



**FREEDOM OF INFORMATION & ENVIRONMENTAL INFORMATION REGULATION
POLICY AND PROCEDURE**

Equality Impact Assessment:	✓
Welsh Language Impact Assessment	
Approved By:	Board
Date Approved:	20 th November 2018
Author:	Governance Officer
Version	1
Review Date:	October 2021

Published on:	Website (✓)	Intranet (✓)	Learner Portal (✓)
	(✓)	(✓)	

Available in large font and other formats on request

This policy is available in Welsh

This copy may be out of date if printed

1. Introduction

The Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations (EIR) place a number of obligations on public authorities to provide access to information held by them. In general, members of the public have the right (subject to a number of exclusions described in this policy) to request information held by the College, regardless of the form it is now held in, when it was created or by whom.

The key purpose of both the FOIA and EIR is to create a culture of openness and transparency in the public sector. This is a principle that Coleg Gwent fully supports and the College will ensure its compliance with legislation by:

- Providing a single point of contact for requests.
- Having a Publication Scheme.
- Ensuring all staff are aware of the requirements under FOIA and EIR.
- Working with other organisations as appropriate to manage and respond to requests.

2. Roles and responsibilities

All members of staff have a legal responsibility to abide by the FOIA and EIR. Specific responsibilities within the College are:

Principal/Chief Executive

- Has overall responsibility to ensure that the College has adequate procedures in place to support this policy.
- Has the authority to decide that information may be withheld under exemptions set out in section 36 of the FOIA.

College Senior Management Team

- Will ensure that this policy is communicated and implemented within their areas of responsibility in the College.
- Will work with the Governance Officer to locate and provide information within the required timescales.
- Will work with the Governance Officer to determine whether a request should be refused under a FOIA exemption.

Governance Officer

- Will act as the single point of contact for requests under FOIA and EIR.
- Will annually review and update the Coleg Gwent Publication Scheme.
- Will ensure this policy is kept up to date.
- Will log and track all requests and ensure a response is provided within the relevant timescale.
- Will store the details of all requestors in accordance with Data Protection and GDPR requirements.
- Will provide advice where needed, to anyone requesting information.
- Will liaise with the relevant CSMT members and teams to prepare responses.
- Will consult with the relevant CMT member prior to issuing a response.

Managers

- Will ensure that requests for information are identified correctly and passed promptly to the Governance Officer.
- Will seek advice from the Governance Officer if in doubt whether a request falls under FOIA/EIR.
- Will ensure that their teams are aware of the requirements of this policy.

Staff

- Will pass any requests for information to their line manager promptly.
- Will seek advice if unsure whether a request falls under FOIA/EIR.
- Will comply with the requirements of this policy.

3. Publication Scheme

Coleg Gwent has in place a Publication Scheme based on the model Publication Scheme for Further Education Colleges approved by the Information Commissioner's Office (ICO). The Publication Scheme is available on the College website and includes details of the type of information held by the College and the format(s) this information is available in, including whether it is routinely available on the College website. This document will be reviewed and updated every two years by the Governance Officer.

4. Privacy Statement

When an individual submits a FOIA/EIR request, the Governance Officer will log the request and provide a response within the required timescale. The Governance Officer may also need to seek clarification or provide information about charges to be applied.

The College will need to hold identity and contact details for each requestor. Information on requests is retained in order to compile statistical information for the College Audit Committee, the ICO and Government Departments. All information will be held in line with the College's Data Protection Policy and retention schedule. A full Privacy Statement can be accessed on the Coleg Gwent website.

5. Identifying a Freedom of Information request

A FOIA request is any request made in a recordable format for specific information. The request may be made by post, or electronic means, including email, fax, audio recording or social media. To be valid, the request must include the name of the requestor and either a postal or email address. Coleg Gwent does not have to respond to anonymous requests for information.

A request does not need to mention the FOIA and in almost all circumstances, any written request for information not routinely provided as part of the day to day operations of the College (e.g. course details, term dates, locations etc.) should be identified as a FOIA request. Any member of staff who receives a request for information must pass it immediately to their line manager who will in turn, forward it to the Governance Officer, or seek further advice.

6. The Right of Access and Duty to Confirm or Deny

Both the FOIA and EIR give the public a general right of access to information recorded and held by the College. This right of access does not include the right to view original documents, although where appropriate, requestors may be offered the opportunity to view originals.

The College also has a duty to confirm or deny whether information is held. The Governance Officer will provide this confirmation when responding to a request. This duty also applies to circumstances where a request is being refused, unless the exemption used specifically removes the duty to confirm or deny.

7. Third party information

The general right of access applies to information held by Coleg Gwent (as a public authority). Any information belonging to another organisation, but which is held by the College also falls within this duty.

Some exemptions cover third party information, but it is not automatically exempt from release; the onus is on the College to establish why third party information should not be released. In considering requests for information provided by the third party, the College will consult with the third party where appropriate.

8. Re-use of information and copyright

All requests for information will be treated at face value. The FOIA states that requestors may not be questioned about their motives or the intended use of the information requested. Even where it is suspected that a requestor has used a false identity, the College must respond. When responding to a request, release of information should be regarded as release to the world at large, however, Coleg Gwent retains the Copyright on any information provided. Requestors are free to use the information for their own purposes, including news reporting, but will be informed that it must not be published or copied in full to other persons without the consent of the College.

9. Assistance and advice

Where a request is unclear, the Governance Officer will contact the requestor to discuss their requirements and clarify what information is required.

10. Timescale for responding to requests

To meet the requirements of FOIA/EIR, the College will respond to requests for information within 20 working days. 'Working days' excludes bank holidays and weekends, but includes normal working days where the College is closed. It is essential therefore that all staff correctly identify and forward requests to the Governance Officer promptly.

The main exceptions to this timescale are:

- When we intend to charge a fee for the information (see section 11) and are awaiting a response from the requestor. The clock will pause until we receive a response.
- When we have asked for clarification of a request. The clock will pause until we receive a response.

11. Charging for information

The College will not charge for the majority of information requested. The FOIA does however allow us to charge a fee for providing information that will require significant time and resources to locate and prepare, resulting in costs in excess of £450. The College will not charge for time spent considering whether to provide requested information.

In consultation with the Vice Principal (Resources & Planning), the Governance Officer will decide whether a fee is to be charged and calculate the fee at a rate of £25.00 per hour. Where the costs of providing the information are considered to be excessive, the Vice Principal (Resources & Planning) may decide that the College will refuse the request.

If a request is to be refused on the basis of cost, or where a fee is to be charged, the Governance Officer will contact the requestor and inform them. The requestor will be offered advice on amending the scope of the request to reduce the cost. Where a fee is requested, the 20 working day 'clock' will be paused pending confirmation that the requestor is willing to pay the fee and receipt of payment.

12. Format of information

Wherever possible, Coleg Gwent will provide information in the format requested. The FOIA states that information should be provided in a 'useable' format. The College will provide information as either:

- A copy in a permanent form
- A summary of the information
- An invitation to inspect the information in person (this may be the case if providing copies will result in a charge being made).

13. Refusing a request – Exemptions under the FOIA

In the interests of openness and transparency, Coleg Gwent will, wherever possible, provide information on request. There will however be situations where it would be inappropriate to disclose information. The College will only refuse a request for information if one of the exemptions set out in the FOIA can be applied. If a manager believes there is a strong case for not releasing information, they must liaise with the Governance Officer and CMT to establish if an exemption can be applied. The assumption should always be that information will be released and the onus is on the holder of the information to establish why it should not.

A total of 24 exemptions are listed in the FOIA, but as each is restrictively interpreted, many will not apply to information held by the College. Details of all the exemptions can be found on the Information Commissioner Office website and those most likely to be applied by the College are listed below. When considering whether to refuse a request for information, the College will take into account whether the exemption that applies is *Absolute* or *Qualified*:

Absolute exemptions can be applied without the additional consideration of the 'Public Interest' test. The duty to confirm or deny if the information is actually held is also exempt (except in the case of Section 21 exemptions).

Qualified Exemptions require the College to apply the *Public Interest Test* when making the decision whether or not to disclose information. This is a reasoned decision as to whether or not the best interests of the public will be served by withholding the information or through its disclosure. When issuing a refusal under a qualified exemption, the refusal notice will include an explanation of how the Public Interest Test has been applied.

The exemptions most likely to be applied by the College when refusing a request are:

(i) **Absolute Exemptions** (Public Interest Test does not need to be applied)

Section 21 - Information readily accessible to the applicant by other means:

Coleg Gwent does not have to provide information if it can be readily accessed, for example, on the website. The duty to confirm or deny however does apply.

Section 40 – Personal information: Information relating to living individuals or identifiable individuals, is subject to the provisions of the Data Protection Act (2018) and the General Data Protection Regulation. If an individual is requesting information about themselves, this will be treated as a subject access request. All requests for personal information will be referred to the Coleg Gwent Data Protection Officer:

Email: DPO@coleggwent.ac.uk

Section 41 – Information provided in confidence: Information is exempt under FOIA if it has been provided to the College by a third party with the reasonable expectation of confidentiality and where the disclosure of that information could result in the third party taking action against the College for breach of confidence.

Section 44 – Where a disclosure is prohibited by other legislation or by a court order.

(ii) **Qualified exemptions** (Public Interest Test must be applied)

Section 22 – Information intended for future publication: A request can be refused where the information is awaiting publication. The decision to publish must have been taken before the request was received and the timescale to publication must be 'reasonable'. This also applies to information held by the College that may be awaiting publication by another organisation.

Section 36 – Information that may prejudice the conduct of public affairs: Where the release of information would adversely affect decision making, free and frank provision of advice or the effective conduct of the business of the College. The decision to refuse a request under this exemption can only be made by the Principal/Chief Executive.

Section 42 – Information covered by legal professional privilege: This mainly applies to the College's communications with its legal advisors.

Section 43 – Commercial Interests: This applies to trade secrets and information that would or is likely to, prejudice the commercial interests of the College or a third party. This could include information provided by other bodies which the College contracts to provide goods and services, or information provided during a tender process.

(iii) **Other reasons to refuse a request**

Vexatious requests: Where a request is designed to harass or waste the College's time and resources, for instance where an orchestrated campaign of requests is made or where the request is clearly of no intrinsic value. Such requests can be difficult to identify and the College will consider such a refusal carefully, with recognition that an individual may submit a request in a state of anger or frustration and this in itself is not a reason to consider the request vexatious.

Repeated requests: Where repeated requests are received from the same individual or organisation for the same information. An identical request cannot be refused if it is from different requestors who are not obviously working together.

Lack of information: If a requester fails to provide further information to clarify their request when asked to do so by the Governance Officer, no further response will be sent.

Excessive Cost: Where the cost of providing the information is considered prohibitively expensive (the Governance Officer will discuss whether the request could be changed to reduce the cost).

14. Environmental Information Regulations

Under the EIR, the public has a right of access to environmental information held by public authorities. In accordance with the presumption of openness contained within the EIR, Coleg Gwent will aim to make a wide range of environmental information readily available, including on its website.

For the purposes of the EIR, 'environmental information' is information held by the College on:

- The state of the elements of the environment, including air, water, soil, land, fauna and humans;
- Emissions and discharges, noise, energy, waste etc.;
- Measures taken that directly affect the environment;
- Reports, cost-benefit and economic analyses relating to activities that impact the environment;
- The state of human health and safety or contamination of the food chain;
- Cultural sites and built structures (to the extent they impact the elements of the environment).

Generally, requests made for information that fall under the EIR will be treated in the same way as FOIA requests. Key differences are:

- A request does not need to be made in a written or recordable format; verbal requests are valid.
- There is a stronger emphasis on openness and transparency, but a number of exemptions can be applied; full details of these can be found on the ICO website.
- The Public Interest Test must be applied to all exemptions.
- The timescale is the same as for FOIA requests, with a greater emphasis on responses being sent as soon as possible, but within 20 working days.
- Charges can be made for information, but there is no set charge. Charges must be 'reasonable' and the College must not routinely charge for environmental information.

All requests for information under the EIR will be logged and responded to by the Governance Officer. Staff and Managers should follow the same procedure as for all other requests for information.

15. Contact details

The point of contact for requests under the FOIA and EIR and any matters in relation to this policy or the Coleg Gwent Publication Scheme, is the Coleg Gwent Governance Officer:

Marie Carter
Governance Officer
Coleg Gwent
The Rhadyr
Usk
NP15 1XJ

Tel: 01495 333519

Email: marie.carter@coleggwent.ac.uk

16. Complaints

Informal complaint

Coleg Gwent aims to handle all requests for information in line with this policy and will seek to resolve complaints on an informal basis wherever possible.

If a requestor is unhappy with the response they receive, they should contact the Governance Officer in the first instance. The Governance Officer will respond to complaints as soon as possible, and within 20 working days.

Formal complaint

If a requestor remains unhappy after making an informal complaint, they can make a formal written complaint addressed to the *Data Protection Officer, Coleg Gwent, The Rhadyr, Usk NP15 1XJ*. Email: DPO@coleggwent.ac.uk

A complaint may be passed to a more senior member of staff, and if appropriate, the Principal's office will arrange an independent investigation. A response to the complaint will be issued within 20 working days.

Information Commissioner's Office

The Information Commissioner's Office is the independent body that oversees the implementation of the FOIA and EIR in the UK. If a requester remains unhappy with the response they have received after pursuing the Coleg Gwent internal process for complaints, they may complain directly to the ICO:

Information Commissioner's Office - Wales
2nd Floor, Churchill House
Churchill Way
Cardiff
CF10 2HH

Email: wales@ico.org.uk

Tel: 0330 414 6421

Website: www.ico.org.uk