

Governance and Quality Assurance Reporting Arrangements

Scottish Information Commissioner

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Governance Arrangements

1. The Scottish Information Commissioner's Governance Arrangements are set out in VC191064.
2. The tables below set out the schedule of reports that will be provided to the Scottish Information Commissioner (the Commissioner) 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 the Commissioner where appropriate) and that the activities that contribute to the report or which are being reported on are reflected in operational plans. Each member of the Senior Manager Team is accountable to the Commissioner for those reports covered by their area of responsibility.
4. The Governance and Quality Assurance Reporting Arrangements are reviewed annually.

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 finances are being managed effectively, including details of spend against budget with variances and forward forecasting Provide report on fraud	✓	✓	✓	✓	HOCS
2	Time take to pay suppliers	Provide annual assurance suppliers are being paid promptly and KPIs achieved				✓	HOCS
Governance							
3	Assurance for the Governance Statement	Provide assurance to the Commissioner in his capacity as accountable officer as set out in the Internal Control Checklist.	Annual (direct to Commissioner)				HOCS
4	Compliance with Governance Reporting Arrangements	Provide assurance that the arrangements in this document were complied with in previous financial year	✓				HOCS
5	Equalities Monitoring (Service Users)	Where relevant and appropriate, gather and analyse service user data and use the outcomes to refine policies and practice and also to help demonstrate that the Commissioner meets the public sector duty under the Equality Act 2010. Provide assurance that all policies and projects which impact the public have been equalities impact assessed (including, where relevant and appropriate, a review of any Equalities Impact Form completed as part of a project management process) <i>(On hold – to be reviewed in 2025-26 – kept as placeholder)</i>			(✓)		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 and Engagement Framework	<p>Set forward strategy and provide annual summary and forward work plan in respect of communications, media and relevant P and I function areas.</p> <p>Limited annual review to ensure aims and messages remain consistent with those of the organisation</p> <p>Provide report on website usage and assurance that key performance measures are achieved</p>				✓	HOPI
7	Sickness Absence	<p>Provide data on the amount and nature of sickness absence to:</p> <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 	Monthly				HOCS
Human Resources							
8	Human Resourcing	<p>HR Strategy / Workforce Planning / Workforce Monitoring Plan</p> <p>Workforce Trends - provide 'Staff in Post' data annually (Q4) to inform resource, operational and strategic planning</p>	✓	✓	✓	✓	HODS
9	Employment Policy Update	<p>Explain to the SMT of changes in employment law and provide assurance that the Commissioner's employment policies are legally compliant</p>			✓		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)	
10	Equalities Monitoring (Staff)	<p>Demonstrate that the Commissioner 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</p> <p>Provide assurance that all policies which impact staff have been equalities impact assessed</p> <p>Provide assurance that staff have undertaken appropriate training to enable them to meet their obligations under the Equality Act 2010</p>				✓	HOCS
11	Learning and Development Plan	Proposes a training plan based upon a Training Needs Assessment	✓				HOCS
12	Performance and Development Framework	<p>Provide assurance on the Framework, including:</p> <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
Information and Records Management							
13	Information and Records Management	<p>Provide assurance that the Commissioner's information and records are being managed in accordance with published policies and procedures and that:</p> <ul style="list-style-type: none"> • 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 Key Documents Handbook 				✓	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)	
14	Key Documents	Provision of a report on outstanding reviews, reviews due and reviews not completed	quarterly at an MSMTM				HOCS
15	UK GDPR - Register of Personal Data Processing & Privacy Notice	6 monthly review to ensure the register and privacy notice are up to date	August and February				HOCS
16	Publication Scheme (Commissioner)	Provide assurance that the Commissioner is publishing and making accessible as much information as possible, in line with their own published good practice			✓		HOCS
Performance Management and Monitoring							
17	Enquiries Service	Provide information on key performance measures, volumes and subject matter of enquires to inform resource planning		✓		✓	HOCS
18	Policy & Information Team assurance	Provide assurance that Publication Scheme adoptions are progressing in line with key performance indicators Provide assurance that feedback from events and training achieves key performance indicators and supports continuous improvement	✓				HOPI
19	Rights Requests	Provide information on key performance indicators and volumes Provide assurance that responses to information requests and requests for reviews comply with relevant legislation and related guidance	✓	✓	✓	✓ ✓	HOCS HOE
20	Investigations Performance	Minutes of IPMs and assurance on performance, including whether key performance measures are being achieved, numbers and KPIs, ages of cases, etc.	✓	✓	✓	✓	HOE

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			Q1: July (to 30/06)	Q2: Oct (to 30/09)	Q3: Jan (to 31/12)	Q4 : April (to 31/03)	
21	Operational Plan Monitoring	Monitor and provide assurance that activities are progressing to plan and to inform the prioritisation of projects and resources	✓	✓	✓	✓	HODS
22	Interventions	Provide quarterly reports on interventions carried out during the year	✓	✓	✓	✓	HOPI
23	Quality Assurance – Investigations	<i>Provide assurance on the quality of investigations as defined by the agreed quality criteria as set out in the Investigations Handbook</i> <i>(On hold – review of process to start in October 2024 and progress report at Q3 QSMTM – kept as placeholder)</i>			✓		HOE
24	Quality Assurance - Enquiries	<i>Provide assurance on the quality of responses to enquiries as defined by the agreed quality criteria</i> <i>(On hold – review of process to start in October 2024 and progress report at Q3 QSMTM – kept as placeholder)</i>			✓		HOCS
25	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
Risk							
26	Health and Safety	Provide assurance that the Commissioner is meeting their statutory obligations in respect of employee health, safety and well-being, and is providing statutory training			✓		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)	
27	Risk Registers	Provide assurance that risk is being managed effectively, in line with Risk Policy:					HOCS
		- Operational Risk Register	Monthly				
		- Strategic Risk Register	✓	✓	✓	✓	

Statutory

28	Annual Report and Accounts (ARA)	<p>Provide:</p> <ul style="list-style-type: none"> • Performance Report (HOPI) (HOCS as regards the relevant corporate sections) • Accountability Report (HOCS) <ul style="list-style-type: none"> ○ Parliamentary Accountability <ul style="list-style-type: none"> • Commissioner's Report • Statement of Accountable Officer's Responsibilities • Governance Framework/Scheme of Control • Remuneration and staff report (HOCS) • Financial Statements (HOCS) • successfully audited Annual Report (ARA) (HOCS) • designed, printed (as required) and signed ARA (HOCS) • Auditor General clearance for laying (HOCS) • laying of the ARA before Parliament (HOPI) <p>The ARA to be drafted in compliance with the Scottish Public Finance Manual and the Government Financial Reporting Manual (FReM).</p>	<p>June - Draft Performance Report agreed by SMT</p> <p>ARA - final sign off by Commissioner</p>	<p>HOPI and HOCS (as indicated)</p>	
29	Statements of Expenditure (Public Services Reform (Scotland) Act 2010) (PSR(S)A)	<p>Publish statements of expenditure as required by section 31 of the PSR (S)Act</p>		<p>✓</p>	<p>HOCS</p>

30	Statement on Sustainable Growth (PSR (S) Act)	Publish statement as required by section 32 of the PSR (S) Act				✓	HOCS
31	Sustainable Development	Monitor and report on Carbon Footprint				✓	HOCS
32	Prescribed Persons (Reports on Disclosure of Information) Regulations 2017	Publish annual report				✓	HOE
33	British Sign Language	Action Plan Review Report		✓			HOPI
34	Report on Biodiversity	As required by the Nature Conservation Act 2004 (every 3 years) – next due end of 2026			✓		HOCS
35	Strategic Plan 2024-28	Annual Review	✓				SIC

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	
May	Monthly	Sickness Absence Operational Risk Register	Key Documents – outstanding, due and not completed
June	Monthly	Sickness Absence Operational Risk Register	Draft Annual Report and Accounts (ARA) (Performance Report)
Q2			
July	Quarterly	QSMTM standing items	
August	Monthly	Sickness Absence Operational Risk Register	Key Documents – outstanding, due and not completed Register of Personal Data Processing & Privacy Notice Internal Audit Plan
September	Monthly	Sickness Absence Operational Risk Register	Start process review of Quality Assurance - Enquiries
Q3			
October	Quarterly	QSMTM standing items	Start process review of Quality Assurance – Investigations Start process review of Quality Assurance - Enquiries
November	Monthly	Sickness Absence Operational Risk Register	Key Documents – outstanding, due and not completed
December	Monthly	Sickness Absence Operational Risk Register	
Q4			
January	Quarterly	QSMTM standing items	
February	Monthly	Sickness Absence Operational Risk Register	Key Documents – outstanding, due and not completed Register of Personal Data Processing & Privacy Notice
March	Monthly	Sickness Absence Operational Risk Register	

Quarterly Senior Management Team Meetings - agendas

<p>Quarter 1: July (to 30 June)</p> <p>Standing Items</p> <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance ➤ Sickness Absence ➤ Human Resourcing ➤ Rights Requests ➤ Investigations Performance ➤ Operational Plan Monitoring ➤ Interventions ➤ Strategic Risk Register ➤ Operational Risk Register <p>Additional Items</p> <ul style="list-style-type: none"> ➤ Strategic Plan Review ➤ Compliance with Governance Reporting Arrangements ➤ Learning and Development Plan ➤ Performance and Development Framework ➤ Policy & Information Team Assurance 	<p>Quarter 2: October (to 30 September)</p> <p>Standing Items</p> <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance ➤ Sickness Absence ➤ Human Resourcing ➤ Rights Requests ➤ Investigations Performance ➤ Operational Plan Monitoring ➤ Interventions ➤ Strategic Risk Register ➤ Operational Risk Register <p>Additional Items</p> <ul style="list-style-type: none"> ➤ Enquiries Service ➤ Services Standards ➤ British Sign Language Action Plan
<p>Quarter 3: January (to 31 December)</p> <p>Standing Items</p> <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance ➤ Sickness Absence ➤ Human Resourcing ➤ Rights Requests ➤ Investigations Performance ➤ Operational Plan Monitoring ➤ Interventions ➤ Strategic Risk Register ➤ Operational Risk Register <p>Additional Items</p> <ul style="list-style-type: none"> ➤ Employment Policy Update ➤ Publication Scheme (Commissioner) Assurance ➤ Progress report on process review of Quality Assurance – Investigations ➤ Health and Safety ➤ Biodiversity report (every 3 years, due 26/27) 	<p>Quarter 4: April (to 31 March)</p> <p>Standing Items</p> <ul style="list-style-type: none"> ➤ Minutes, action points update and matters outstanding ➤ Finance ➤ Sickness Absence ➤ Human Resourcing ➤ Rights Requests, including Assurance Statement ➤ Investigations Performance ➤ Operational Plan Monitoring ➤ Interventions ➤ Strategic Risk Register ➤ Operational Risk Register <p>Additional Items</p> <ul style="list-style-type: none"> ➤ Time taken to pay suppliers ➤ Communication and Engagement Framework ➤ Equalities Monitoring (Staff) ➤ Information and Records Management ➤ Enquiries Service ➤ Services Standards ➤ Quality Assurance – Enquiries ➤ Statements of Expenditure – PSR(S)A ➤ Statement on Sustainable Growth (PSR(S)A) ➤ Sustainable Development ➤ Prescribed Persons (Reports on Disclosure of Information) Regulations 2017

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