

<b>Report to:</b>	QSMTM
<b>Report by:</b>	Liz Brown
<b>Meeting Date:</b>	08 August 2018
<b>Subject/Title:</b>	Information requests and reviews report VC105193
<b>Attached Papers</b>	Summary table VC102747 Exemptions and exceptions applied VC102747 Report analysing the outcomes of requests VC102747

## Purpose of report

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1. The purpose of this report is to:
  - Inform the SMT about information requests and requests for review received
  - Inform the SMT of any exemptions applied in dealing with those information requests

## Recommendation and actions

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2. I recommend:
  - (i) the SMT is asked to note the contents of this report
  - (ii) the SMT notes that information in this report has been uploaded to the stats portal
  - (iii) the report is published in full

## Executive summary

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3. As a Scottish public authority we have statutory obligations to respond to requests we receive for information (including personal information) which we hold. Requests are forwarded, on receipt, to the most appropriate member of staff for a response (all staff respond to information requests). We maintain a full record of all requests in our case management system.

## Volumes of requests

4. Any requests categorised as joint FOISA/EIRs have been included in both the FOISA and the EIR numbers. The attached summary table analyses the statistics in the same way. This reflects the requirement on the FOI portal when entering our stats and, therefore, ensures consistency of reporting.
5. In Q1, 21 requests were received as follows:
  - 15 requests under FOISA
  - 2 request under EIRs
  - 3 subject access requests (SARs)
  - 1 request for review

6. The number of requests (IRs, RFRs and SARs combined) is 50% fewer than in the same quarter for 2017-18 but in line with the figures for the other quarters.

	2017-18	2018-19	% increase/(decrease) over 2016-17
Number received Q1	42	21	(50%)
Number received Q2	17		
Number received Q3	18		
Number received Q4	23		
<b>Total</b>	<b>100</b>		

### Subjects of requests received in the quarter

7. An examination of the synopses of the FOISA/EIRs information requests to date reveals:

	2017-18	Q1	Q2	Q3	Q4	Total	%
Misdirected - sent to us in error, asking for information which is likely to be held by other authorities	43	4				4	24%
Application-related	10	6				6	35%
Functions / services e.g. IT, procurement, policies	25	7				7	41%
Other	9	0				0	0%
<b>TOTAL</b>	<b>87</b>	<b>17</b>				<b>17</b>	<b>100%</b>

### Outcomes of requests

8. For the requirement of the stats portal, responses are recorded in the quarter they are made, which may not be the same quarter in which the receipt of the request was recorded. For requests made under FOISA and EIRs, the following outcomes were recorded:

	2017-18	Q1	Q2	Q3	Q4	Total	%
Information provided in full	13	6					
Information partially supplied	15	0					
Information not held	59	7					
Information refused (exempt)	1	2					
Neither confirm nor deny	0	0					
Clarification not provided	2	0					
Repeated request	1	0					
Request withdrawn	2	0					
Request invalid	0	0					
Vexatious	0	0					
<b>TOTAL</b>	<b>93</b>	<b>15</b>					

9. The attached table shows the exemptions and exceptions which were applied.

### Timescales for compliance

Description	Target	Q1	Q2	Q3	Q4	Total
Request response: 5 days or fewer	60%	60%				60%
Request response: 20 days or fewer	100%	100%				100%

### Requests for review analysis

10. The analysis is:

- (i) There was 1 request for review in Q1 but it was invalid.
- (ii) This data has therefore not been recorded in stats portal.
- (iii) There were no open requests for review at 30 June 2018.

### Subject access requests analysis

- 11. An additional table has been added to the summary detailing how SARs have been dealt with.
- 12. We previously reported on the number of SARs received but not how they were dealt with.
- 13. 1 SAR was closed in the quarter on the same day it was received.
- 14. There were 2 SARs open at 30 June 2018.
- 15. Guidance is needed on the calculation to use when reporting on time taken to respond to SARs.
- 16. The SAR table in the summary and this section can be removed if they are not required.

### National comparators

- 17. The national comparators table has been removed as it is out of date. The spreadsheet (VC49415) from which this data is derived has not been maintained. If a comparison is still required, staff resources will be required to update the spreadsheet.

### Anomaly with 1 case

- 18. Case 201800415 was originally recorded in Workpro as a FOISA request. The categorisation was changed to a SAR on the 29 March 2018 and was therefore reported as a SAR for annual report purposes. The case was closed on the 5<sup>th</sup> April as a SAR. It was changed back to a FOISA request on the 23 April 2018 and closed at review stage on the 5<sup>th</sup> May. For the purposes of these statistics, it has been recorded as a SAR to reflect the annual report statistics.

### Risk impact

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- 19. Section 15 of the Operational Risk Register applies (robust systems for dealing with RFIs and SARs).

### Equalities impact

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- 20. Equalities issues were considered when writing the SIC's guidance and procedures on responding to information requests (VC85601). No requests for special assistance have been received.

### Resources impact

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21. Requests can be demanding on officer time due to the deadlines for response and the research that may be required to identify relevant information. However, it is not possible to quantify the exact amount of officer time spent responding to requests or on reviews.

### **Operational/ strategic plan impact**

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22. The guidance and procedures for handling information requests aim to ensure consistency of approach across the office and improve the efficiency of the process.

### **Records management impact (including any key documents actions)**

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23. None.

### **Consultation and Communication**

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24. None.

### **Publication**

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25. This committee report should be published in full.