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Llywodraeth Cymru  
Welsh Government

## **Report on the Implementation of Open Government Legislation and Policies during 2017**

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## **Introduction:**

This is the twelfth report the Welsh Government has published on the implementation of open government legislation and policies. This is a retrospective report which describes our experiences during 2017.

The statistics in this report relate to the handling of requests for recorded information under the Data Protection Act 1998 (DPA), the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations 2004 (EIRs). The statistics cover only requests logged by the Welsh Government's Information Rights Unit and exclude "routine" requests and information given out during the normal course of business. As a result, the data is only an indication of the Welsh Government's experiences and performance.

Unless otherwise indicated the data presented in the tables and graphs throughout this report was obtained from the Welsh Government's Request for Information (RFI) Tracking System on 16 October 2018. Please note that percentages are rounded to 1 decimal place in areas which may lead to apparent slight discrepancies between the sum of the constituent items and the total.

This report does not cover requests received by other public authorities in Wales.

## Summary:

In 2017:

- The Welsh Government received 787 requests for recorded information.
- The total number of requests received decreased by 11.1% (from 885 in 2016).
- Of the 787 requests the Welsh Government completed<sup>1</sup> 787 (100%) at the time this report was generated.
- Of the 787 completed requests, 618 (78.5%) were completed within 20 working days and 657 (83.5%) were completed within the statutory deadline<sup>2</sup>.
- Of the 787 completed requests some or all of the information was provided in response to 493 (62.6%).
- The most commonly applied exemptions under FOIA were: section 40: personal information (24.4%), section 21: information accessible to applicant by other means (18.4%), and section 43: commercial interests (12.8%).
- The Welsh Government received a total of 56 complaints (7.1% of requests received) relating to its handling of requests for information.
- Of the 56 internal reviews, the complaint was upheld in 3 cases, partly upheld in 13 cases, the original decision was upheld in 39 cases with 1 complaint withdrawn by the complainant.
- The Information Commissioner's Office investigated 12 complaints<sup>3</sup> (1.5% of requests) and issued a Decision Notice in relation to 6 of them.
- 1 ICO Decision Notice was appealed to the First-tier Tribunal.

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<sup>1</sup> A completed request is a request for recorded information that has been answered by the Welsh Government.

<sup>2</sup> The statutory deadline includes requests answered either within 20 working days or within a permitted extended deadline.

<sup>3</sup> A complaint to the ICO is defined as a formal investigation which has resulted in the ICO issuing a Decision Notice or is otherwise resolved by the ICO.

## Volume of Freedom of Information Requests:

The Welsh Government received 787 requests for recorded information in 2017. Since the commencement of the FOIA on 1 January 2005 the number of requests received each year has fluctuated. There was a 11.1% decrease in the number of requests received in 2017 when compared to 2016.

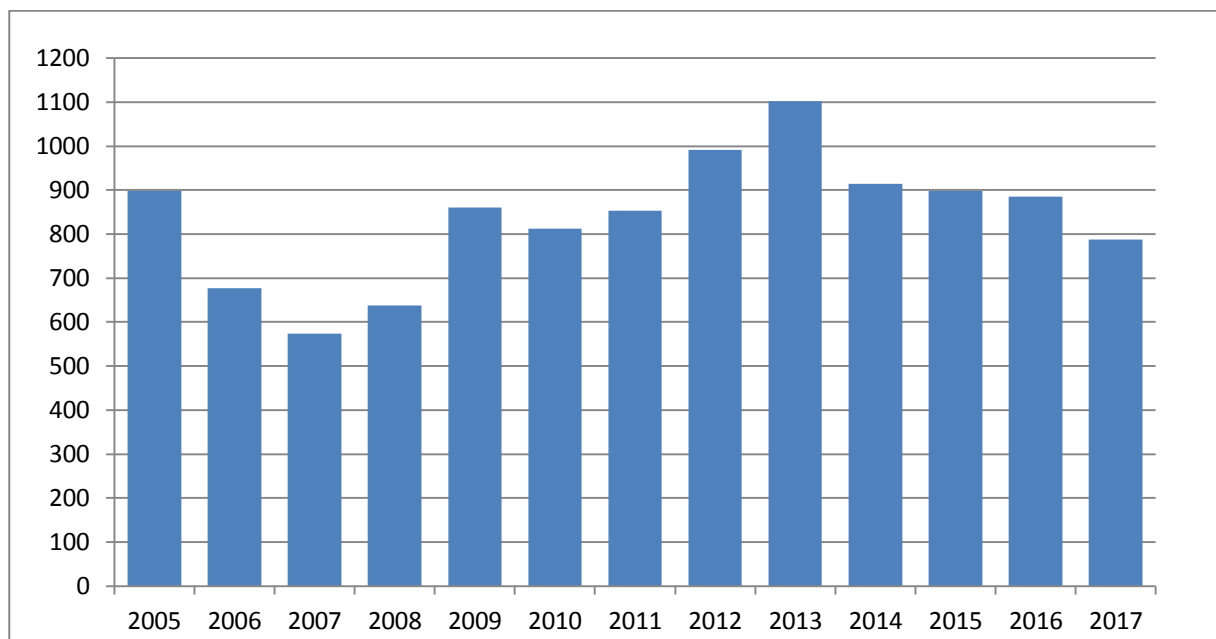
Table 1 and Figure 1 below detail the annual total number of requests for recorded information received by the Welsh Government since 2005.

Table 2 and Figure 2 compare the number of requests received on a month by month basis in 2016 and 2017.

Table 1: Total number of requests for recorded information received 2005-2017

Year	Total number of requests received	Year on year difference (%)
2005	898	-
2006	677	-24.6%
2007	574	-15.2%
2008	638	11.1%
2009	860	34.8%
2010	813	-5.5%
2011	853	4.9%
2012	992	16.3%
2013	1,102	11.1%
2014	914	-17.1%
2015	899	-1.6%
2016	885	-1.6%
2017	787	-11.1%

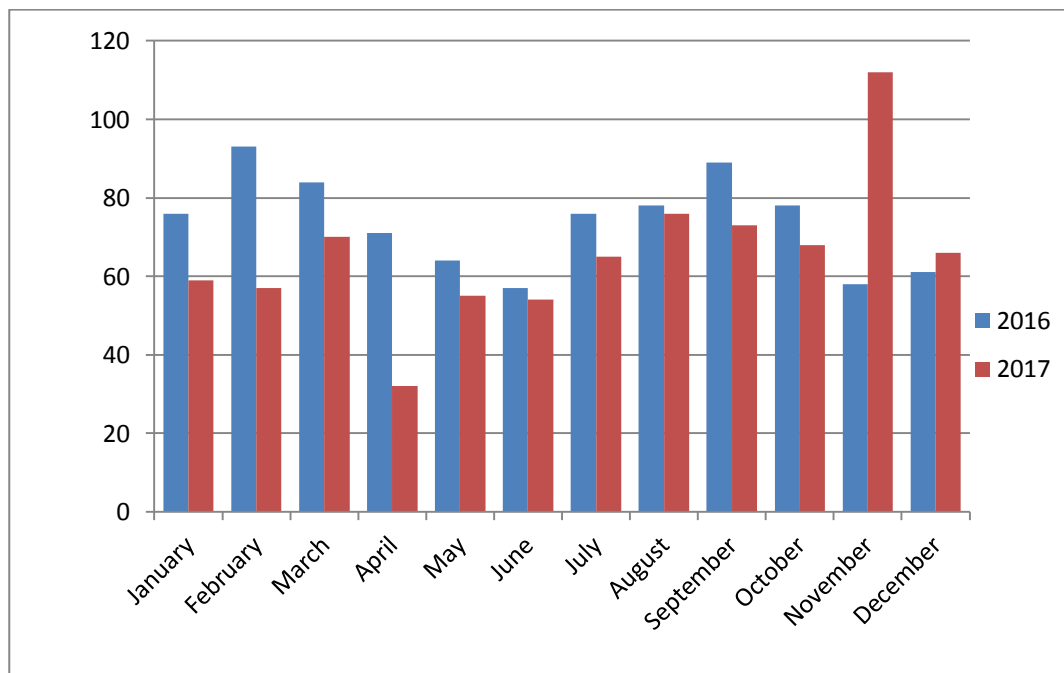
Figure 1: Total number of requests for recorded information received 2005-2017



**Table 2: Number of requests for recorded information received each month during 2016 and 2017**

Month	2016	% of Total	2017	% of Total
January	76	8.6%	59	7.5%
February	93	10.5%	57	7.2%
March	84	9.5%	70	8.9%
April	71	8.0%	32	4.1%
May	64	7.2%	55	7.0%
June	57	6.4%	54	6.9%
July	76	8.6%	65	8.3%
August	78	8.8%	76	9.7%
September	89	10.1%	73	9.3%
October	78	8.8%	68	8.6%
November	58	6.6%	112	14.2%
December	61	6.9%	66	8.4%
<b>Total</b>	<b>885</b>	<b>100%</b>	<b>787</b>	<b>100%</b>

**Figure 2: Number of requests for recorded information received each month during 2016 and 2017**

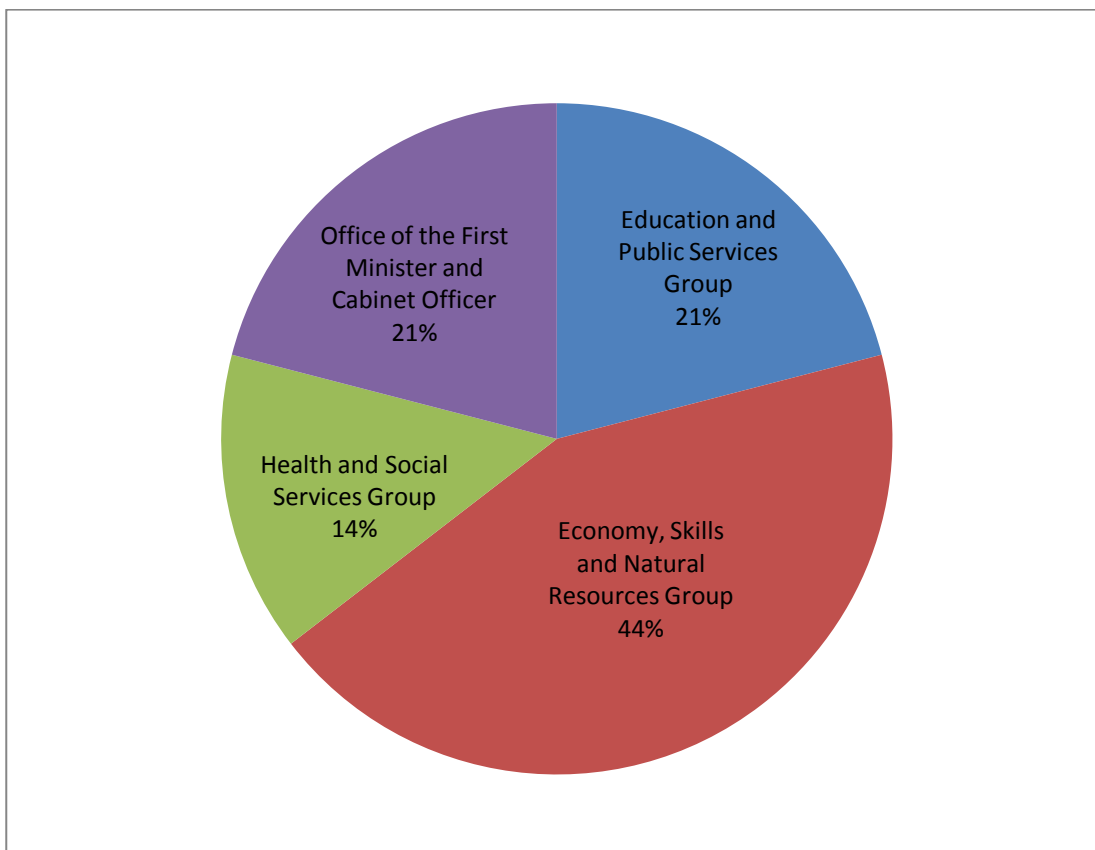


A breakdown by portfolio of the number of requests for recorded information received by the Welsh Government in 2017 is provided within Table 3.

Table 3: Number of requests received by Welsh Government portfolio areas during 2017

Director General Area / Group	2017 Number of Requests	% of Requests
Education and Public Services Group	165	21.0%
Economy, Skills and Natural Resources Group	343	43.6%
Health and Social Services Group	114	14.5%
Office of the First Minister and Cabinet Office	165	21.0%
<b>Total</b>	<b>787</b>	<b>100%</b>

Figure 3: Number of requests received by Welsh Government portfolio areas during 2017



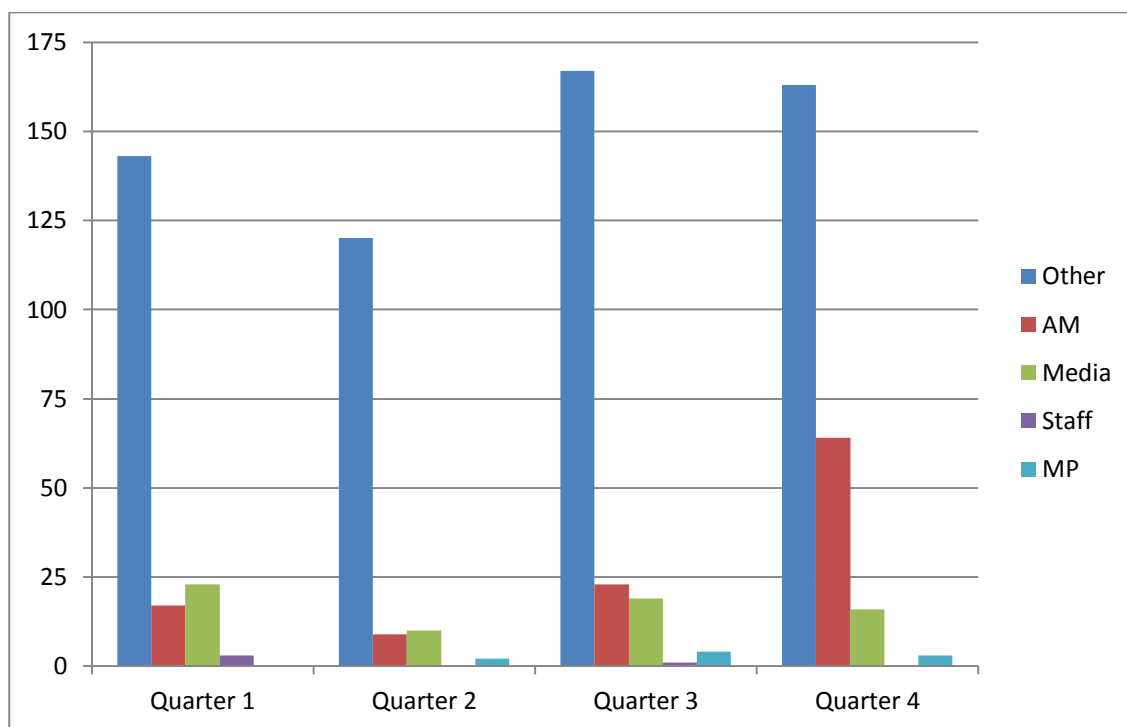
### Category of Requestor:

Over the year, requests from Assembly Members (AMs), the media, staff and Members of Parliament (MPs) accounted for 194 (24.7%) of the 787 requests received. The remaining 593 requests (which amount to 75.3% of all requests) were recorded under the 'Other' category.

**Table 4: Requests received from each type of requester during each quarter of 2017**

	Other	AM	Media	Staff	MP
Quarter 1	143	17	23	3	0
Quarter 2	120	9	10	0	2
Quarter 3	167	23	19	1	4
Quarter 4	163	64	16	0	3
<b>2017 Total</b>	<b>593</b>	<b>113</b>	<b>68</b>	<b>4</b>	<b>9</b>

**Figure 4: Requests received from each type of requester during each quarter of 2017**





## Timeliness of Responses:

The FOIA and EIRs both require public bodies to normally respond to written requests for information within 20 working days of receipt, with limited exceptions. The FOIA allows for a reasonable extension to the 20 working day deadline when considering a public interest tested exemption and the EIRs allow for an extension of a maximum of a further 20 working days if the request is complex and voluminous.

Of the 787 requests, 787 were complete (100.0%) at the time the report was compiled. Of the 787 completed requests, 618 (78.5%) were completed within 20 working days and 657 (83.5%) were completed within the statutory deadline<sup>4</sup>.

Table 5 below details the percentage of requests completed within statutory deadline by the Welsh Government since 2005<sup>5</sup>.

Table 5: Percentage of requests completed within statutory deadline 2005-2017

Year	% completed within statutory deadline
2005	63.3%
2006	64.2%
2007	81.0%
2008	86.2%
2009	82.1%
2010	74.6%
2011	83.0%
2012	89.0%
2013	90.1%
2014	91.0%
2015	86.6%
2016	84.7%
2017	83.5%

<sup>4</sup> The statutory deadline includes requests answered either within 20 working days or within a permitted extended deadline.

<sup>5</sup> The figures for 2005-2008 differ slightly to those published in earlier reports due to open requests subsequently being completed after publication.

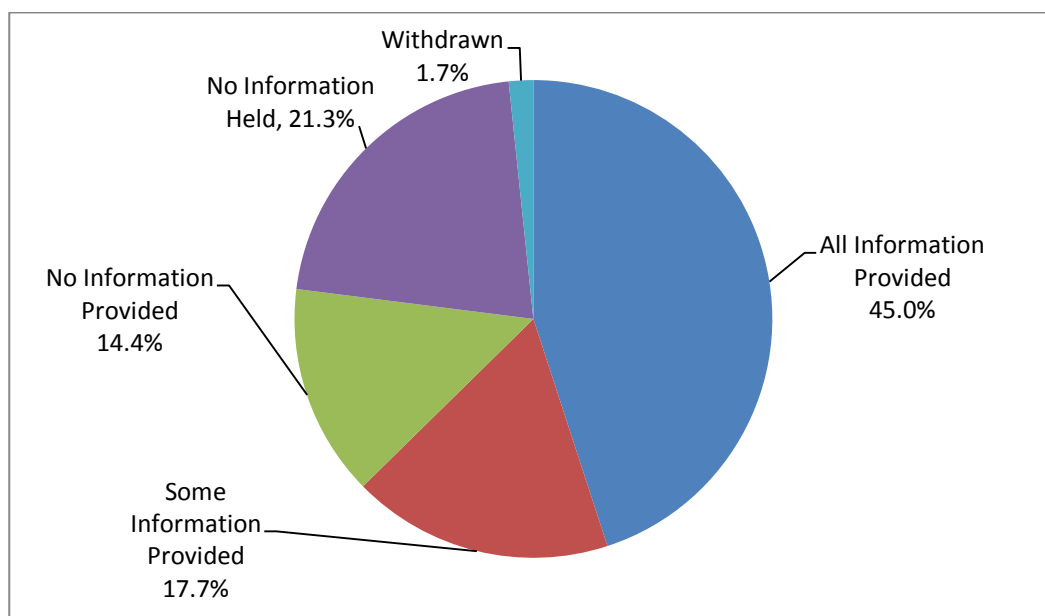
## Outcome of Completed Requests:

The number of completed requests received by the Welsh Government during 2016 and 2017 is shown by completion category in Tables 6a and 6b, and Figures 6a and 6b.

Table 6a: Number of completed requests shown by completion category during 2016 and 2017

Completed Category	2016	% of Total	2017	% of Total
All Information Provided	422	47.7%	354	45.0%
Some Information Provided	137	15.5%	139	17.7%
No Information Provided <sup>6</sup>	152	17.2%	113	14.4%
No Information Held	159	18.0%	168	21.3%
Withdrawn	15	1.7%	13	1.7%
<b>Total</b>	<b>885</b>	<b>100%</b>	<b>787</b>	<b>100%</b>

Figure 6a: Number of completed requests shown by completion category during 2017

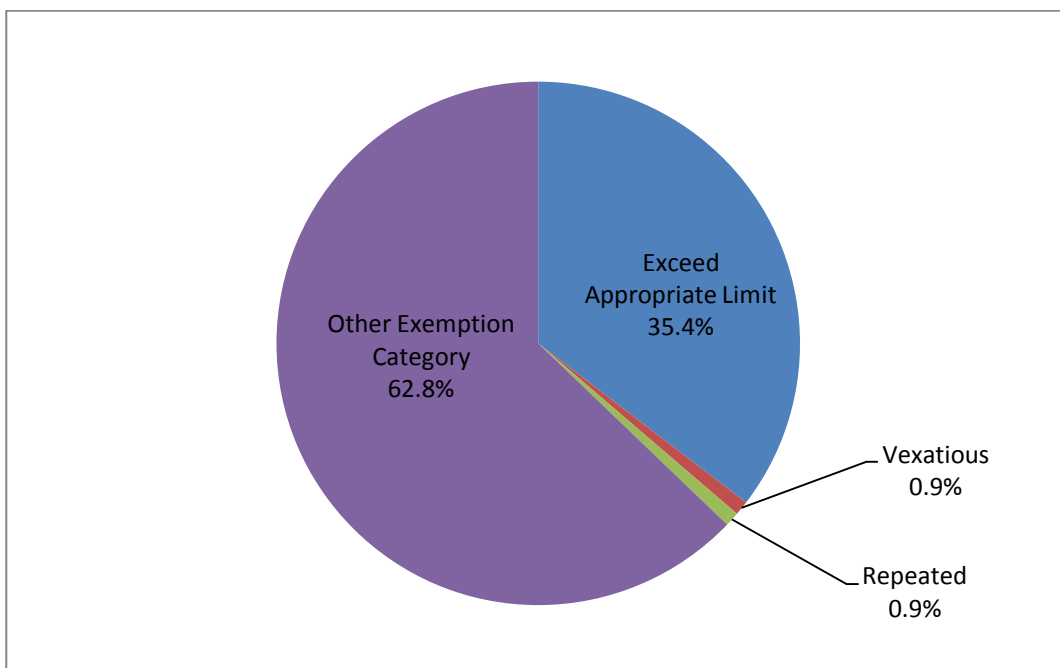


<sup>6</sup> The 'No Information Provided' category includes information withheld in full using one or more exemptions, and those rejected for exceeding the appropriate limit, and being vexatious or repeated requests.

Table 6b: Number of 'No Information Provided' requests broken down by exemption category during 2016 and 2017

No Information Provided Completed Category	2016	% of Total	2017	% of Total
S12 Exceeded Appropriate Limit	52	34.2%	40	35.4%
S14 Vexatious	2	1.3%	1	0.9%
S14 Repeated	3	2.0%	1	0.9%
Information falls into another exemption category <sup>7</sup>	95	62.5%	71	62.8%
<b>Total</b>	<b>152</b>	<b>100%</b>	<b>113</b>	<b>100%</b>

Figure 6b: Number of 'No Information Provided' requests broken down by exemption category during 2017



<sup>7</sup> This includes requests where the information was withheld in full using one or more exemptions/ exceptions listed in the FOIA, EIRs 2004 or DPA other than s12 'cost of compliance exceeds the appropriate limit' and s14 'vexatious or repeated'.

## Use of Exemptions and Exceptions:

Under the FOIA, a public authority can only refuse to provide requested information that it holds if the:

- request is considered to be vexatious or repeated;
- cost of compliance would exceed the 'appropriate limit' (£600);
- fee is not paid;
- information falls into one or more of the categories of exemptions/ exceptions listed in the FOIA, EIRs 2004 or DPA.

Table 7 and Figure 7 details the exemptions and exceptions applied at least ten times by the Welsh Government during 2017. A full list of the exemptions and exceptions can be viewed at Annex A (the figures in Table 7 do not show the number of requests that have had an exemption and/or exception applied to it because it is possible for more than one exemption and/or exception to be applied in relation to individual requests).

Where the Welsh Government has used exemptions and/or exceptions available to withhold information, full explanations have been provided and published in the Disclosure Log which can be viewed on the Welsh Government internet site:

<http://wales.gov.uk/about/foi/responses/?lang=en>

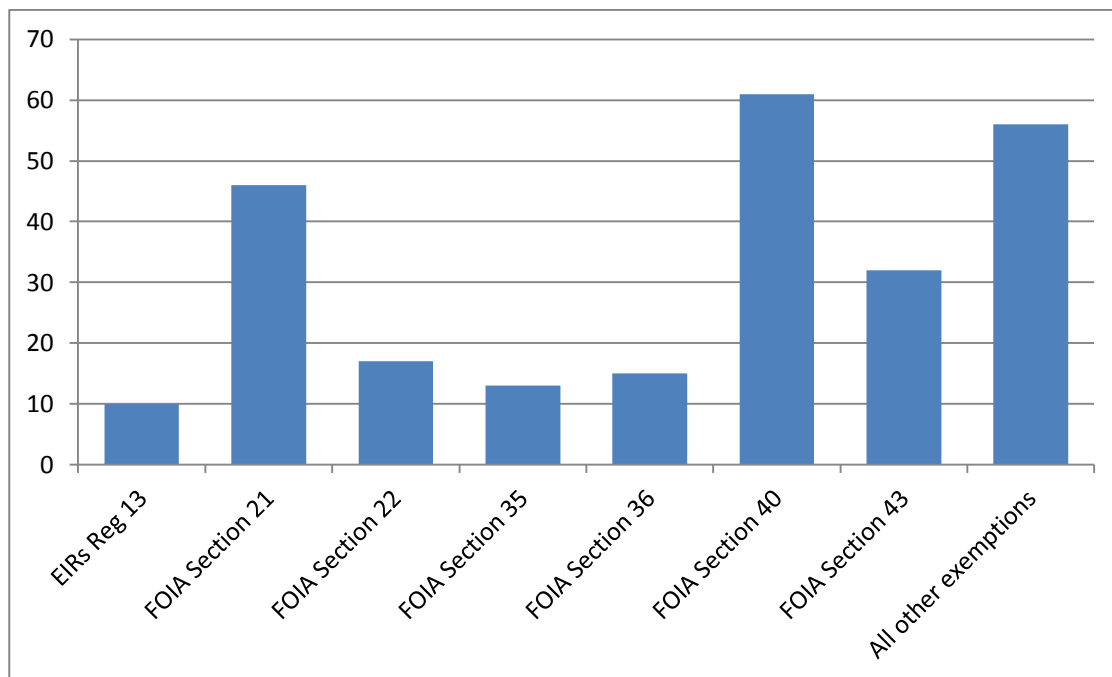
The exemptions most commonly applied were to protect personal information (section 40 FOIA), where the information was accessible to the applicant by other means (section 21 FOIA) and to protect important commercial interests (section 43 FOIA).

Table 7: Use of exemptions and exceptions during 2017

Act-Exemption <sup>8</sup>	2017	% of Total
EIRs Regulation 13	10	4.0%
FOIA Section 21	46	18.4%
FOIA Section 22	17	6.8%
FOIA Section 35	13	5.2%
FOIA Section 36	15	6.0%
FOIA Section 40	61	24.4%
FOIA Section 43	32	12.8%
All other exemptions	56	22.4%
<b>Total</b>	<b>250</b>	<b>100%</b>

<sup>8</sup> A description of the matter to which each exemption relates is provided on the Information Commissioner's website at: <https://ico.org.uk/for-organisations/guidance-index/freedom-of-information-and-environmental-information-regulations/>

**Figure 7: Use of exemptions and exceptions during 2017**



## Internal Reviews:

Requestors can ask the Welsh Government to undertake an internal review if: i) they do not agree with the decision to withhold some or all of the requested information; ii) the request was not dealt with within 20 working days; or iii) they feel that a fee was wrongly charged.

The Welsh Government received 56 complaints in 2017 which equates to 7.1% of requests. This was a decrease compared with 2016 of 5.1%. The Welsh Government has completed an internal review in relation to all 56 complaints.

Table 8: Number of Complaints (2005-2017)

Year	Total number of complaints
2005	14
2006	27
2007	22
2008	21
2009	16
2010	33
2011	33
2012	45
2013	51
2014	41
2015	40
2016	59
2017	56

Source: Records held centrally by Information Rights Unit, Welsh Government

Figure 8: Number of Complaints (2005-2017)

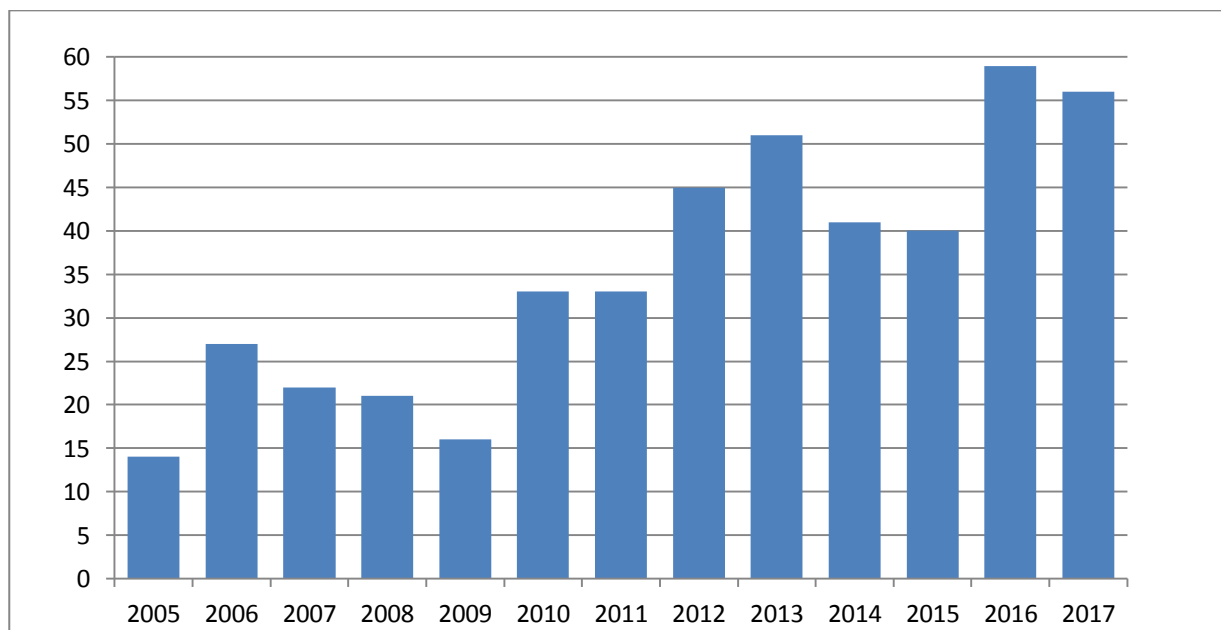


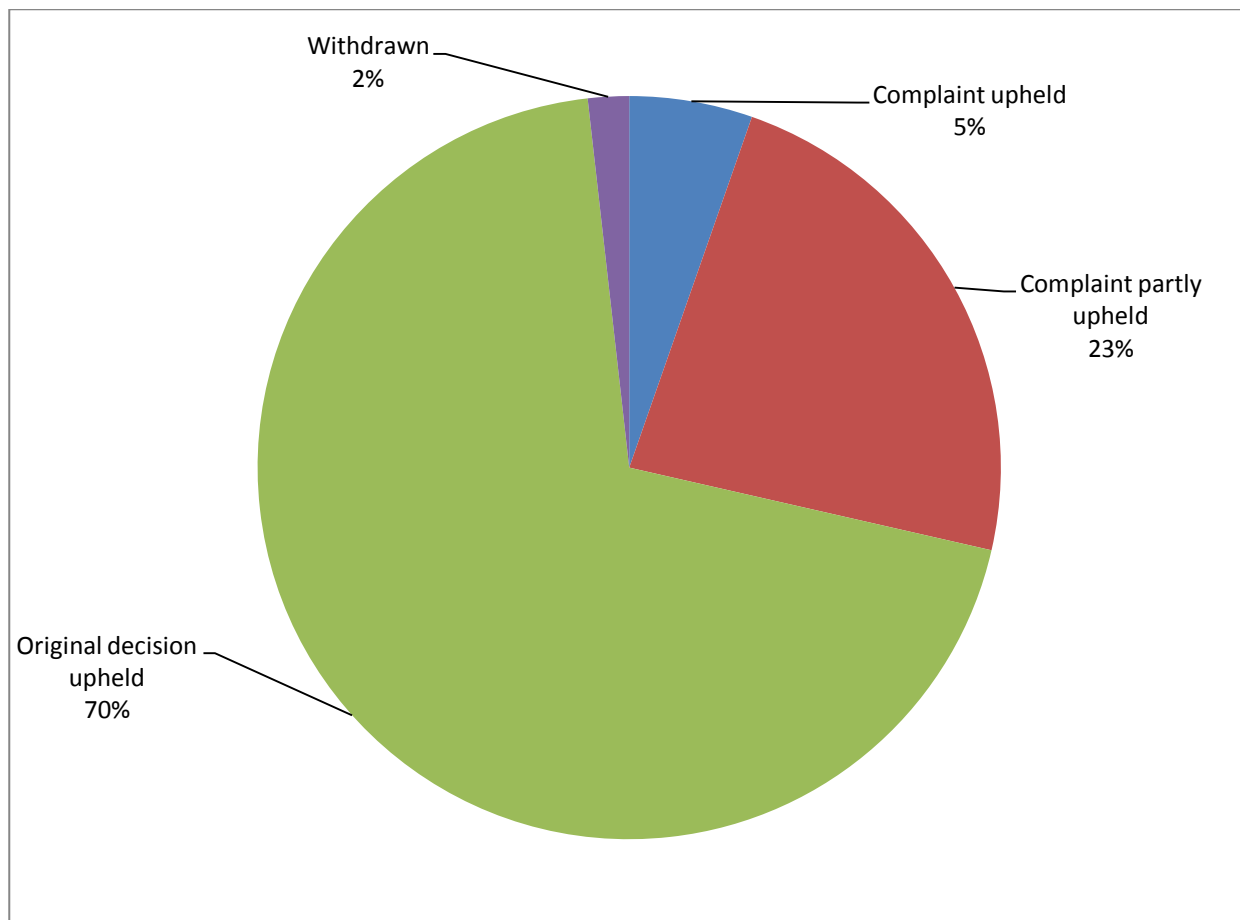
Table 9: Internal review outcomes for 2017

	Number	% of Total
Complaint upheld	3	5.4%
Complaint partly upheld	13	23.2%
Original decision upheld	39	69.6%
Withdrawn	1	1.8%
<b>Total</b>	<b>56</b>	<b>100%</b>

Source: Records held centrally by Information Rights Unit, Welsh Government

Of the 56 internal reviews, the complaint was upheld in 3 cases, partly upheld in 13 cases and the original decision was upheld in 39 cases. 1 internal review was withdrawn by the complainant.

Figure 9: Internal review outcomes for 2017



### **Timeliness of Internal Reviews:**

There is no statutory deadline for completing an internal review. However, the Information Commissioner has issued guidance which states that an internal review should be completed within 20 working days and that in exceptional cases the deadline for completing can be extended to 40 working days.

Of the 56 internal reviews 44 (78.6%) were completed within 20 working days, 11 (19.6%) were completed within 21 to 40 working days and 1 (1.8%) took longer than 40 working days.

### **Appeals to the Information Commissioner:**

If a requestor is not satisfied with the Welsh Government's response, then they can complain to the Information Commissioner's Office (ICO), which is the independent regulator of public authorities in relation to the handling of information requests. Upon receipt of a complaint, the ICO will decide whether to investigate and may subsequently issue a Decision Notice. A Decision Notice is the ICO's final view on whether or not the public authority has complied with the FOIA or EIRs, and what remedial action (if any) needs to be taken. Not all investigations will result in a Decision Notice. Some investigations are resolved informally.

In 2017 the ICO investigated 12 complaints<sup>9</sup> (1.5% of requests). Of the 12 completed investigations 6 decision notices were issued.

### **Appeals to the First-tier Tribunal (Information Rights):**

The First-tier Tribunal (Information Rights) hears appeals against Decision Notices issued by the ICO. In 2017, 1 ICO Decision Notice was appealed to the First-tier Tribunal.

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<sup>9</sup> A complaint to the ICO is defined as a formal investigation which has resulted in the ICO issuing a Decision Notice or is otherwise resolved by the ICO.



## Annex A: Use of exemptions and exceptions during 2017

As outlined in the report the figures below do not show the number of requests that have had an exemption and/or exception applied because it is possible for more than one exemption and/or exception to be applied in relation to individual requests.

<b>Act - Exemption</b>	<b>2017</b>	<b>% of Total</b>
DPA Section 29 – Crime and taxation	1	0.4%
DPA Section 31 – Regulatory activity	1	0.4%
EIRs 12(4)(b) – Request is manifestly unreasonable	2	0.8%
EIRs Reg 12(4)(e) – Internal communications	8	3.2%
EIRs Reg 12(5)(a) – International relations, defence, national security or public safety	2	0.8%
EIRs Reg 12(5)(b) – Course of justice, fair trial, criminal or disciplinary inquiry	1	0.4%
EIRs Reg 12(5)(e) – Confidentiality of commercial or industrial information where confidentiality is provided by law to protect a legitimate commercial interest	1	0.4%
EIRs Reg 12(5)(g) – Protection of the environment to which the information relates	1	0.4%
EIRs Reg 13 – Personal data of third parties	10	4.0%
FOIA Section 21 – Information accessible to the applicant by other means	46	18.4%
FOIA Section 22 – Information intended for future publication	17	6.8%
FOIA Section 24 – National security	1	0.4%
FOIA Section 28 – Relations within the United Kingdom	6	2.4%
FOIA Section 29 – The economy	8	3.2%
FOIA Section 31 – Law enforcement	6	2.4%
FOIA Section 35 – Formation of government policy	13	5.2%
FOIA Section 36 – Effective conduct of public affairs	15	6.0%
FOIA Section 38 – Health and safety	5	2.0%
FOIA Section 40 – Personal Information	61	24.4%
FOIA Section 41 – Information provided in confidence	8	3.2%
FOIA Section 42 – Legal professional privilege	4	1.6%
FOIA Section 43 – Commercial interests	32	12.8%
FOIA Section 44 – Prohibitions on disclosure	1	0.4%
<b>Total</b>	<b>250</b>	<b>100%</b>