Performance and Quality Framework 2022-23

Scottish Information Commissioner

Contents

Commissioner's performance and quality framework

Introduction

1. The Scottish Information Commissioner (Commissioner) considers it important that his office performs its statutory functions and duties to a high standard, meeting the needs and, where practicable, the expectations of people in Scotland exercising their FOI rights.

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.

3. The annual performance and quality framework provides a mechanism against which performance and quality can be assessed and reported, internally and publicly. It is supported by internal systems which ensure that we can identify and monitor how individual performance contributes to organisational outputs.

4. In developing and defining our quality measures and the performance framework, the 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 and a range of activities.

5. The office premises gradually re-opened from 3 May 2022. The impact of the COVID-19 pandemic has been taken account of in preparing this Performance and Quality Framework 2022-23 and this framework will continue to be kept under review during the financial year.

Quality aims

6. Good quality for the Commissioner is:

   (i) Professional, courteous, and understandable communication that provides accurate and helpful advice and information to a range of stakeholders. Providing information about the Commissioner, access to information legislation and good practice and signposting to other relevant organisations. Demonstrating that we are actively informing and pursing 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, assessment of practice and interventions are improving the FOI experience for requesters and authorities.

   (iv) Operating as efficiently as we can, ensuring we are accountable for how we plan, manage and utilise our resources.

Performance and Quality Framework 2022-23

7. The Performance and Quality Framework 2022-23 (P&QF) is set out below and covers a detailed list of targets and Key Performance Indicators (KPIs), the frequency with which each will be reported upon and where to find the relevant information on our website.

8. Our Annual Report for the reporting year will also provide commentary on our performance against a number of the targets and KPIs.

9. The functional areas denoted in the P&QF are:

IAP	Improving Authority Practice	QA	Quality Assurance
IRM	Information and Records Management	RegEnf	Regulation and Enforcement
PlanRep	Planning and Reporting	ResMgt	Resource Management
CEP	Communications, Engagement and Policy (External)		

Targets, KPIs, indicators and measures

Communication, proactive dissemination, openness and service standards	(day = working day) (month = calendar month)		Related Operational Plan activities (see key)	Where reported or published on our website (in addition to any reporting in the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Public Services Reform (Scotland) Act 2010 reporting (section 31)	Annually	Report published on website	PlanRep BAU 10	Statutory Reporting
Public Services Reform (Scotland) Act 2010 reporting (section 32)	Annually	Report published on website	PlanRep BAU 10	Statutory Reporting
Satisfaction with our service	Six-monthly	(i) Frontline resolution of complaints 85% in 5 days 100 % in 10 days	QA BAU 1	Managing the organisation – SMT minutes
		(ii) Investigation of complaints 85% within 30 days 100% within 40 days	QA BAU 1	
		(iii) Fewer than 20% of complaints upheld in part or full	QA BAU 1	
	Annually	(iv) Report on performance included in Annual Report and Accounts, comprising review of compliments and complaints received, and response from user satisfaction survey (held triennially)	PlanRep BAU 3	Annual Reports and Accounts
Awareness and understanding of FOI rights	At least 2-yearly	90% of the public definitely or think they have heard of FOISA 75% of the public have an understanding of what is meant by FOI	CEP BAU 4	Research and publications

Communication, proactive dissemination, openness and service standards		(day = working day) (month = calendar month)	Related Operational Plan activities (see key)	Where reported or published on our website (in addition to any reporting in the Annual Report)
Name	Frequency/ date	Measure/ indicator		
Research, consultation responses and reports	Ad hoc	As set out in the operational plan	CEP BAU 16,18; CAP Proj 1,2 IAP Proj 2	Research and publications
Communication and Engagement Framework: progress and achievement	Annually	As set out in the Communication and Engagement Framework 2021-24	IAP BAU 1,2,3,4,6,7; IAP Proj 1,2 CEP BAU 1–15,17; CEP Proj 1-8	Managing the organisation – SMT minutes Annual Reports and Accounts

Deciding applications		(day = working day) ((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	*Overall valid case closure times* 70% in 4 months or less 85% in 6 months or less 97% in 12 months or less Average closure time 4 months or less	RegEnf BAU 2,3,4	'Dashboard' Reports
		Time taken to validate applications 70% in 1 month or less 90% in 2 months or less 97% in 3 months or less	RegEnf BAU 2,3,4	'Dashboard' Reports
		'Failure to respond' applications 60% in 1.5 months or less 100% in 4 months or less	RegEnf BAU 2,3,4	'Dashboard' Reports
		Valid (substantive) applications 50% in 4 months or less 75% in 6 months or less 95% in 12 months or less	RegEnf BAU 2,3,4	'Dashboard' Reports
		Applications received Table in dashboard Chart by month: current and previous 2 yrs Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
		Cases under investigation Chart by month: current and previous 2 yrs Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
		Cases awaiting validation Chart by month: current and previous 2 yrs Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
		Invalid applications Chart by month: current and previous 2 yrs Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
		Caseload age profile Chart by month quarter and YTD Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports

Deciding applications		(day = working day) ((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		
		Average age of closed valid cases By month and YTD by month Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
		Average age of open valid cases By month and YTD by month Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
		Number of Cases Closed As per current table Report as appropriate in the annual report	RegEnf BAU 2,3,4	'Dashboard' Reports
	Quarterly	*Trends and commentary* Posted on website with dashboard and reported in Annual Report Report to QSMTM	RegEnf BAU 2,3,4	'Dashboard' Reports
Robust, current and proportionate investigations	Periodic & ad hoc	Clear procedures that are monitored and reviewed/updated in line with Register of Key Documents	IRM BAU 4	Guide to Information (Class 2)
Clear Enforcement Policy	Periodic & ad hoc	Clear procedures that are monitored and reviewed/updated in line with Register of Key Documents	IRM BAU 4	Guide to Information (Class 2)

Monitoring, promoting, assessing FOI performance		(day = working day) (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	Monthly	Decisions and learning round-up within email newsletter views	IAP BAU 3 CEP BAU 4	Decisions learning and email newsletter
	Monthly	Up-to-date published information on learning from decisions	IAP BAU 3 CEP BAU 4	Decisions learning and email newsletter
	Ad hoc	Special and periodic reporting and communication	As set out in the operational plan	Published as appropriate
Collect, collate and publish national FOI statistics	Quarterly	Published quarterly data	IAP BAU 5	FOI and EIR statistics database
Publication Schemes	Annually	Publication Scheme notifications for new bodies completed: (i) 80% within one month of due date (ii) 100% notified or enforcement commenced within 3 months of due date	RegEnf BAU 9	Managing the organisation – SMT minutes
Feedback reports from events and training	Report following each event	80% or more of participants in training, events or presentations given across year who respond, report main learning goal set for the session achieved (such as increased confidence in dealing with FOI requests)	IAP BAU 2 CEP BAU 6,7	Managing the organisation – SMT minutes
Publish and maintain guidance, briefings etc	As needed and periodically	Review in line with Register of Key Documents	IAP BAU 7 RegEnf BAU 10	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	IAP BAU 7	Managing the organisation – SMT minutes
Conduct appropriate interventions to improve authority FOI practice and publish summaries of intervention activity	Quarterly	Clear procedures that are monitored and reviewed/ updated in line with Register of Key Documents Publish quarterly reports on intervention activity	RegEnf BAU 7,8	Guide to Information (Class 2) Managing the organisation – SMT minutes

Operational performance		(day = working day) (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	Annually – in accordance with statutory timescales	Independent Auditor's report on the Annual Report and the Audit Report Report laid	PlanRep BAU 1,2,3, PlanRep 1,2,3,4,5	Annual Reports and Accounts
Variance in spend against budget	Annual accounts	Achieve no more than 5% variance	ResMgt BAU 2	Budgets and Expenditure
Maintain a compliant publication scheme and guide to information	Annually	Assurance Report to SMT	IRM BAU 6,7	Managing the organisation – SMT minutes
Up-to-date and effective governance framework	Annually	Assurance Report to SMT	PlanRep BAU 14 PlanRep BAU15	Managing the organisation – SMT minutes
Prompt payment of invoices	Annually	95% of undisputed invoices in 10 days or fewer 100% of undisputed invoices in 30 days or fewer	ResMgt BAU 3	Managing the organisation – SMT minutes
Information and Records Management	Annually	Assurance Report to SMT Manage Key Documents as per agreed review programme	IRM BAU 2 IRM BAU 4	Managing the organisation – SMT minutes
Time taken to respond to enquiries	Six-monthly	*Respond to enquiries* 90% in 5 days 95% in 20 days	PlanRep BAU 9	Managing the organisation – SMT minutes
Compliance with FOISA/ EIRs statutory timescales	Quarterly	100% of request responses in 20 days 100% of review responses in 20 days	IRM BAU 8	Managing the organisation – SMT minutes
Compliance with SAR timescales	Quarterly	100% within one month	IRM BAU 9	Managing the organisation – SMT minutes
Compliance with RPSI statutory timescales	Six-monthly	100% of re-use request responses in 20 days 90% of re-use complaints in 20 days	IRM BAU 10	Managing the organisation – SMT minutes

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)*
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