

# **Procedures for Handling Information Requests**

General Data Protection Regulations Data Protection Act 2018 Freedom of Information Act 2000 Environmental Information Regulations 2004

# Contents

Section 1	1 - Introduction	4
1.0	Background	4
2.0	Scope	4
3.0	Purpose of Procedures	4
4.0	Summary of Procedures	5
5.0	Potential Outcomes of a request	6
Section 2	2 – Guidance for all staff	7
1.0	What is a request?	7
2.0	Who can make a request?	7
3.0	Recording the date of incoming requests.	7
4.0	Duty to provide advice and assistance	8
5.0	Assessing request for information	8
6.0	Routine Requests	8
7.0	Complex and other requests	9
8.0	Authority to release	10
9.0	What is information?	10
10.0	Criminal Offences	10
Section 3	3 – Guidance for Heads of Department and Senior Leaders	11
1.0	Which statutory regime applies – GDPR/DPA, EIR or FOIA?	
1.1 Prot	Subject Access Requests under the General Data Protection Regulations ("GDPR" tection Act 2018 ("DPA")	
1.2	The Environmental Information Regulations 2004 ("EIR")	11
1.3	The Freedom of Information Act 2000 ("FOIA")	12
1.4	'Mixed' Requests	12
1.5	Table summarising the main features of GDPR/DPA, FOIA & EIR requests	12
2.0	What information is covered by the right of access?	13
3.0	Acknowledging the request	14
4.0	How long do I have to reply?	14
5.0	Cost and Fees	15
6.0.	The limits of your duty to answer requests	15
6.1	Procedural limitations	15
6.2	Substantive limitations	16
7.0	Considerations before release	17
7.1	Consultation with third parties	

7.2	Authority to Release	,
8.0	Releasing Information	,
8.1	Means of disclosure17	,
8.2	Copyright	3
9.0	Refusing to release information 18	3
10	Redactions 19	)
11	Monitoring Decisions	)
12.	Publication Scheme	)
Section 4	– Decision Review Procedure	)
1.0	Background	)
2.0	Internal Reviews 21	L
3.0	Who conducts them?	L
4.0	How is an internal review to be conducted?	L
5.0	What are the timescales?	L
6.0	A different result for the requester?	)
7.0	Role of the Information Commissioner 22	)
8.0	Role of the Information Tribunal	;
	<ul> <li>Subject Access Requests under the General Data Protection Regulations and Data Protection</li> <li>23</li> </ul>	
1.0	Background 23	;
2.0	Is it a subject access request?	;
3.0	Do you have enough information to be sure of the requester's identity? 24	ł
4.0	Do you need more information from the requester to find what they want? 24	ł
5.0	Are you charging a fee?	ł
6.0	Do you have the information the requester wants?24	ł
7.0	Will the information be changed between receiving the request and sending the response? 24	ł
8.0	Does it include information about other people?25	;
9.0	Are you obliged to supply the information?	,
10.0	Does the information include any complex terms or codes?	;
11.0	Prepare the response	;
	- Glossary	

# Section 1 - Introduction

#### 1.0 Background

- 1.1 Stamford Park Trust is committed to meeting its obligations under the General Data Protection Regulations (GDPR), Data Protection Act 2018 (DPA), the Freedom of Information Act 2000 (FOIA) and the Environmental Regulations Act 2004 (EIR).
- 1.2 The FOIA provides greater access to information held by the trust in two ways:
  - by requiring the trust to maintain a publication scheme; and
  - by giving individuals the right of access, on request, to information held by the trust.
- 1.3 There are two aspects to the rights of access:
  - the right to be told whether or not the trust holds the information; and
  - if it is held, to have the information communicated to them

These access rights apply to all recorded information which is held by the trust (subject to limited exceptions).

- 1.4 The FOIA supplements access rights, such as subject access rights under the GDPR and the Data Protection Act 2018, and works alongside access rights introduced by the Environmental Information Regulations 2004.
- 2.0 Scope
- 2.1 This is the trust's procedure for dealing with all requests for information received.
- 2.2 Any individual or corporate body within or outside the UK, has the right to access recorded information held by or on behalf of the trust, subject only to the limitations and conditions contained in the FOIA and other legislation.
- 2.3 All requests must be handled in compliance with the FOIA legislative requirements. A request may only be refused if the information is exempt from disclosure or, where an exemption is qualified, a public interest test has been applied to determine if the public interest is best served by withholding or releasing the information.
- 2.4 The FOIA exempts personal information about the requester covered by the subject access rights under the GDPR and DPA and environmental information falling within the EIR. Once it has been determined that an information request should be considered under one of these separate regimes, reference should be made to the relevant GDPR/DPA or EIR legislative provisions.

#### 3.0 Purpose of Procedures

3.1 This procedure gives advice to staff handling all requests for information. It explains how to recognise requests identified as 'routine' or 'complex', it clarifies roles and responsibilities at each stage of the decision making process and it assists staff in identifying whether a request should be considered under the FOIA, EIR or GDPR/DPA legislative regime.

- 3.2 No procedures can be expected to eliminate the risk of erroneous decisions entirely, but it is essential that procedures are in place to acknowledge and manage those risks. In particular, these procedures should assist in ensuring:
  - That staff, at all levels, are able to correctly identify the relative complexity of requests received and whether they can be handled locally or should be referred to the Data Protection Officer.
  - That staff understand and act on new obligations to provide a requester with advice and assistance in formulating their request for information or in directing their request to the correct organisation
  - That staff meet the stringent 20 working day deadline for response laid down in the FOIA, or 1 calendar month deadline for response laid down the in the GDPR/DPA, as applicable.
  - That decisions relating to the release, or withholding, of information are taken at the appropriate level, being Head of Department level or above.

#### 4.0 Summary of Procedures

#### Stage 1

- 4.1 A request will arrive, either be e-mail, letter or fax (or, if sufficiently straightforward, by telephone).
- 4.2 The recipient of the request (who can be any member of staff within the trust) will assess whether it is a 'routine' request or 'complex' request.
- 4.3 If the recipient determines it is a 'routine' request (i.e. what are the library opening times?), the recipient's department will deal with the request and supply the information as part of normal business procedures. All correspondence must be answered within 20 working days.
- 4.4 If the information is already available via the Trust's publication scheme (INSERT HYPERLINK TO PUBLICATION SCHEME ON WEBSITE) the recipient may provide the information (subject to any fee chargeable under the publication scheme for a copy) or may advise the requester to consult the Publication Scheme direct.
- 4.5 If the recipient determines that it is a 'complex' request, the request will be referred to the Data Protection Officer for management. This will normally occur by logging the request at reception@asfc.ac.uk.

#### Stage 2

- 4.6 The Data Protection Officer will determine whether the request falls under the FOIA, the EIR or GDPR/DPA regime and deal with the request according to the correct procedure.
- 4.7 If the request falls under the FOIA or the EIR, the request should be answered within 20 working days, subject to limited exceptions.
- 4.8 If the request falls under the DPA regime, the request should be answered within 1 calendar month, subject to limited exemptions (see Section 5 Subject Access Requests).

- 4.9 If the request is for information that falls under more than one statutory regime (for example GDPR/DPA and FOIA), the different parts of the request should be considered separately under the relevant statutory regimes.
- 4.10 If the request is for information from more than one department, the Data Protection Officer must pass on the relevant aspects of the request to the other department as quickly as possible. Each department will then remain responsible for dealing with their part of the request.
- 4.11 If the request is for a type of information not normally held by the Trust but which might be held by another public authority, wherever possible the requester should be given the name and contact details of that other authority.
- 4.12 Decisions to refuse an FOIA request must be made in accordance with the FOIA legislation. Refusal decisions must be approved by the Data Protection Officer or CEO and detailed reason for the refusal documented.

#### Stage 3

4.13 If the information has been withheld, the requester is entitled to challenge that decision and can ask the Trust to conduct an internal review of the decision. This is an opportunity to consider a case completely afresh and will trigger the involvement of the Deputy Principal/Principal as decision maker for the first time.

#### Stage 4

4.14 If the refusal to release is upheld at the internal review stage, and the requester is still not satisfied with the decision, the requester can complain to the Information Commissioner. The Information Commissioner can issue a decision notice setting out his views on whether the FOIA has been complied with. Where a breach of the FOIA is identified, the notice will specify the steps which must be taken by the Trust to comply.

#### Stage 5

4.15 If either the Trust or the requester is unhappy with the decision of the Information Commissioner, they can appeal to the First Tier Tribunal (Information Rights).

#### 5.0 Potential Outcomes of a request

- 5.1 There are generally 5 possible outcomes to an FOIA request:
  - the type of information requested is not held by the Trust and, where ever possible, the requester is given advice and assistance to contact the relevant organisation holding the information
  - the Trust decides it is not obligated to respond for procedural reasons (i.e. the cost limit is exceeded, the requester fails or refuses to pay the fee or the request is considered vexatious/ repetitious, or the Trust no longer holds the specific information requested)
  - the Trust holds the requested information and decides to release what it holds
  - the requested information is subject to a qualified exemption and it is decided, after balancing the public interest test, that the best interests of the public is served by withholding the information. Consideration should be given to whether the Trust should refuse to confirm or deny that it holds the information

- the requested information is subject to an absolute exemption and is withheld. Consideration should be given to whether the Trust should refuse to confirm or deny that it holds the information.
- 5.2 requesters must always be informed in writing of the outcome of their request. The decision to release or refuse to release information must be made or approved by the Data Protection Officer or CEO. The decision maker must be willing and able to justify and evidence their decision making process.

# Section 2 – Guidance for all staff

- 1.0 What is a request?
- 1.1 Any request for information is a request to which these procedures potentially apply.
- 1.2 Requests may be in any form and do not have to mention the Freedom of Information Act or any other legislation. The only restrictions are that they:
  - must give the requester's name and a return or correspondence address. There is no
    obligation to comply with a request for information if it does not give a return address. If
    a request is received by email and, although no postal address is given, the email address
    of the sender is included, then this should be treated as the return address.
  - must describe the information that is requested. In some circumstances, requesters may
    not at first describe the information sufficiently precisely for you to be clear about what
    they want, and you may have to ask them for further information to identify the information
    requested. If you inform the requester that this is the case then you are not obliged to
    comply with the request until the further precision is received. However, there is an
    obligation to provide the requester with advice and assistance so far as it is reasonable
    to do so.
  - must be made in writing. This includes letters and any transmission by electronic means, such as e-mail or fax. The request must also be received in a legible form. Where appropriate, you should offer advice and assistance to help requesters put their request into writing.

Please note: The requester does not have to tell you why they want the information.

#### 2.0 Who can make a request?

- 2.1 Anyone can make a request for information. The FOIA makes no distinction between requests from people who are citizens of, or who are currently in the UK, Europe or any country in the world. All requests must be treated the same, irrespective of the country of origin.
- 2.2 Requests from overseas may be in a foreign language. You should reply to the request, asking that they re-frame their request in English.
- 3.0 Recording the date of incoming requests.
- 3.1 The time limit for responding to a request starts to run from the date at which a request is received by the Trust.

- 3.2 A request is 'received' when it is delivered to the Trust or when it is delivered to the inbox of a member of staff. The date of receipt is not the date the request is passed to the appropriate person for processing.
- 3.3 Written enquiries which do not automatically generate the date of receipt, must be marked with the date of receipt and internal post arrangements reviewed to ensure incoming correspondence reaches its destination promptly.

#### 4.0 Duty to provide advice and assistance

- 4.1 All staff are under a duty to provide advice and assistance, so far as it would be reasonable to do so, to people who have made or who propose to make requests for information. This duty applies throughout the life cycle of a request.
- 4.2 The duty may involve advising people how to make a request or making a written note of requests for people who make the request by telephone. Alternatively, you may refer a requester to an independent body, such as a Citizen's Advice Bureau, so that body can help the requester frame their request.
- 4.3 requesters may fail to describe the information sufficiently precisely for you to be clear about what they want. In these circumstances you should ask them for further clarification to help identify the information requested.
- 4.4 When asking for further clarification from the requester, you should consider the most appropriate way of obtaining it. It may be quicker to e-mail or telephone the requester. You are not obliged to comply with the request until you receive the further clarification.
- 4.5 A request for information may be very broad (e.g. seeking all information on a topic over many years). In these situations you may wish to give advice and assistance to the requester to help focus and narrow the request.
- 4.6 It is important that you keep a detailed record of any letters, e-mails and telephone conversations with requesters in the course of providing advice and assistance. There must be a clear audit trail which can be inspected at any time by the Information Commissioner.

#### 5.0 Assessing request for information

- 5.1 The key to the successful management of information requests is being able to discriminate between straightforward 'routine' requests and requests which require more careful processing.
- 5.2 When a request is received, the staff member receiving the request must decide whether the request can be considered a 'routine' request (and so can be dealt with locally by the department receiving the request) or whether it is another type of request which should be referred to the Data Protection Officer.
- 5.3 It can sometimes be difficult to assess at first glance the complexity of a request. Staff will need to rely on their own judgement to spot the cases that need more careful handling, but if you are uncertain, discuss it with your Head of Department or the Data Protection Officer.

#### 6.0 Routine Requests

6.1 These are the straightforward requests for information that the Trust dealt with as a matter of course before FOIA came into force. Examples include asking for copies of documents

produced by your department, asking for contact details, asking for term dates or details of courses that your department provides or copies of pre-existing published leaflets.

- 6.2 These straightforward requests, which involve the release of the requested information, can be dealt with as normal by the department receiving the request. There is no need to fully engage logging procedures or refer these kinds of requests any further.
- 6.3 If the information is in the Trust's publication scheme and can be easily provided by the person receiving the request, it can be considered 'routine'.
- 6.4 If you are uncertain as to whether a request can be considered 'routine', discuss it with your Head of Department or the Data Protection Officer.

Please note: even with 'routine' requests, the 20 working days deadline for response must still be adhered to, so staff must ensure that they provide the requested information within 20 working days. Should you consider that you may have difficulties in meeting this deadline, you should refer it to the Data Protection Officer.

#### 7.0 Complex and other requests

- 7.1 This heading refers to any request that is not 'routine'. These include requests that might otherwise be refused, requests for information which go beyond the normal day-to-day correspondence or requests relating to personal information about the requester. 'Complex' requests include:
  - requests where it is unclear as to whether or not the information sought is exempt;
  - requests which relate to issues which have a high public profile;
  - requests which may be part of an orchestrated campaign.
  - mixed requests (i.e. that comprises elements of DPA, EIR and FOIA)
  - requests which may relate to information held by more than one department
  - any requests for personal information about the requester (i.e. subject access requests under the DPA).
  - requests where, as part of normal office procedures, you would normally refuse to disclose the information.
  - requests where the requested information contains references to external third parties or private individuals.
  - requests which may involve consultation with other public bodies, third parties or private individuals;
  - requests for large volumes of information where it might cost more than £450 (or approx 2.5 days of an employee's time) to find, sort, edit or redact the requested material
  - requests where there may be a legal restriction or prohibition on release
  - requests which relate to financial interests of the Trust or a third party
  - the most complex and sensitive requests which need referral to the Data Protection Officer for guidance and advice.
- 7.2 If you consider a request to be 'complex' you should refer the request to the Data Protection Officer for management.
- 7.3 If a request specifically refers to Freedom of Information or the Environmental Information Regulations or Data Protection/ Subject Access it should be formally referred to the Data Protection Officer, even though the request would otherwise be considered 'routine' and the information released as part of everyday business procedures. In these situations, where you may be about to or have already released the information, a note should be made when

referring the request. This will mean the request can be closed without fully engaging the monitoring and decision making process.

7.4 It can sometimes be difficult to assess at first glance the complexity of a request for information or to judge whether it needs to be logged. You will need to rely on your own judgement to spot the cases that need more careful handling, but if you are uncertain, discuss it with the Data Protection Officer. It is always safer to log the request if you are uncertain how to categorise it.

#### 8.0 Authority to release

- 8.1 Before making any decision on releasing information or on applying an exemption, you should ensure that you have the appropriate authority to make the decision.
- 8.2 For "routine" requests any member of staff has authority to release the information, however refusal must be approved by the Data Protection Officer or CEO.
- 8.3 Complex requests should be allocated to the Data Protection Officer for management and the decision to release or refuse to release information must be made or approved by the Data Protection Officer or CEO.
- 8.4 The Data Protection Officer or CEO must be willing and able to justify and evidence their decision making process.

#### 9.0 What is information?

- 9.1 A request can relate to information recorded in any form. This includes information that is held electronically (such as on a laptop computer or an electronic records management system), information that is recorded on paper (such as a letter, memorandum or papers in a file), sound and video recordings (such as a CD or video tape), it will even include notes that have been written in the margins of a document, note pad or post-it note.
- 9.2 It is important to note that FOIA entitles individuals to have access to information, not to documents. It may often be the case that the easiest way to provide the information is to supply a copy of the relevant document since a document may contain the information that has been requested. However, it may also contain a great deal of other information, to which exemptions may apply. This means some of the information may have to be redacted, or a summary of the information provided, but you may not be able to simply withhold the whole document. If you are uncertain about releasing all a document, it should be referred to the Data Protection Officer.
- 9.3 If the requested information is spread over a number of documents, consideration should be given to releasing all those documents. You may, alternatively, consider it more appropriate to produce a summary of that information (this will be subject to any request by the requester for information to be provided in a particular form, for example, by sending a copy of the information). However, you will be under no obligation to produce new documents (that are not already held by the Trust) in order to respond to a particular request.

#### 10.0 Criminal Offences

10.1 It is a criminal offence for any person to alter, deface, block, erase, destroy or conceal any record held by the Trust, with the intention of preventing the disclosure by the Trust of all or any part of the relevant information.

10.2 This offence may be committed by any person who is employed by the Trust and is punishable by a personal fine of up to £5000.

## Section 3 – Guidance for Heads of Department and Senior Leaders

#### 1.0 Which statutory regime applies – GDPR/DPA, EIR or FOIA?

Different types of information requests must be processed in different ways, depending on whether those requests are governed by the Freedom of Information Act 2000 ("the FOIA"), the Environmental Information Regulations ("the EIR), the General Data Protection Regulations ("the GDPR") and/or the Data Protection Act 2018 ("the DPA"). One of the key differences between the regimes is that the Trust has 20 working days to respond to an information request made under the FOIA or the EIR, but 1 calendar month to a request made under the GDPR/DPA.

# 1.1 Subject Access Requests under the General Data Protection Regulations ("GDPR") and the Data Protection Act 2018 ("DPA")

- 1.1.1 The GDPR and Data Protection Act protect people's right to private life in two ways:
  - they set out six data protection principles that people must comply with when they deal with and disclose personal data;
  - they give individuals a number of specific legal rights, including the right of access to their personal data.
  - The full rights are:
    - The right to be informed
    - The right of access
    - The right to rectification
    - The right to erasure
    - The right to restrict processing
    - The right to data portability
    - The right to object
    - Rights in relation to automated decision making and profiling.
- 1.1.2 If an individual requests personal data about themselves, this is known as a "subject access request" and the request will be governed by the provisions of the GDPR and DPA.
- 1.1.3 The main features of the processing of subject access requests are:
  - they apply to all personal data that is held by public authorities;
  - the public authority must reply within 1 calendar month;
  - the request does not have to cite the GDPR or Data Protection Act; and
  - there are a number of exemptions from the right of access.
- 1.1.4 If a request for information is to any extent a "subject access request" then it must to that extent be dealt with in accordance with the GDPR and DPA. It is important that all staff are able to recognise a subject access request and refer it to the Data Protection Officer.
- 1.2 The Environmental Information Regulations 2004 ("EIR")
- 1.2.1 Like the FOIA the EIR give access rights to any person, anywhere in the world, but they deal specifically with information relating to any decisions, activities and policy formulation that may have an impact on the environment.
- 1.2.2 The definition of environmental information is broad and includes such things as water pollution statistics, information about the built environment, the food chain, details of the

Trust's health and safety policies, cost benefit analysis, details of discharges and emissions, and any information relating to policies, plans and programmes that affect, or are likely to affect, the environment.

- 1.2.3 The main features of the Environmental Information Regulations are:
  - Requests may be made orally or in writing.
  - The Trust must reply within 20 working days.
  - There is a limited range of exemptions, all of which are subject to a public interest test.
  - There is no upper limit for the cost of meeting a request beyond which the request may be refused
- 1.2.4 Environmental information is exempt information under section 39 of FOIA. Any request for environmental information must be dealt with under the EIR regime
- 1.2.5 The most important factor to remember is that if you are considering refusing a request for Environmental Information, then you must be able to (1) apply one of the available exceptions under EIR and (2) make sure that withholding the information is in the public interest. The exemptions under FOIA are not relevant.
- 1.3 The Freedom of Information Act 2000 ("FOIA")
- 1.3.1 The key provisions of the FOIA are described in Section 1, Paragraph 1 above.
- 1.3.2 If a request does not fall under the subject access provisions of the DPA (i.e. the request is not about personal information relating to the requester) and if the request does not fall under the provisions of the EIR (i.e. it does not relate to 'environmental information) then the request should be considered as an FOIA request. The procedures set out in these guidelines should be followed.
- 1.4 'Mixed' Requests
- 1.4.1 A mixed request is where a requester requests information which needs to be considered under more than one of the FOIA, EIR or DPA access to information regimes. Mixed requests should generally be referred to the Data Protection Officer for management.
- 1.4.2 When responding to a mixed request, you should try to ensure that the request is dealt with within the closest timescale. For instance, a request which contains information which is both personal information under the DPA and information to be considered under the FOIA should aim to be dealt with within 20 working days. If you are not able to comply with this, you should ensure that a decision subject to FOIA or EIR is provided within 20 working days. You should acknowledge in the decision letter that you are considering the release of other information under the DPA and let the requester know when they can expect the further information.
- 1.5 Table summarising the main features of GDPR/DPA, FOIA & EIR requests

Access	Subject matter	Time Limit	Cost	Exemptions	Coverage
Regime	_			-	

Freedom of Information	All information not accessible under GDPR/DPA or EIR	20 working days from receipt of the request	No fee for information requests which cost less than £450 – but can charge for disbursements, i.e. copying, posting	<ul> <li>23 exemptions, two different types:</li> <li>(i) Qualified – subject to a public interest test</li> <li>(ii) Absolute exemption</li> </ul>	UK Government departments plus public bodies in England, Wales and Northern Ireland Scotland has a separate Act.
Data Protection	Personal Information	1 calendar month	There is no charge for providing personal information, however we may charge for additional copies. If we believe the request to be 'manifestly unfounded or excessive' we may ask for a reasonable fee for administrative costs associated with the request.	Limited range of exemptions, not subject to public interest test. Some vary considerably from those in the FOIA.	UK Application
Environmental Information Regulations	Environmental Information	20 working days	Fees may be charges and no upper limit for the cost of meeting a request beyond which the request must be refused.	Limited range of exemptions, all of which involve the public interest test	

#### 2.0 What information is covered by the right of access?

- 2.1 All recorded information held by the Trust is covered by the right of access. "Holding" information includes holding a copy of a record produced or supplied by someone else. If you are unsure whether or not the Trust "holds" the requested information, seek advice from the Data Protection Officer.
- 2.2 From time to time, you will receive requests for information which the Trust does not hold, but which may be held by another public authority. You should let the requester know that the Trust does not hold the information in question but that the information may be held by someone else and suggest they re-apply to the other public authority. Whenever possible you must provide the requester with the contact details of that other public authority.

#### 3.0 Acknowledging the request

3.1 Acknowledging requests is a matter of good customer service. However, if the request is simple to deal with and you can respond fully within 5 working days, you may feel that acknowledging the request prior to responding is unnecessary. However, where a response is likely to take more than 5 working days to prepare, for instance in the more complex cases, you should acknowledge the request prior to providing the full response.

#### 4.0 How long do I have to reply?

- 4.1 You should respond:
  - **Promptly**; and
  - in any event **not later than 20 working days** following the date on which the request was received. The 20 working days starts to run from the date the request is received by the Trust, not the date at which it reaches the correct member of staff.
- 4.2 The obligation is to reply promptly and not more than 20 working days following receipt. You should not delay until the end of the 20 day period if there is no reason why the information cannot be provided earlier.
- 4.3 If the request is not for your department to deal with but for someone else within the Trust you must refer or reallocate the request within 2 working days to ensure that the time limit can be complied with.
- 4.4 If only part of the request relates to your department, you must refer the remainder of the request to the relevant person or department within 2 working days. **Do not wait until you have dealt with your part of the request before passing the remainder on**. When referring only part of a request, you should advise which part of the request you have retained. It is also best practice to let the requester know who is dealing with which parts of their request in any acknowledgement letter.
- 4.5 **What are working days?** 'Working Days' are all days except Saturdays and Sundays, Christmas Day and Good Friday, and Bank Holidays anywhere in the UK.
- 4.6 **Provisions for extra time**. There are a number of provisions for extra time when responding to a request:
  - **Requesting clarification**. In some circumstances a request may not describe the information sufficiently clearly, or it may be too broad, for the Trust to be able to respond. In these circumstances further clarification should be requested in order to be able to identify the information requested. You should consider the most appropriate way of obtaining it. It may be quicker to e-mail or, as a matter of good customer service, telephone the requester. The 20 working day clock will not start to run until the receipt of such further clarification.
  - **Fees**. The timescale is put on hold if, after initial consideration of the request, a fee is requested. The timescale remains on hold whilst you are waiting for the fee to be paid. There are only very limited circumstances in which a Fee (as opposed to disbursements) will be requested (i.e. when the request will cost more than £450 to find, edit sort and redact the information). Before requesting a fee, please consult with the Data Protection Officer.
  - **Disbursements**. You are entitled to and may consider it is appropriate to charge for disbursements (i.e. the cost of photocopying and/or postage). The 20 working day clock will stop while you are waiting for disbursements to be paid.

• Applying the Public Interest Test. If the information being sought has to be considered under an exemption to which the public interest test applies, then the timescale can be extended in limited circumstances (for example, to take account of the need to consult third parties). The requester must be advised of the revised date by which you expect to reach a decision. If you exceed the estimated time you gave to the requester, you should explain to the requester the reason for the delay. If you find, while considering the public interest, that the estimate given is proving unrealistic, you should ensure that you keep the requester informed.

**Please note**: You should not extend the time for considering the Public Interest Test without prior consultation with the Data Protection Officer.

All extended time periods should be recorded with reasons for why the time has been extended.

#### 5.0 Cost and Fees

- 5.1 The FOIA provides that public authorities are not required to comply with expensive requests.
- 5.2 If it would cost more than £450 for the Trust to respond to an FOIA request then the Trust need not comply with it. The £450 limit covers the time taken to find, sort, edit or redact material. It relates to approximately 2.5 days work at £25 per hour. It does not cover the time taken to consider whether an exemption applies and the public interest test.
- 5.3 This £450 limit assumes that the Trust has appropriate record management systems in place. If it takes a long time to find a record as a direct consequence of poor record keeping practices, this will not be sufficient to justify applying the £450 limit.
- 5.4 Complying with FOIA requests which would cost more than this £450 ceiling is discretionary and it is unlikely that the Trust could comply with such requests.
- 5.5 For requests which would cost less than the ceiling, no standard fee may be charged, but you can charge the full cost of disbursements (photocopying, printing and posting).

#### 6.0. The limits of your duty to answer requests

There are two kinds of limitation on the rights of access to information:

- procedural limitations set out in Part 1 of the Act; and
- substantive exemptions which are set out in Part 2 of the Act.

#### 6.1 Procedural limitations

- 6.1.1 There are a limited number of procedural reasons why you need not comply with a request for information. For example:
  - the information is not held by the Trust
  - the request does not sufficiently identify the information sought
  - the cost of complying exceeds the fees limit of £450

There are two additional procedural limitations of which you need to be aware, these relate to whether the request is repetitious or vexatious.

6.1.2 **Repeated requests.** If the Trust has previously complied with a request for information that was made by a particular person, it does not need to comply with a repeated request from

the same person (i.e. an identical or substantially similar request), unless a reasonable period of time has elapsed between compliance with the first request and receipt of the second.

6.1.3 **Vexatious Requests**. A vexatious request is determined by the information requested, not the person making the request. An individual cannot be classified as a vexatious Requestor. An individual can make as many requests for information as he/she wishes and cannot be labelled as vexatious, each of their requests must be determined on a case-by-case basis. However, if a request is not a genuine endeavour to access information for its own sake, but is aimed at disrupting the work of an authority, or harassing individuals in it, then it may well be vexatious. Vexatiousness needs to be assessed in all the circumstances of an individual case. You should always contact the Data Protection Officer if you consider that a request might be vexatious.

#### 6.2 Substantive limitations

- 6.2.1 FOIA contains 23 exemptions to the right of access. These exemptions set the boundaries to the rights of access: if information is exempt then individuals do not have a right of access to it under FOIA. These boundaries are extremely important, and in some cases applying an exemption to an information request may involve quite complex exercises of judgement. There are two types of exemption under FOIA; 'Absolute' and Qualified'.
- 6.2.2 **Absolute Exemptions.** If you receive a request for information that falls within the terms of an absolute exemption, it does not have to be released under the FOIA and no additional public interest evaluation is required. However the duty to provide good quality advice and assistance to the individual making the request remains. In most cases you should explain clearly and promptly the reasons why the information cannot be made available (but see paragraph 9.2)

These are the absolute exemptions most likely to apply to the Trust:

- Section 21 Information accessible by other means
- Section 40: Personal Information (subject to certain qualifications). Please Note: This is not an exemption to release of information, but means the request should be considered under the DPA provisions.
- Section 41 Information provided in Confidence
- Section 44 Prohibitions on disclosure
- 6.2.3 **Qualified Exemptions.** Qualified exemptions are subject to a public interest test. This means it is not sufficient to establish that the information falls within the terms of a qualified exemption. It is also necessary to consider whether the public interest nevertheless requires that the information should be released, i.e. does the public interest in withholding the information outweigh the public interest in disclosing the information.

These are the qualified exemptions most likely to apply to the Trust:

- Section 22 Information intended for future publication
- Section 36 Prejudice to effective conduct of public affairs
- Section 38 Health and safety
- Section 39 Environmental information (this is not an exemption to release, but means that the request should be considered under the EIR procedures)
- Section 40 Personal information (subject to exceptions)
- Section 43 Commercial interests
- 6.2.4 More detailed guidance on FOI Exemptions can be found on the Information Commissioner's website at:

http://www.ico.gov.uk/for\_organisations/guidance\_index/freedom\_of\_information\_andenvironmental\_information.aspx

6.2.5 **Protective Markings and descriptors** (e.g. Restricted, Confidential) dictate how information is stored, copied and communicated within your department. The fact that a document is protectively marked does not necessarily mean that it is exempt from the right of access under FOIA. However, it may provide an indication that an exemption may apply to some or all of its contents. In order to ascertain whether protectively marked information falls within an exemption, consideration must be given to the sensitivity of the information at the time of a request for disclosure and whether any harm is likely to arise from its release at that time.

#### 7.0 Considerations before release

Set out below are a number of important considerations which need to be taken into account when deciding whether or not to release information.

#### 7.1 Consultation with third parties

When considering the information to be released you should check whether any third party may have sent or supplied the information or have a close and direct interest in it. The Trust may hold third party information concerning:

- Contracts
- Tendering for contracts
- Other commercial information
- Information provided by other public authorities
- Personal information about individuals

Consultation with third parties may play an important part in considering whether exemptions apply, particularly those relating to personal information, confidence and commercial interests. Even where this information is not exempt, you may need to think about informing third parties or obtaining their views on the release of the information.

It is important to remember that where the Trust holds the information, it is under a statutory duty to provide access to the information. The Trust has to take the final view as to whether information should be released and any refusal by a third party to consent to the release of information is not binding. The only real exception to this is when the third party considers that the release of the information would be an actionable breach of confidence. If this is the case, consult with the Data Protection Officer.

#### 7.2 Authority to Release

Before making any decision on releasing information or on applying an exemption, you should ensure that you have the appropriate authority to make the decision. For "routine" requests any member of staff may release the information, however any refusal, or disclosure in relation to complex requests, must be approved by the Data Protection Officer or CEO.

#### 8.0 Releasing Information

#### 8.1 Means of disclosure.

8.1.1 Once a decision has been taken to release information, the key consideration is the form in which it is to be released. The Trust will hold information that is covered by the right of access under FOIA in many different forms. Requesters may ask for information that is included in

minutes of meetings, e-mails, maps, audio recordings, video recordings and information held in any format by your department.

- 8.1.2 If the requester requests a copy of the information in a permanent form, (or any other form acceptable to them), or a summary or digest of the information, or to come and inspect a record containing the information, you must, when considering whether you can release the information, also consider whether it is reasonable to provide the information in the format requested. If it is reasonable to comply with an requester's request as to the form in which information is disclosed, you are obliged to comply with that request
- 8.1.3 When considering whether you can release the information in the format requested by the requester you should consider:
  - a. Whether the format is easily replicable, e.g. can you easily copy the maps requested, do you have audio copying equipment?
  - b. The cost of providing the information in the format requested would providing the information in the format requested by the requester take the cost of processing the request over the fees threshold (i.e. over £450 or approximately 2 and a half days work for one member of staff). If this occurs, you should write to the requester, stating that a fee is payable for releasing the information in the format requested. You should also give active consideration to whether the information can be released in another format which would not incur a cost. If this is possible, you should alert the requester to this fact (see C below).
  - c. Whether it is possible for the requester to view the information at the Trust's offices, rather than incurring the expense of copying the information. (This may depend on the extent of potentially exempt information that may need to be redacted or removed)

#### 8.2 Copyright.

- 8.2.1 Public authorities complying with their statutory duty under sections 1 and 11 of FOIA to release information to a requester are not breaching the Copyright, Designs and Patents Act 1988. FOIA specifically authorises release of the information to a requester, even if it is in such a form as would otherwise breach the copyright interests of a third party.
- 8.2.2 However, the Copyright Designs and Patents Act 1988 will continue to protect the rights of the copyright holder once the information is received by the requester.
- 8.2.3 If the requester wishes to use the information in a way that would infringe copyright, for example by making multiple copies, or issuing copies to the public, he or she would require a licence from the copyright holder. You may wish to seek advice from the Data Protection Officer or the Head of IT and Learning Resources in these situations and you should always bring to the attention of the requester the fact that information is copyrighted.

#### 9.0 Refusing to release information

- 9.1 The decision to refuse a request must be approved by the Data Protection Officer or CEO.
  - If you refuse any part of a request for information in reliance on a substantive exemption, you must explain which exemption you are relying on and why.
  - If the exemption you are relying on is qualified by a public interest test, you must explain why the balance of the public interest comes down against disclosure.
  - If you are considering the application of a qualified exemption and cannot answer within the 20 working day limit, you must (within that limit) inform the requester of which

exemption you are considering and give a time estimate for when you will reply (subject to approval from the Data Protection Officer).

There are limited provisions in the FOIA enabling you not to give these explanations where to do so would itself undermine the exemption in question.

- 9.2 Duty to confirm or deny whether information is held. All but one of the exemptions (section 21- information accessible to requester by other means) also raise the possibility of qualifying the right to be told whether or not the information is held. In many cases, although the information is not disclosed, the duty to confirm whether the information is held may be complied with straightforwardly.
- 9.3 However, there remain circumstances in which even to confirm or deny that information is held is not appropriate. To confirm whether information is or is not held might itself be prejudicial, for example, to a given consideration, and contrary to the public interest. To confirm the existence or the nonexistence of certain information may itself be highly revelatory (for example for a law enforcement authority to confirm that it holds no information about a particular activity might reveal to those involved that their involvement has not been detected).
- 9.4 A decision not to tell an requester whether certain information is held needs to be taken in a similar manner to the substantive decision to refuse to disclose the information that is to say, on the basis of considering whether the exemption is engaged and (where relevant) the balance of the public interest both for and against complying with the section. Where the Trust reaches the conclusion that it has no obligation under FOIA Act to state whether it holds the information requested, the usual manner of doing so is to say that it will neither confirm nor deny whether it holds the information.
- 9.5 It is important that, when you refuse information, you ensure that the requester is given the full reasoning behind the refusal (unless paragraph 9.2 applies). In more complex cases, the precise drafting of refusal letters may be very sensitive. These should always be drafted in consultation with the Data Protection Officer.

#### 10 Redactions

- 10.1 Information which should not be released can be deleted from any document by, for example, 'black-penning' the information to be protected. If a requester has asked for all the information in a particular document but it is necessary to redact some of that information because it is exempt, you should make it clear that redactions have taken place, and cite the relevant exemption as to why the information has been redacted.
- 10.2 It is important to bear in mind however, that FOIA applies to information, and not documents. Whilst the information requested is likely often to be contained in a document, this does not mean that the document has to be released with exempt material redacted from it. Rather, it may be more appropriate to release solely the information that can be released by creating a new document with only that information contained. This is likely to be particularly relevant where the majority of the information contained in the document does not fall within the scope of the requester's request.
- 10.3 If you are making redactions from electronic documents you need to be aware that technological advances may allow redactions to be reversed. If you have to make redactions to documents which will be released in electronic format, you should consider copying the information to a new document, and making an indication where a redaction has taken place and citing the exemption and sending this new document to the requester.

10.4 You may wish to consult with the Data Protection Officer when considering whether redactions are appropriate.

#### 11 Monitoring Decisions

- 11.1 As a matter of good practice, the Trust should record, monitor and track the outcome of 'complex' FOIA requests to
  - Identify implementation issues
  - assess the amount of work generated by FOIA and the related costs of complying
  - ensure that requests are being dealt with within the 20 working day limit
  - ensure the exemptions and the public interest test are being applied consistently
  - identify any lessons from the outcomes of internal and external complaints
  - develop its publication scheme
- 11.2 By ensuring that accurate records are kept of all relevant information requests and that such requests are logged, you will assist the Trust to keep an accurate central record of such information requests. Please forward all requests to the Data Protection Officer for logging.

#### 12. Publication Scheme

- 12.1 The FOIA recognises that the proactive publication of information by public authorities is very much in the public interest. Indeed, it is preferable that public authorities voluntarily put information in the public domain where this is possible, rather than it only being available on request. Section 19 of the FOIA places a duty on public authorities to have a publication scheme. The Trust's publication scheme is on the internet at the following address: https://www.asfc.ac.uk/about-us/stamford-park-trust/statutory-information.
- 12.2 If information is available under the publication scheme, it is likely to be exempt from the individual right of access on request because it is already reasonably accessible to the requester. If a request is received that asks for information which is available under a publication scheme, this will not require a detailed or formal response. In some cases, the response may be no more than to send the information under cover of a compliments slip.
- 12.3 If you have released information in response to a request, whenever possible this request, together with your response, should be anonymised (i.e. the personal details of the requester deleted) and forwarded for inclusion in the Publication Scheme. This will avoid the full FOIA process having to be following the next time the same, or a similar request, is received. For further details please contact the Data Protection Officer.

## Section 4 – Decision Review Procedure

#### 1.0 Background

requesters may be unhappy with the treatment they have received if, for example:

- their application was not dealt with within the 20 working days timescale;
- they did not receive all of the information requested;
- they feel that exemptions have been wrongly applied; and/or
- they feel that a fee has been wrongly charged.

#### 2.0 Internal Reviews

- 2.1 The Trust has a duty to put a complaints process in place to ensure that requesters are able to ask for an internal review. This provides a first review stage for the requesters if they are not content with the decision at first instance.
- 2.2 If you receive a complaint from a dissatisfied requester concerning the Trust's refusal to release information, you must refer the complaint to the Data Protection Officer.
- 2.3 The internal review stage is an opportunity to consider a case completely afresh. The review stage will trigger the involvement of the Principal or Deputy Principal in the decision making process for the first time.

#### 3.0 Who conducts them?

- 3.1 Internal reviews should be conducted by a person who was not party to the original decision on whether to release information. The Principal or Deputy Principal will conduct all such internal reviews, except where paragraph 3.2 below applies.
- 3.2 Should a situation arise whereby the Principal and/or Deputy Principal does not consider it possible for an impartial internal review to be conducted, the Principal will invite the complainant to refer the matter directly to the Information Commissioner.

#### 4.0 How is an internal review to be conducted?

- 4.1 Internal reviews should be a fair and impartial means of reviewing decisions made during the original consideration of whether to release information. All internal reviews must consider the information released against the information requested and make a full review of the papers associated with the original application.
- 4.2 The Principal/Deputy Principal will discuss the decisions made with the Data Protection Officer, or Head of Department, who dealt with the original application in order to build a full picture as to how decisions were made.
- 4.3 After concluding the internal review, the Principal/Deputy Principal will normally discuss conclusions with the Data Protection Officer in order to ensure that any internal processes which may need to be altered are fully reviewed.
- 4.4 The requester will be kept fully informed of the outcome of the internal review. Full records will be kept on the progress of the review and any outcomes resulting from the review. This will assist in any further investigations by the Information Commissioner.

#### 5.0 What are the timescales?

- 5.1 The Trust will undertake an internal review if the request for review is received no later than 40 working days after the date on which the requester believes that the Trust failed to comply with its requirements under the FOIA or the Environmental Information Regulations 2004.
- 5.2 Internal reviews have to be completed in a reasonable timescale. As a matter of best practice the Trust will endeavour to ensure that:
  - Simple considerations should aim to be dealt with within 3 4 weeks of receiving the complaint.

- Complex reviews in particular where it is necessary to reconsider the public interest test should aim to be dealt with within 6 weeks of receiving the complaint (and certainly no less than 40 working days after receiving the complaint).
- 5.3 If it becomes clear at any stage of the internal review that the Trust will not be able to meet any deadline previously notified to the requester, the requester will be advised of this, with reasons, and a secondary deadline will be given for the Trust's response. Every effort must be made to ensure that this is kept to.
- 6.0 A different result for the requester?
- 6.1 An internal review can have two outcomes:
  - The original decision is reversed; or
  - The original decision is upheld.
- 6.2 Where the original decision is reversed the requester will be told, and made aware of when they can expect the information originally requested to be provided to them.
- 6.3 Where the original request is upheld, and the internal review finds in favour of the decision of the Data Protection Officer or Head of Department the requester will be made aware of their further rights of appeal to the Information Commissioners Office and full contact details for the Information Commissioners Office will be provided.
- 6.4 Irrespective of the outcome of the internal review, the final outcome of the review will be recorded.

#### 7.0 Role of the Information Commissioner

- 7.1 The Information Commissioner's Office is the independent statutory body which polices the operation of the Freedom of Information Act, as well as the Data Protection Act.
- 7.2 Under the Freedom of Information Act 2000 the role of the Information Commissioner is as follows:
  - The Commissioner may issue general guidance on good practice, or "practice recommendations" directed at particular authorities.
  - If the Commissioner has received a request for a decision or considers certain information is relevant to determine whether a public authority has complied with Part I of the Act or the Codes of Practice he may serve an information notice on any public authority requiring it to supply that information to him.
  - Where the Information Commissioner considers a complaint, he will issue a decision notice setting out his view on whether the Act has been complied with. Where a breach of the Act is identified, the notice will specify the steps which must be taken by the authority in order to comply with that requirement and the timescale for compliance.
  - If the Commissioner is satisfied that a public authority has failed to comply with any of the requirements of Part I of the Act, he may serve on the authority an enforcement notice requiring the authority to take particular steps within a specified time to comply with those requirements.
  - Failure to comply with an Information, Decision or Enforcement Notice may be dealt with as though the public authority had committed contempt of court.

#### 8.0 Role of the Information Tribunal

- 8.1 The Information Tribunal will hear appeals against notices issued by the Information Commissioner.
  - A complainant or a public authority may appeal to the Information Tribunal against a decision notice. A public authority may also appeal to the Information Tribunal against an information notice or an enforcement notice served on it. On hearing the appeal the Information Tribunal may uphold the notice in its entirety, substitute an alternative notice or dismiss the notice.
  - The decision of the Information Tribunal may in turn be appealed on a point of law to the High Court of Justice (England and Wales).
  - Appeals from these notices can be heard by the Information Tribunal (a tribunal which is specifically for matters concerning enforcement notices or decision notices issued by the Information Commissioner).

# Section 5 – Subject Access Requests under the General Data Protection Regulations and Data Protection Act 2018

#### 1.0 Background

- 1.1 The GDPR and Data Protection Act protect people's right to private life in two ways:
  - it sets out eight data protection principles that people must comply with when they deal with and disclose personal data;
  - it gives individuals a number of specific legal rights, in particular the right of access to their personal data.
- 1.2 If an individual requests personal data about themselves, this is known as a "subject access request" and the request will be governed by the provisions of the GDPR/DPA.
- 1.3 The main features of the processing of subject access requests are:
  - they apply to all personal data that is held by public authorities;
  - the public authority must reply within 1 calendar month;
  - the request does not have to cite the GDPR or Data Protection Act; and
  - there are a number of exemptions from the right of access.
- 1.4 If a request for information is to any extent a "subject access request" then it must to that extent be dealt with in accordance with the DPA. It is important that all staff are able to recognise a subject access request and refer it to the Data Protection Officer.

#### 2.0 Is it a subject access request?

- 2.1 Any written request by an individual asking for their personal information is a subject access request. You can choose to deal with it in one of two ways: as a routine enquiry, or more formally.
- 2.2 If you can, treat requests that are easily dealt with as routine matters, in the normal course of business; for example:
  - What dates did I attend the school/college?
  - What qualifications did I gain?

- What is my current school/college attendance?
- 2.3 The following are more likely to be treated formally:
  - Please send me a copy of my education records.
  - I am a solicitor acting on behalf of my client and request a copy of his educational records. Appropriate authority is enclosed.

#### 3.0 Do you have enough information to be sure of the requester's identity?

3.1 You must ensure that you check the requester's identity. For current pupils or students, it may be sufficient to check their school or college ID card. For past pupils or students, it is usually recommended to check 2 forms of ID including one confirming their address. This should be a recent bank statement, council tax bill, utility bill or driving licence. If the request is for a pupil under the age of 16, information can only be requested by a parent with parental responsibility and 2 forms of ID would need to be checked.

#### 4.0 Do you need more information from the requester to find what they want?

- 4.1 Upon receipt of the request, you must assess immediately whether the required information is clearly identified. If you are unsure, you must promptly ask the requester to clarify the scope of their request.
- 4.2 The 1 calendar month in which you must respond starts when you receive all the information you need to help you to find the information.
- 5.0 Are you charging a fee?
- 5.1 A copy of personal data is usually provided free. The Trust may charge for additional copies. The Trust will only charge a fee if it thinks the request is 'manifestly unfounded or excessive'. If so, the requester may be asked for a reasonable fee for administrative costs associated with the request. The Trust does not routinely charge for subject access requests.
- 5.2 If it is decided that a fee will be charged, the 1 calendar month in which you must respond starts when the fee is received along with any further information needed to help to find the information requested.
- 6.0 Do you have the information the requester wants?
- 6.1 If the Trust does not hold the information which the requester wants, you must respond promptly to inform them of this.
- 7.0 Will the information be changed between receiving the request and sending the response?
- 7.1 You can still make routine amendments and deletions to personal information after receiving a request.
- 7.2 You must not make changes to records as a result of receiving the request, even if the information is inaccurate or embarrassing.

#### 8.0 Does it include information about other people?

- 8.1 You will not have to supply the information unless the other people mentioned have given their consent for the disclosure, or it is reasonable to supply the information without their consent.
- 8.2 If you decide not to disclose the other people's information, you should still disclose as much information as possible by redacting the references to them.

#### 9.0 Are you obliged to supply the information?

- 9.1 If all the information that the requester wants is exempt from subject access, then you can reply that you do not hold any of their personal data that you are required to reveal.
- 9.2 You must consult the Data Protection Officer or CEO if you intend to refuse the request.
- 10.0 Does the information include any complex terms or codes?
- 10.1 You must make sure you explain the codes so that the information can be understood.
- 11.0 Prepare the response
- 11.1 You must provide a copy of the information in a permanent form unless the individual agrees otherwise, or doing so would be impossible or involve disproportionate effort.
- 11.2 For advice on preparing your response, more information is available via the Information Commissioner's website <u>www.ico.org.uk</u> or you by contacting the Data Protection Officer.

# Section 6 - Glossary

#### Α

#### Absolute exemption

An <u>exemption</u> that is not subject to any qualification i.e. there is no need to apply the <u>public interest</u> test where information is covered by an Absolute exemption under the Act.

#### С

#### **Category of information**

Information held by a Public Authority must be indexed into classes which may then be further subdivided into categories within the publication scheme.

#### Citizen's Advice Bureau

A professional national agency and registered charity which offers free, confidential, impartial and independent advice to UK citizens. The local office can be found at the following address: Tameside District Citizens Advice Bureau, 9 George Street, ASHTON-UNDER-LYNE, Lancashire, OL6 6AQ, Telephone 0161 330 2156, 0161 331 2928 (MiniCom), fax 0161 3442139

#### Class of information

Information held by a Public Authority must be indexed into classes which may then be further subdivided into categories within the publication scheme

#### Code of Practice

Documented procedures and 'good practice' methods that will help people to comply with the Act.

#### **Complaints policy**

The Trust's documentation of procedures for dealing with complaints by requesters.

#### Contempt of Court

Disobedience or deliberate disregard of the judicial process.

#### Copyright

The ownership of intellectual or creative work.

#### The Copyright, Design and Patents Act 1988

Legislation which, amongst other things, grants copyright owners exclusive rights to print, distribute and copy the work. Permission must be obtained by anyone to reuse the work in this way. Copyright is provided automatically to the author of any original work as soon as it is created.

#### D

#### The Data Protection Act 2018

Legislation which governs the rights of living individuals and responsibilities of the Trust regarding the release of personal information.

#### DPA

The Data Protection Act 2018.

#### **Data Protection Officer**

The person employed by the Trust to advise and assist on compliance with Data Protection legislation.

#### DPO

The Data Protection Officer.

#### Е

#### E-mail

Electronic mail -a communication system for sending and receiving text messages and attached files.

#### EIR

The Environmental Information Regulations 2004

#### **Enforcement Notice**

A notice issued by the Information Commissioner to force a Public Authority to comply with the Act.

#### **Environmental Information Regulations 2004**

Legislation which gives a right of access to environmental information held by Public Authorities

#### Exemption

A description, in the FOIA, of one kind of information that the Trust is not obliged to release under the FOIA.

#### F

#### FOIA

Freedom of Information Act 2000

#### **FOIA Officer**

Freedom of Information Officer - otherwise known as the Information Compliance Officer, the person within the Trust who is ultimately responsible for compliance with the Freedom of Information Act 2000. Within Stamford Park Trust, this is the Chief Executive Officer.

#### Freedom of Information Act 2000

Legislation which gives a right of access to information held by Public Authorities

G

#### **General Data Protection Regulations**

Legislation which governs the rights of living individuals and responsibilities of the Trust regarding the release of personal information.

#### GDPR

The General Data Protection Regulations.

#### Η

#### The Human Rights Act 1998

Legislation which, amongst other things, protects the rights of individuals to privacy in respect of their correspondence.

I

#### Information Commissioner

A UK independent supervisory Authority reporting directly to the UK parliament, the Information Commissioner is responsible for enforcing both the Freedom of Information and Data Protection Acts, spreading information about the Acts, encouraging Authorities to introduce codes of practice, and considering complaints and prosecuting offenders.

#### Information Compliance Officer

Otherwise known as the Freedom of Information Officer, the person within the Trust who is responsible for compliance with the Freedom of Information Act 2000. This is the Chief Executive Officer and all queries for the Information Compliance Officer should be directed via the Data Protection Officer or the PA to the CEO.

#### **Information Tribunal**

The Information Tribunal hears appeals by Local Authorities against notices issued by the Information Commissioner.

#### Ρ

#### Personal data

Information relating to a living individual identifiable either by the data alone or together with other information which is in the possession or likely to come into the possession of the Trust

#### **Publication Scheme**

A Publication Scheme is a guide to classes of information the Trust is committed to publishing, either now or in the future. The Trust's publication scheme can be found at: https://www.asfc.ac.uk/about-us/stamford-park-trust/statutory-information

#### **Public Authority**

A body, person or holder of an office listed under the Act, and publicly owned companies. Examples include government departments, Local Authorities, NHS bodies (hospitals, doctor, dentists, pharmacists and opticians), schools, colleges and universities, the police, the House of Commons, the House of Lords, the Northern Ireland Assembly and the National Assembly for Wales.

#### Public Interest Test

The process of assessing whether or not, on balance, the public will benefit more from information being disclosed to them or withheld from them.

#### Q

#### **Qualified exemption**

The term sometimes used to describe an exemption which is not Absolute. The public interest test seriously limits the scope of these exemptions.

#### R

#### requester

A person who requests information from the Trust.

#### S

#### **Statutory rights**

Rights established in law.

#### Т

#### **Third Party**

A third party means anyone other than the requester.

#### Vexatious

In its simplest form means 'annoying' or 'aggressive' BUT under the Act the term is not likely to be interpreted that simply. A request is NOT vexatious just because:

- The requester takes an opportunity to vent his frustration.
- It is difficult to see why the requester would want the information.
- Considerable effort is required to retrieve the information.

Although the motives of the requester in making the enquiry are irrelevant, look out for requests that can be shown to have been made habitually and without reasonable grounds. You should consult with the Data Protection Officer before refusing requests on these grounds.

# Flowchart of Request Handling under FoIA



27 November 2012 v1.0





