



Commissioner for Ethical Standards in Public Life in Scotland



Annual Business Plan

2017/18

Strategic Objective 1

An accessible complaints process with trusted outcomes

Actions specified in the Strategic Plan	Due date
1 – Accessibility (A)	
a launch an online form for submitting complaints	2018/19
i Plan further when decision has been taken on Website redesign and procurement	
b Finalise revised investigation guidelines	31/05/17
c Review publication of web summaries	30/06/17
d Review web materials	30/06/17

2 – Case Management (B)	
a improve or replace the Case Management System (CMS) (costs cover all four years)	2019/20
i Tender for and appoint a supplier for the CMS	
ii Develop the CMS with the supplier	
iii Test the CMS	
iv Implement the CMS, including staff training	March 2018

3 – User Experience (C)	
a prepare and publish service standards	2017/18
i Publish service standards	30/06/17
b explore options for recording levels of complaint satisfaction	On Hold
i Post CMS – automated follow up request	TBC
ii Consider when to commence, ie Survey Monkey can commence anytime	01/04/18

4 – Remit (D)		
a	prepare for registration of the interests of MSPs and introduction of a lobbying register	2017/18
i	Identify staff responsible for investigation and undertake training	30/06/17
ii	Development Investigation Procedures and agree	31/10/17
iii	Implement Procedures	January 2018

5 – Resource Allocation		
b	develop and publish online a list of the factors which may be taken into account in making decisions on the prioritisation of complaints about councillors and members of public bodies	2017/18
i	Revise Complaint Leaflet/How to make a complaint information	30/06/17
ii	Publish on website	30/06/17

Performance measures		Due date
Complaints against councillors and members of public bodies		
1	Numbers of complaints and cases received	Collated / reviewed monthly and published in Annual Report
2	Categories and originators of complaints	
3	Numbers of complaints and cases completed	
4	Outcome of complaints and cases	
5	Decisions following a public hearing held by the SCS.	
6	Performance against targets for initial assessment and for completion of investigations	
Complaints against MSPs		
6	Numbers and categories of complaints	Collated / reviewed monthly and published in Annual Report
7	Numbers proceeding and time taken for admissibility and investigation stages	

Strategic Objective 2

Public boards which are effective, and reflective of society

Actions Specified in the Strategic Plan	Due Date
1 – Scottish Government Public Boards Governance and Diversity Improvement	
a Continue to work with officials in the Scottish Government to develop, co-ordinate and implement actions to improve on board diversity and thereby enhance board governance.	2017/18
i Use the Driver Diagram agreed with SG officials in 2016/17 to develop a new action plan based on the current draft	August 2017
ii Work in partnership with officials to implement agreed actions in the plan that are appropriate for the Commissioner's staff and/or PAAs to fulfil. Key actions already identified and brought forward include:	N/A – dates for specific actions below
1. Taking part in awareness events and in outreach activity that is targeted at currently underrepresented groups	Ongoing – 4 per annum
2. Working with officials and boards on positive action measures such as training people from underrepresented groups to increase their chances of applying successfully	Ongoing – 2 per annum
3. Reporting the results of the revised applicant survey	June 2017 (plus content in annual report)
4. Rolling out the research project with the intent of assessing in due course the impact that more diverse appointments are having on board governance and-	April 2017
5. Reporting stage one research findings	January 2018
iii New actions include:	
1. Running, along with officials, a mentoring scheme with the purpose of developing current members from underrepresented groups to become chairs in the future. Assessing scheme effectiveness.	February 2018
2. Further stakeholder mapping to identify and engage with additional sources of applicants from currently underrepresented groups.	May 2017
3. Assisting officials with new board member induction	Ongoing – two per year
4. Working with officials to develop a plan of action specifically intended to redress underrepresentation of disabled people.	August 2017

2 – Partnership Approach (E)		
a	continue to work in partnership with the Scottish Government public appointments team to implement the agreed approach to forward planning. (costs cover all four years)	2019/20
i	Working with officials to enhance strategic planning for appointment activity by allocating PAAs at the long term strategic planning stage before appointment rounds are agreed and in train	2017/18
ii	Allocate PAAs to rounds on which their involvement will increase and enhance both understanding and assurance and will likely lead to more diverse boards	2017/18

3 – Review of 2013 Code (F)		
a	conduct a full review of the effectiveness of the 2013 Code during the period of this plan (costs allocated to 2016/17, 2018/19 and 2019/20)	2019/20
i	Conduct stage 3 of the thematic review of the 2013 Code's operation. This will be a review of progress against the recommendations made in the report on stage 2 of the thematic review. Initial scope for this will include:	2017/18
	1. effectiveness of the lessons learned process	Commences November 2017, Reports March 2018.
	2. board succession planning	Commences October 2017. Reports May 2018.
	3. the impact of diversity on board governance	Commences April 2017 Report on stage one Jan 2018.

Performance measures		Due Date
1	Numbers of regulated bodies and posts	Published in Annual Report
2	Number of appointment rounds initiated and completed	
3	Number of applications and appointments	
4	Time taken for individual stages of appointment rounds	
5	Timing of re-appointments	
6	Numbers of people appointed who have not previously held and do not currently hold a regulated appointment	
7	Satisfaction levels with appointment process	
8	Changes in demographic profile of applicants, appointees and board membership	
9	Performance against Diversity Delivers targets	

Annual Actions		Due Date
1	Conduct ad hoc reviews of material produced during appointment rounds in relation to the advice and/or reports from the PAAs allocated to those rounds.	One per PAA per annum
2	Review all PAA contacts with office and conduct annual SLA discussion to discuss performance, training needs and trends	Once per PAA per annum. Tranches in Sep/Oct and Jan - Mar
3	Conduct investigations into complaints or reports of potential material non-compliance, write draft reports of findings in accordance with laid down guidelines	As required
4	Provide training for panel members if/when requested	As required
5	Post case studies of examples of successful new approaches on website.	When PAAs advise round is appropriate for study.
6	Complete upgrade of the current appointments database to enhance its reporting capabilities and to increase on the return rate of stakeholder views.	June 2017
7	Circulate PAA end of involvement reports.	Monthly
8	Maintain mechanism for tracking legislation that removes or adds bodies from/to the CESPLS remit in respect of appointments.	Monthly

Managing resources

Actions Specified in the Strategic Plan	Due Date
1 – Budget Limits	
a manage expenditure within the budget limits agreed annually with the SPCB	Annually
i Provide regular financial reports to the Management Team.	Monthly
ii Develop additional forms of management information to identify areas of risk and further improvements to processes	July 2017
iii Review the business plan and consider budget pressures	Quarterly

2 – Key Resource	
a find ways of maintaining and where possible improving job satisfaction and performance	TBC
i Ensure that staff policies and terms and conditions reflect current legislation and good practice.	Annually
ii Develop method for providing additional support for financial activities and CMS implementation.	TBC

3 – Communication	
a maintain good channels of communication with the SPCB, committees of the Parliament, Ministers, officials of the Scottish Government and public bodies and to work in partnership wherever possible.	TBC
i Offer subject matter induction meetings to all new Clerks to relevant committees	Ongoing
ii Continue membership of specialist subject-related groups. For example, the Scottish Information Commissioner's Part 7 Network Group.	Ongoing

4 – Website (G)	
a review and where appropriate improve the accessibility, clarity, consistency and ease of use of the website.	2017/18
i Develop project plan for review and improvement of website.	April 2017
ii Seek funding for improvement of website	June 2017
iii Tender for improvement of website	July 2017

Performance measures		Due Date
1	Performance against budget and annual business plan targets	Monthly and published in Annual Report

Annual Actions		Due Date
1	Develop a Memorandum of Understanding with the National Records of Scotland for the transfer of archive records.	September 2017
2	Agree a Framework Agreement with the Scottish Parliamentary Corporate Body.	Driven by the SPCB
3	Identify key risks to the business, ensure mitigating actions are in place and review regularly	May 2017 onwards
4	Develop a revised format annual report and accounts.	July 2017
5	Prepare a budget for 2018/19	August 2017
6	Draft the business plan for 2018/19	February 2018
7	Review the Commissioner's Publication Scheme and Guide to Information	August 2017
8	Review the Commissioner's Records Management Plan	June and December 2017
9	Prepare for the introduction of the General Data Protection Regulations	March 2018