor and review to ensure appropriate and fit for purpose		01/04/2023	31/03/2024	X	X	X	X	X	X	H	HOPI

Project					Strategic Objective						Priority	Lead Manager
Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager		
			1	2	3	4	5	6				
1	Complaints Policy and Handbook – review	01/04/2023	31/10 /2023						X	H	HOCS	
2	Unacceptable Actions Policy - review to take account	01/04/2023	31/10/2023						X	H	HOCS	



Regulation and Enforcement

	BAU Activity	Frequency	Start Date	End Date	Strategic Objective						Priority	Lead Manager
					1	2	3	4	5	6		
1	Enforce FOI in line with Enforcement Policy		01/04/2023	31/03/2024		X	X		X		S	HOE
2	Register, validate, investigate and decide applications in line with approved procedures	Monthly	01/04/2023	31/03/2024		X			X		S	HOE
3	Ensure Investigations Handbook remains up to date and effective		01/4/2023	31/03/2024		X				X	S/H	HOE
4	Monitor investigation and enforcement performance	Monthly	01/04/2023	31/03/2024			X			X	S/H	HOE
5	Report on investigation and enforcement performance	Quarterly	01/04/2023	31/03/2024		X	X	X	X	X	S/H	HOE
6	Provide legal advice to, or procure legal advice for, the SIC on matters including litigation, FOI law (including how this affects or is affected by other areas of law) and ensure that the legal advice is recorded and the record kept up to date		01/04/2023	31/03/2024		X		X		X	H	HOE
7	Interventions - monitor intervention intelligence, record non-compliance and report to quarterly intervention meeting, enabling action in line with procedures and as resources permit	Quarterly	01/04/2023	31/03/2024		X	X	X			S	HOPI
8	Interventions - report on intervention performance and publish updates on intervention activity	Quarterly	01/04/2023	31/03/2024		X					S	HOPI
9	Publication schemes - manage and monitor notifications from new authorities re: compliance with publication scheme duty		01/04/2023	31/03/2024			X		X		S	HOPI
10	Regulatory guidance for authorities – maintain and develop as required		01/04/2023	31/03/2024	X	X	X	X			S	HOE
11	Maintain a list of bodies suitable for consideration for inclusion in Schedule 1 of FOISA or for designation under Section 5 and report on proposed list to be submitted to the Scottish		01/04/2023	31/03/2024		X	X			X	S	HOPI



	Ministers												
12	Circulate internal Decisions Round-Up	Monthly	01/04/23	31/03/024	X	X				X	H	HOE	

Project												
	Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager	
				1	2	3	4	5	6			
1	Scottish Government intervention - assessment and report to Parliament	01/04/2023	01/10/2023		X				X		H	HOPI



Resource management

BAU												
	Activity	Frequency	Start Date	End Date	Strategic Objective						Priority	Lead Manager
					1	2	3	4	5	6		
1	Set and profile budget for 2024-25	Annual	01/06/2023	31/10/2023	X	X	X		X		H	HOCS
2	Budget monitoring and control – 2023-24	Quarterly	01/04/2023	31/03/2024	X	X	X		X		H	HOCS
3	Monitor and report on payment of invoices	Annual	01/04/2023	31/03/2024	X	X	X		X		H	HOCS
4	Workforce monitoring and planning	Annual	01/04/2023	31/03/2024	X	X	X		X		H	HOCS
5	Maintenance of premises		01/04/2023	31/03/2024						X	H	HOCS
6	Maintenance of remote working facilities		01/04/2023	31/03/2024						X	H	HOCS
7	Contracts – procurement and management (as required) – where HOCS/CST indicated as lead	As agreed in relevant contract	01/04/2023	31/03/2024						X	H	HOCS
8	External provision of legal services: contract management	As agreed in contract	01/04/2023	31/03/2024						X	H	HOE
9	Contracts relevant to policy and information – procurement and management (as required) where HOPI/P&I indicated as lead	As agreed in contracts	01/04/2023	31/03/2024						X	H	HOPI
10	IT - replacement hardware – as per annual programme		01/04/2023	31/03/2024						X	H	HOCS
11	Cyber resilience – monitor and implement work required		01/04/2023	31/03/2024						X	H	HOCS

Project												
	Activity	Start Date	End Date	Strategic Objective						Priority	Lead Manager	
				1	2	3	4	5	6			
1	Telephone system/s – office premises and remote working – scope operational, technical and resource requirements	01/04/2023	31/03/2024							X	H	HOCS
2	Telephone system/s – office premises and remote working (subject to (1))	01/04/2023	31/03/2024							X	H	HOCS
3	Cyber Resilience Action Plan 2023-2024	01/04/2023	31/03/2024							X	H	HOCS
4	Cleaning Services Contract – review of arrangements	01/04/2023	31/03/2024							X	H	HOCS



	and procurement of contract											
5	Operating system upgrade – scope requirements and implement	01/04/2023	31/03/2024						X	H	HOCS	
6	Cloud computing - scope options and requirements	01/10/2022	31/03/2024						X	M	HOCS	
7	Cyber resilience project	01/04/2023	31/03/2024						X	H	HOCS	



Risk management

BAU					Strategic Objective						Priority	Lead Manager
	Activity	Frequency	Start Date	End Date	1	2	3	4	5	6		
					1	Review of operational risk	Every 2 months	01/04/2023	31/03/2024	X		
2	Review of strategic risk	Quarterly	01/04/2023	31/03/2024	X	X	X		X	X	H	SMT
3	Updating risk registers	Every 2 months / quarterly	01/04/2023	31/03/2024	X	X	X		X	X	H	HOCS
4	Annual assessment and review of risk and report to SMT	Annual	01/04/2023	31/10/2024	X	X	X		X	X	H	HOCS
5	Internal Audit Plan 2021-22 to 2023-24 – review and update (see below for projects)	Annual	01/04/2023	31/03/2024	X	X	X		X	X	H	HOCS
6	Business Continuity Plan – maintenance of plan and testing (as required)		01/04/2023	31/03/2024	X	X	X		X	X	H	HOCS
7	Health and Safety – monitoring	monthly	01/04/2023	31/03/2024	X	X	X		X	X	H	HOCS
8	Health and Safety – reporting	Six Monthly	01/04/2023	31/03/2024	X	X	X		X	X	H	SMT
9	AAB – reports on external and internal audits, risk policy and review of strategic risk	Annual	01/04/2023	31/12/2024	X	X	X		X	X	H	HOCS

Project					Strategic Objective						Priority	Lead Manager
	Activity	Start Date	End Date	1	2	3	4	5	6			
				1	Internal audit – project (details to be confirmed following review of Internal Audit Plan)	01/04/2023	31/03/2024	X	X			X
2	Internal audit – project (details to be confirmed following review of Internal Audit Plan)	01/04/2023	31/03/2024	X	X	X	X	X	X	H	HOCS	
3	Health and safety audit 2023-24	01/04/2023	31/03/2024						X	H	HOCS	
4	Internal auditor service – engage/procure	01/04/2023	31/03/2024						X	H	HOCS	

Document Control Sheet

Document Information	
Full name of current version: Class, Title, Version No and Status. <i>E.g. C1 MOU Between the SIC and the IC v01</i>	C1 Operational Plan 2023-24 CURRENT ISSUE
VC No.	188902
Type	Plan
Approver	SMT
Responsible Manager	HOCS
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Technical Changes / Unplanned or Ad hoc reviews (see Summary of changes below for details)	
Last updated	07/12/2023

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. v01.25-36)</i>	New version number <i>(e.g. v01.27, or 02.03)</i>	Brief description <i>(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)</i>
15/06/23	BOW	01.00	01.01	New document created following approval of draft
15/06/23	BOW	01.01	01.02	DCS updated, published on website
21/06/23	LB	01.02	01.03	Dates corrected on page 4, 9 & 15
05/07/23	LB	01.03	01.04	Dates corrected on page 17
05/07/23	HGS	01.04	01.05	Corrected dates approved and DCS updated
06/07/23	LB	01.05	01.06	DSC updated and document published
07/12/23	HGS	01.06	01.07	Planning and Reporting, Project 5, timeline corrected and DCS updated.
15/12/23	LB	01.05	01.06	DSC updated and document published

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