



# Freedom of Information Act 2000 Policy

<b>Produced by</b>	Stockport MBC/Lum Head Primary School
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# Freedom of Information Act 2000.

## Explanatory Notes

Governing boards are responsible for ensuring that schools comply with the Freedom of Information Act 2000 (FoIA). Some aspects, such as charging are at the discretion of the governing board.

Appendices 1 – 3 are taken directly from the former DfES Guide for Maintained Schools (adapted as appropriate). Appendix 5, Standard Letters should be amended and used as appropriate. If you are a school currently buying back into the Council's Information Management SLA then please contact the Information Management Team and we will manage the process for you.

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## 1. Introduction

Lum Head Primary school is committed to the Freedom of Information Act 2000 and to the principles of accountability and the general right of access to information, subject to legal exemptions. This policy outlines our response to the Act and a framework for managing requests.

## 2. Background

The Freedom of Information Act 2000 (Fol) came fully into force on January 1 2005. Under the Act, any person has a legal right to ask for access to information held by the school. They are entitled to be told whether the school holds the information, and to receive a copy, subject to certain exemptions.

The information which the school routinely makes available to the public is included in the Publication Scheme. Requests for other information should be dealt with in accordance with the statutory guidance. While the Act assumes openness, it recognises that certain information is sensitive. There are exemptions to protect this information.

The Act is fully retrospective, so that any past records which the school holds are covered by the Act. The Council has issued and will update a records retention schedule specifically designed for school

records. It is an offence to wilfully conceal, damage or destroy information in order to avoid responding to an enquiry, so it is important that no records that are the subject of an enquiry are amended or destroyed – this includes email.

Requests under FoI can be addressed to anyone in the school; so all staff need to be aware of the process for dealing with requests. Requests must be made in writing, (including email), and should include the enquirers name and correspondence address, and state what information they require. They do not have to mention the Act, nor do they have to say why they want the information. There is a duty to respond to all requests, telling the enquirer whether or not the information is held, and supplying any information that is held, except where exemptions apply. There is no need to collect data in specific response to an FoI enquiry. There is a time limit of 20 days excluding school holidays for responding to the request.

For further information and guidance contact the Information Management Team at Stockport Council. [Foi.officer@stockport.gov.uk](mailto:Foi.officer@stockport.gov.uk)

### **3. Scope**

The FoI Act joins the Data Protection Act and the Environmental Information Regulations as legislation under which anyone is entitled to request information from the school.

Requests for personal data are still covered by the Data Protection Act. (DPA). Individuals can request to see what information the school holds about them. This is known as a Subject Access Request, and must be dealt with accordingly.

Requests for information about anything relating to the environment – such as air, water, land, the natural world or the built environment and any factor or measure affecting these – are covered by the Environmental Information Regulations (EIR). They also cover issues relating to Health and Safety. For example, queries about chemicals used in the school or on school land, phone masts, car parks etc. would all be covered by the EIR. Requests under EIR are dealt with in the same way as those under FoIA, but unlike FoIA requests, they do not need to be written and can be verbal.

If any element of a request to the school includes personal or environmental information, these elements must be dealt with under DPA or EIR. Any other information is a request under FoIA, and must be dealt with accordingly.

### **4. Obligations and Duties**

The school recognises its duty to

- provide advice and assistance to anyone requesting information. *We will respond to straightforward verbal requests for information, and will help enquirers to put more complex verbal requests into writing so that they can be handled under the Act.*
- tell enquirers whether or not we hold the information they are requesting (the duty to confirm or deny), and provide access to the information we hold in accordance with the procedures laid down in Appendix 1.

### **5. Publication Scheme**

Lum Head Primary School has adopted the Model Publication Scheme for Schools approved by the Information Commissioner.

The Publication Scheme and the materials it covers will be readily available from the School office. It will also be published on our website.

### **6. Dealing with Requests**

We will respond to all requests in accordance with the procedures laid down in Appendix 1.

We will ensure that all staff are aware of the procedures.

## **7. Exemptions**

Certain information is subject to either absolute or qualified exemptions. The exemptions are listed in Appendix 2.

When we wish to apply a qualified exemption to a request, we will invoke the public interest test procedures to determine if public interest in applying the exemption outweighs the public interest in disclosing the information.

We will maintain a register of requests where we have refused to supply information, and the reasons for the refusal. The register will be retained for 5 years.

## **8. Public Interest Test**

Unless it is in the public interest to withhold information, it has to be released. We will apply the Public Interest Test before any qualified exemptions are applied.

For information on applying the Public Interest Test see Appendix 3.

## **9. Charging**

We reserve the right to refuse to supply information where the cost of doing so exceeds the statutory maximum, currently £450 (estimated at 18 hours)

*Governing bodies may choose to charge a fee for complying with requests for information under FOI. The fees must be calculated according to FOI regulations, (see Appendix 4) and the person notified of the charge before information is supplied. It is recommended that schools respond to most requests free of charge, and only charge where significant costs are incurred.*

*You can calculate the costs, taking account of staff time, as well as direct costs, but if the total is less than the statutory maximum, you can only charge the direct costs (e.g. printing, postage etc.) If the cost exceeds the statutory maximum you do not have to respond, but may choose to do so, either charging for time and direct costs or not. It is good practice to contact the enquirer, and see if they wish to reduce the request, thus reducing the time and costs to below the maximum.*

*If you are considering charging it is important to read "How Much Can I charge?" on p.9, and Appendix 4, to understand exactly what can be included.*

## **10. Responsibilities**

*Governing bodies are advised to delegate the day-to-day responsibility for compliance with the FOIA to the Head Teacher*

## **11. Complaints**

Any comments or complaints will be dealt with through the school's normal complaints procedure.

*We will aim to determine all complaints within [.....] days of receipt. (Governing boards should include in this section a target time for determining complaints.) We will publish information on our success rate in meeting this target. The school will maintain records of all complaints and their outcome.*

If on investigation the school's original decision is upheld, then the school has a duty to inform the complainant of their right to appeal to the Information Commissioner's office.

Appeals should be made in writing to the Information Commissioner's office. They can be contacted at:

FOI/EIR Complaints Resolution  
**Information Commissioner's Office**  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

# Freedom of Information Act 2000.

## Appendix 1

### Procedure for Dealing with Requests

1. To handle a request for information the governing body or delegated person will need to ask themselves a series of questions. These are set out below and shown on pages 12 - 13 as process maps.

#### Is it a FOI request for information?

2. A request for information may be covered by one, or all, of three information rights:
- Data Protection enquiries (or subject access requests) are ones where the enquirer asks to see what personal information the school holds about the enquirer. If the enquiry is a Data Protection request, follow your existing school DPA guidance.
  - Environmental Information Regulations enquiries are ones which relate to air, water, land, natural sites, built environment, flora and fauna, and health, and any decisions and activities affecting any of these. These could therefore include enquiries about recycling, phone masts, school playing fields, car parking etc. If the enquiry is about environmental information, follow the guidance on the IC's website <http://www.ico.gov.uk/Global/Search.aspx?collection=ico&keywords=eir>
  - FOI enquiries are concerned with all other information and the reasoning behind decisions and policies. The request does not have to mention the FOI Act. All requests for information that are not data protection or environmental information requests are covered by the FOI Act.

#### Is this a valid FOI request for information?

3. An FOI request should:
- be **in writing**, including email or FAX;
  - **state the enquirer's name and correspondence address** (email addresses are allowed);
  - **describe the information requested** - there must be enough information to be able to identify and locate the information<sup>1</sup>; and
  - not be covered by one of the other pieces of legislation.
4. Verbal enquiries are not covered by the FOI Act. Such enquiries can be dealt with where the enquiry is relatively straightforward and can be dealt with satisfactorily. However, for more complex enquiries, and to avoid disputes over what was asked for, you should ask the enquirer to put the request in writing or email, when the request will become subject to FOI.

#### Does the school hold the information?

5. "Holding" information means information relating to the business of the school:
- the school has **created**, or
  - the school has **received from another** body or person, or
  - **held by another** body **on the school's behalf**.
6. Information means both hard copy and digital information, including email.
7. If the school does not hold the information, you do not have to create or acquire it just to answer the enquiry, although a reasonable search should be made before denying that you have got information the school might be expected to hold.

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<sup>1</sup> In cases where the enquiry is ambiguous assist the enquirer to describe more clearly the information requested. Where possible, establish direct contact. The aim is to clarify the nature of the information requested and not to determine the aims or motivation of the enquirer. If you notify the enquirer that you need further information to enable you to answer, you do not have to deal with the request until the further information is received. The response time limit starts from the date this is received.

## **Has the information requested already been made public?**

8. If the information requested is already in the public domain, for instance through your Publication Scheme or on your website, direct the enquirer to the information and explain how to access it.

## **Is the request vexatious or manifestly unreasonable or repeated?**

9. The Act states that there is no obligation to comply with vexatious requests. This is taken to mean a request which is designed to cause inconvenience, harassment or expense rather than to obtain information, and would require a substantial diversion of resources or would otherwise undermine the work of the school<sup>2</sup>. This however does not provide an excuse for bad records management.

## **Can the school transfer a request to another body?**

10. If the information is held by another public authority, such as your local authority, first check with them they hold it, then transfer the request to them. You must notify the enquirer that you do not hold the information and to whom you have transferred the request. You should answer any parts of the enquiry in respect of information your school does hold.

## **Could a third party's interests be affected by disclosure?**

11. Consultation of third parties may be required if their interests could be affected by release of the information requested, and any such consultation may influence the decision. You do not need to consult where you are not going to disclose the information because you will be applying an exemption.

12. Consultation will be necessary where:

- disclosure of information may affect the legal rights of a third party, such as the right to have certain information treated in confidence or rights under Article 8 of the European Convention on Human Rights;
- the views of the third party may assist you to determine if information is exempt from disclosure, or
- the views of the third party may assist you to determine the public interest.

## **Does an exemption apply?**

13. The presumption of the legislation is that you will disclose information unless the Act provides a specific reason to withhold it. There are more than 20 exemptions. They are set out in Appendix 2 and are mainly intended to protect sensitive or confidential information.

14. Only where you have real concerns about disclosing the information should you look to see whether an exemption might apply. Even then, where the potential exemption is a qualified exemption, you need to consider the public interest test to identify if the public interest in applying the exemption outweighs the public interest in disclosing it. Therefore, unless it is in the public interest to withhold the information, it has to be released. Appendix 3 contains guidance on conducting a public interest test.

## **What if the request is for personal information?**

15. Personal information requested by the subject of that information is exempt under the FOI Act as such information is covered by the Data Protection Act. Individuals must, therefore, continue to

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<sup>2</sup> It is not intended to include otherwise valid requests in which the applicant may make complaints or vent frustrations. In addition, you do not have to comply with repeated identical or substantially similar requests from the same applicant unless a "reasonable" interval has elapsed between requests.

make a 'subject access request' under the Data Protection Act if they wish to access such information.

### **What if the details contain personal information?**

16. Personal information requested by third parties is also exempt under the FOI Act where release of that information would breach the Data Protection Act. If a request is made for a document (e.g. Governing Body minutes) which contains personal information whose release to a third party would breach the Data Protection Act, the document may be issued by blanking out the relevant personal information as set out in the redaction procedure. The procedure for redaction is here<sup>3</sup>.

### **How much can we charge?**

17. The Act allows governing bodies to charge for providing information. For further information, see Appendix 4

18. The first step is to determine if the threshold (currently £450) would be exceeded. Staff costs should be calculated at £25 per hour. You can take account of the costs of determining if the information is held, locating and retrieving the information, and extracting the information from other documents. You cannot take into account the costs involved in determining whether information is exempt.

19. If a request would cost less than the appropriate limit, (currently £450) the school can only charge for the cost of informing the applicant whether the information is held, and communicating the information to the applicant (e.g. photocopying, printing and postage costs).

If a request would cost more than the appropriate limit, (£450) the school can turn the request down, answer and charge a fee, or answer and waive the fee. If it decides to charge a fee, and does not have other powers to do so, it can charge on the basis of the costs outlined in Appendix 4.

20. Schools will however wish to consider whether calculating the cost of the fee outweighs the cost of providing the information. In practice we recommend that schools respond to straightforward enquiries free of charge and charge where the costs are significant.

21. If you are going to charge you must send the enquirer a fees notice and do not have to comply with the request until the fee has been paid. Appendix 4 gives more information on charging.

### **Is there a time limit for replying to the enquirer?**

22. Compliance with a request must be prompt and certainly within the legally prescribed limit of 20 working days, excluding school holidays.<sup>4</sup> Failure to comply could result in a complaint to the Information Commissioner. The response time starts from the time the request is received. Where you have asked the enquirer for more information to enable you to answer, the 20 days start time begins when this further information has been received.

23. If a qualified exemption applies and you need more time to consider the public interest test, you should reply within the 20 days stating that an exemption applies but include an estimate of the date by which a decision on the public interest test will be made. This should be within a "reasonable"

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<sup>3</sup> The procedure for redaction is:

i) mask the passages which are not to be disclosed and photocopy; (ii) annotate in the margin against each blank passage, the exemption and section of the Act under which this passage is exempt; iv) explain in the covering letter that the relevant exemptions are marked in the attachments and in the case of non-absolute exemptions, how the public interest test has been considered.

On no account must you use the computer to rewrite the document or email and simply delete the exempted passages so that the resulting document appears as though they did not exist. The one circumstance where this would be permissible would be where the only redacted parts are personal information such as people's names and the covering letter explains this.

<sup>4</sup> An order to this effect is to be made under section 10(4) of the Act and should take effect from 1 January 2005

time – in practice, it is recommended by the Department that normally this should be within 10 working days.

24. Where you have notified the enquirer that a charge is to be made, the time period stops until payment is received and then continues again once payment has been received.

### **What action is required to refuse a request?**

25. If the information is not to be provided, the person dealing with the request must immediately contact the person in the school with delegated responsibility for FOI to ensure that the case has been properly considered and the reasons for refusal are sound. If it is decided to refuse a request, you need to send a refusals notice, which must contain

- i) the fact that the responsible person cannot provide the information asked for;
- ii) which exemption(s) you are claiming apply;
- iii) why the exemption(s) apply to this enquiry (if it is not self-evident);
- iv) reasons for refusal if based on cost of compliance (see Appendix 4)
- v) in the case of non-absolute exemptions, how you have applied the public interest test, specifying the public interest factors taken into account before reaching the decision (see Appendix 3)
- vi) reasons for refusal on vexatious or repeated grounds
- vii) the internal complaints procedure.

26. For monitoring purposes and in case of an appeal against a decision not to release the information or an investigation by the Information Commissioner, the responsible person must keep a record of all enquiries where all or part of the requested information is withheld and exemptions are claimed. The record must include the reasons for the decision to withhold the information. Records should be retained for 5 years. There are no requirements to keep records where you have supplied the information requested.

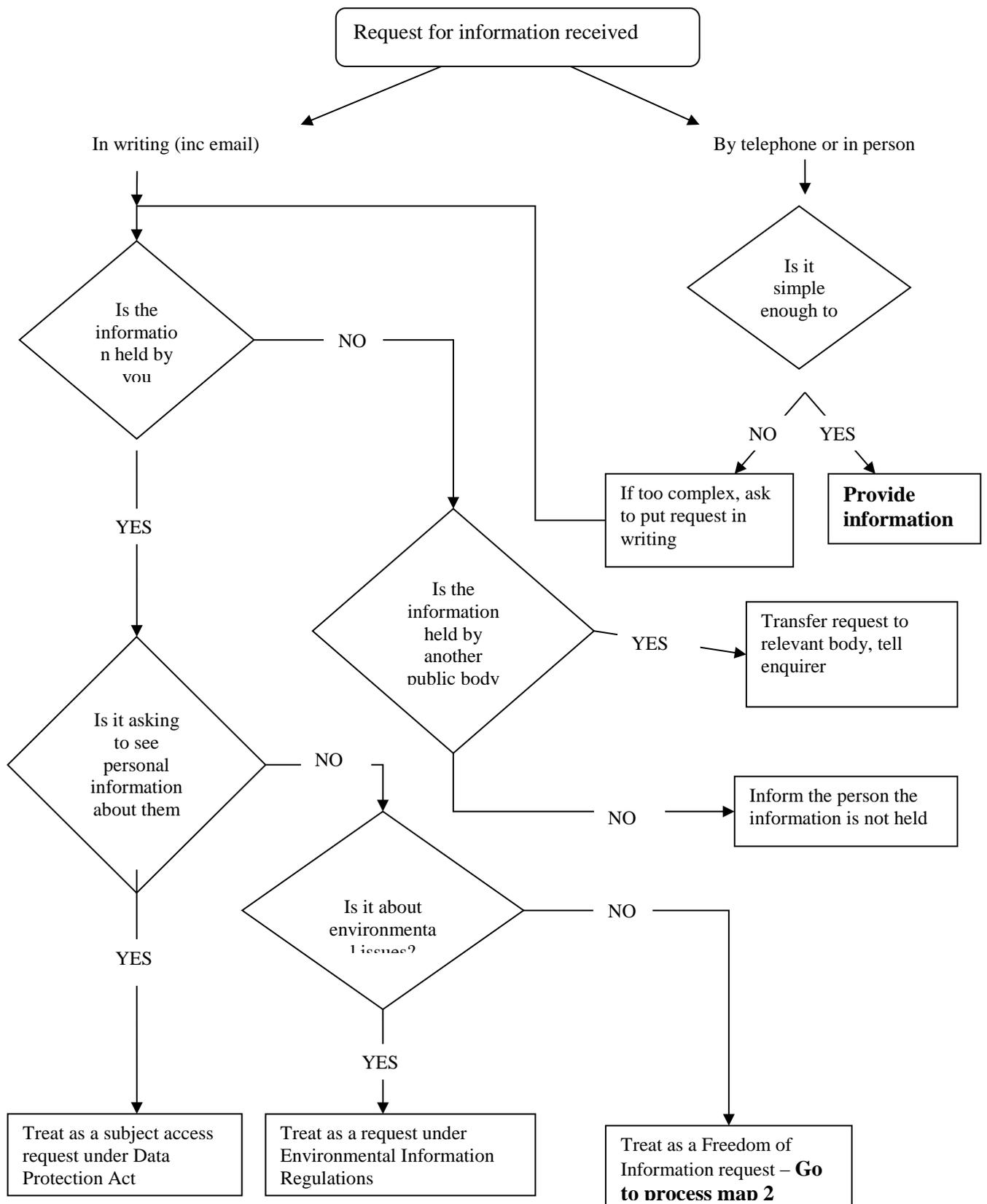
### **What do I do if someone complains?**

27. Any written (including email) expression of dissatisfaction - even if it does not specifically seek a review – should be handled through the school's existing complaints procedure which should be fair and impartial. The procedure should be clear and non bureaucratic. Wherever practicable the review should be handled by someone not involved in the original decision. The Governing Body should set and publish a target time for determining complaints and information on the success rate in meeting the target. The school should maintain records of all complaints and their outcome.

28. When the original request has been reviewed and the outcome is that the information should be disclosed this should be done as soon as practicable. When the outcome is that procedures within the school have not been properly followed, the school should review procedures to prevent any recurrence. When the outcome upholds the school's original decision or action, the applicant should be informed of their right to appeal to the Information Commissioner. The appeal should be made in writing to:

FOI Compliance Team (complaints)  
Wycliffe House, Water Lane, Wilmslow, Cheshire. SK9 5AF

# Process Map 1 for Dealing with Requests



## Process Map 2 for Dealing with Requests

