

<b>Title of Meeting:</b>	<b>Governing Body</b>	<b>Agenda Item: 8.3</b>									
<b>Date of Meeting:</b>	<b>22 December 2020</b>										
<b>Paper Title:</b>	<b>Freedom of Information and Environmental Information Regulations Policy</b>	<table border="1"> <tr> <th colspan="2">Session (Tick)</th></tr> <tr> <td><b>Public</b></td><td>X</td></tr> <tr> <td><b>Private</b></td><td></td></tr> <tr> <td><b>Development Session</b></td><td></td></tr> </table>		Session (Tick)		<b>Public</b>	X	<b>Private</b>		<b>Development Session</b>	
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<b>Development Session</b>											
<b>Responsible Governing Body Member Lead</b> Julie Warren, Director of Corporate Services Governance and Performance		<b>Report Author and Job Title</b> Emma Parker, Corporate Services and EPRR Manager									
<b>Purpose (this paper is for)</b>	<table border="1"> <tr> <th>Decision</th><th>Discussion</th><th>Assurance</th><th>Information</th></tr> <tr> <td>X</td><td></td><td></td><td></td></tr> </table>			Decision	Discussion	Assurance	Information	X			
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X											
<b>Has the report (or variation of it) been presented to another Committee / Meeting?</b> <b>If yes, state the Committee / Meeting:</b> Yes. Information Governance Steering Group (IGSG) and the Audit Committee in November 2020.											
<b>Executive Summary</b> The enclosed policy provides a framework for NHS North Yorkshire Clinical Commissioning Group (CCG) to ensure compliance with the Freedom of Information (FOI) Act and the Environmental Information Regulations (EIR) 2004.  The purpose and objectives of this policy are to protect the CCG along with its customers, service users, staff and other stakeholders, as well as the assets of the CCG, whilst ensuring delivery of its strategic and corporate objectives.  The policy reinforces the CCG's commitment to ensuring that openness should be the norm in public life whilst still be able to carry out its duties effectively and, to ensure this, the exemptions and exceptions outlined in the FOI Act and EIR will be applied appropriately.  The CCG believes that individuals have a right to privacy and confidentiality, and will ensure that this policy does not overturn the common law duty of confidentiality or statutory provisions that prevent disclosure of personal information. The release of such information will be dealt with under and in compliance with the provisions of the Data Protection Act 2018 and General Data Protection Regulations.  The FOI Act and EIR are fully retrospective and relate to documents produced from 1 April 2013 (the date the predecessor CCGs were established) if they are still working documents and the CCG is the author/owner of the document.  The FOI Team will continually monitor guidance and recommendations as issued by the Information Commissioners Office.  The attached policy is recommended for approval by the Audit Committee.											
<b>Recommendations</b> <b>The Governing Body is being asking to:</b> Approve the Freedom of Information and Environmental Information Regulations Policy as recommended by the Audit Committee.											

<b>Monitoring</b> <b>Information Governance Steering Group (IGSG)</b> The IGSG is responsible for monitoring the CCG's performance in relation to responding to FOI and EIR requests for information and highlighting any concerns to the Audit Committee.	
<b>Audit Committee</b> The Audit Committee is responsible for acknowledging any concerns raised by IGSG in relation to FOIs and EIRs and reporting to the Governing Body as deemed necessary.	
<b>Any statutory / regulatory / legal / NHS Constitution implications</b>	The Governing Body has delegated authority to approve the FOI Policy. Data Protection Act 2020 Environmental Information Regulations 2004 Freedom of Information Act 2000
<b>Management of Conflicts of Interest</b>	No conflicts of interest have been identified prior to the meeting.
<b>Communication / Public &amp; Patient Engagement</b>	The policy will be published on the CCG website.
<b>Financial / resource implications</b>	Not applicable.
<b>Significant Risks to Consider</b>	No significant risks have been identified.
<b>Outcome of Impact Assessments completed</b>	An equality impact assessment has been completed and is attached to the policy. As a result of performing the analysis, the policy does not appear to have any adverse effects on people who share Protected Characteristics and no further actions are recommended at this stage.

**Emma Parker**  
**Corporate Services and EPRR Manager**

# FREEDOM OF INFORMATION AND ENVIRONMENTAL REGULATIONS POLICY

**December 2020**

Authorship:	Corporate Services and EPRR Manager
Committee Approved:	Governing Body
Approved date:	December 2020
Review Date:	December 2024
Equality Impact Assessment:	Yes
Sustainability Impact Assessment:	Yes
Target Audience:	Council of Members, Governing Body and its Committees and Sub-Committees, CCG Staff, agency and temporary staff & third parties under contract
Policy Number:	NY-124
Version Number:	1.0

**The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as ‘uncontrolled’ and as such may not necessarily contain the latest updates and amendments.**

# POLICY AMENDMENTS

Amendments to the Policy will be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approved by & Date	Date on Intranet
0.1	Corporate Services and EPRR Manager	Reviewed and agreed by NHS Yorkshire CCG Information Governance Steering Group	November 2020	N/A
0.2	Corporate Services and EPRR Manager	Reviewed and agreed by NHS North Yorkshire CCG Audit Committee	November 2020	N/A
1.0	Director of Corporate Services, Governance & Performance	Reviewed and approved by NHS North Yorkshire CCG Governing Body	22 December (TBC)	TBC

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## **1.0 Introduction**

This policy provides a framework for NHS North Yorkshire Clinical Commissioning Group (CCG) to ensure compliance with the Freedom of Information (FOI) Act and the Environmental Information Regulations (EIR) 2004.

## **2.0 Purpose**

The purpose and objectives of this policy are to protect the CCG along with its customers, service users, staff and other stakeholders, as well as the assets of the CCG, whilst ensuring delivery of its strategic and corporate objectives.

The CCG supports the principle that openness should be the norm in public life.

The CCG believes that individuals have a right to privacy and confidentiality, and will ensure that this policy does not overturn the common law duty of confidentiality or statutory provisions that prevent disclosure of personal information. The release of such information will be dealt with under and in compliance with the provisions of the Data Protection Act 2018 and General Data Protection Regulations.

The CCG must still be able to carry out its duties effectively and, to ensure this, the exemptions and exceptions outlined in the FOI Act and EIR will be applied appropriately.

## **3.0 Definitions / Explanation of Terms**

### **3.1 Freedom of Information Act 2000**

The Freedom of Information Act 2000 (FOI Act) is part of the Government's commitment to greater openness in the public sector. Subject to some exemptions, it gives a right of access to recorded information that is held by public organisations, the right applying to anyone, anywhere in the world.

The Act is fully retrospective and replaces the non-statutory Code of Practice on openness in the NHS.

The FOI Act is supported by two Codes of Practice issued under Section 45 and 46 of the Act:

- Code of Practice on the discharge of public authorities' functions
- Code of Practice on the management of records

These provide guidance to the public authorities as to the practices they should follow in respect of the discharge of their functions under the FOI Act and in order for them to ensure effective records management.



### 3.2 The Environmental Regulations 2004

Environmental Information Regulations 2004 (EIR) gives rights of public access to environmental information held by public authorities.

Environmental information is any information that is, about, concerning, or relating to the following:

- a) the state of the elements of the environment, such as air and atmosphere, water, soil, land, landscape and natural sites including wetlands, coastal and marine areas, biological diversity and its components, including genetically modified organisms, and the interaction among these elements
- b) factors, such as substances, energy, noise, radiation or waste, including radioactive waste, emissions, discharges and other releases into the environment, affecting or likely to affect the elements of the environment referred to in (a)
- c) measures (including administrative measures) such as policies, legislation, plans, programmes, environmental agreements, and activities affecting or likely to affect the elements and factors referred to in (a) and (b) as well as measures or activities designed to protect those elements
- d) reports on the implementation of environmental legislation
- e) cost-benefit and other economic analyses and assumptions used within the framework of the measures and activities referred to in (c)
- f) the state of human health and safety, including the contamination of the food chain, where relevant, conditions of human life, cultural sites and built structures inasmuch as they are or may be affected by the state of the elements of the environment referred to in (a) or, through those elements, by any of the matters referred to in (b) and (c)
- g) EIR is supported by a Code of Practice which provides guidance to the public authorities as to the practices they should follow in respect of the discharge of their functions under the EIR.

### 3.3 About the Act and Regulations

The main features of the FOI Act and the EIR include:

- A general right of access to all types of recorded information held by public authorities, subject to certain conditions exemptions and exceptions (see section 12.0)
- Subject to exemptions under the FOI Act and exceptions under EIR there is a duty on public authorities to:
- Inform the applicant, in writing, whether the information exists (the duty to confirm or deny).
- Provide the applicant with the information specified.

- A statutory requirement under section 16 of the FOI Act and Part 2.9 of the EIR is to assist applicants who have made, or wish to make, a request. If it is not clear what information is required, the applicant is to be contacted for clarification.
- There is a duty under FOI on every public authority to adopt and maintain a Publication Scheme (including information which is, or will be, routinely published and available to anyone who asks for it).

An independent Information Commissioner's Office (ICO) oversees the implementation and compliance with the FOI Act, EIR and the Data Protection Act 2018 and the General Data Protection Regulations (EU) 2016/679 (GDPR).

## **4.0 Scope of the Policy**

The FOI Act and EIR are fully retrospective and relate to documents produced from 1 April 2013 (the date the predecessor CCGs were established) if they are still working documents and the CCG is the author/owner of the document.

The policy applies to NHS North Yorkshire CCG and all its employees and must be followed by all those who work for the organisation, including the Governing Body, those on temporary or honorary contracts, secondments, pool staff, contractors and students.

Failure to comply with this policy would be considered to be a breach of the terms and conditions of employment and may result in the matter being treated as a disciplinary offence under the CCG's disciplinary procedure.

## **5.0 Information Subject to the Freedom of Information Act 2000 and Environmental Information Regulations 2004**

All information held by, or on behalf of, the CCG may be subject to the FOI Act or EIR. The legislation applies regardless of the age, format, origin or classification of information. It covers files, letters, databases, reports, emails, videos, photographs, wall charts etc. It also extends to closed files and archived materials as well as information in current use. Please note that the FOI Act entitles applicants to have access to information not documents

It is the responsibility of staff at the CCG to consider all information held by the organisation when a request is received, historical and archived information as well as information in current use.

The legislation also applies to information that has been received by others which could include other public authorities, companies, organisations and members of the public. It is necessary to consult with the parties before disclosure of the information (see Section 14.1)

The FOI Act also applies to official information held in private email accounts and can extend to information recorded on mobile devices, including text messages on mobile phones, or in any other media.

## **6.0 Duties, Accountabilities and Responsibilities**

### **6.1 Responsibilities of the Employer**

Managers at all levels are responsible for ensuring that the staff for whom they are responsible are aware of and adhere to this policy. Any advice or assistance regarding this policy or the Freedom of Information Act 2000 or Environmental Information Regulations can be obtained from the Corporate Services Manager.

### **6.2 Accountable Officer**

The Accountable Officer has delegated authority for determining arrangements for handling Freedom of Information requests including the publishing of a Freedom of Information Publication Scheme

### **6.3 Director of Corporate Services Governance and Performance and Head of Corporate Services**

The Director of Corporate Services Governance and Performance has delegated responsibility from the Accountable Officer for the operational management of Freedom of Information and associated regulations. In the absence of the Director of Corporate Services Governance and Performance, the Head of Corporate Services will deputise in this responsibility.

### **6.4 Governing Body**

The Governing Body is responsible for approving the CCG Freedom of information and Environmental Information Regulations Policy.

### **6.5 Information Governance Steering Group (IGSG)**

The IGSG is responsible for monitoring the CCG's performance in relation to responding to FOI and EIR requests for information and highlighting any concerns to the Audit Committee

### **6.6 Audit Committee**

The Audit Committee is responsible for acknowledging any concerns raised by IGSG in relation to FOIs and EIRs and reporting to the Governing Body as deemed necessary.

### **6.7 Corporate Services and EPRR Manager**

The Corporate Services and EPRR Manager is responsible for the administrative co-ordination of this policy and oversight of the FOI Team.

## 6.8 CCG Freedom of Information Team

The CCG Freedom of Information Team is responsible for:

- Ensuring that all requests for information are co-ordinated and responded to within the set timescales, though this does not negate the responsibility of all other employees in ensuring a timely response to requests.
- Providing advice and assistance to staff and those who propose to make, or have made, requests for information under the FOI Act or EIR.
- Maintaining a database of information requests that have been made.
- Advising on the use of exemptions.
- Maintaining and reviewing the publication scheme.
- Producing regular monitoring reports.
- Provide advice and assistance to those who propose to make, or have made, requests for information.

## 6.9 Lead Managers

Lead managers will be the initial point of contact for the area in which they are the lead. They are responsible for:

- Providing a response within the set timescale.
- Assisting with reviewing the publication scheme.
- Ensuring that appropriate information to be included in the scheme is forwarded to the FOI Team to keep the publication scheme up to date.

## 6.10 All Staff

All staff are expected to understand the content of this policy, agree to abide by it, and:

- Identify Freedom of Information requests and forward it to the FOI Team at [nyccg.FOI@nhs.net](mailto:nyccg.FOI@nhs.net) immediately.
- Respond to requests made by the FOI Team within the set timescales.
- Ensure that all relevant information to meet the requirements of the request is retrieved.
- Ensure that responses made in relation to a request do not include information of a sensitive personal nature (i.e. for staff, patients or clients).
- Remember that not everyone will be aware of the Act, or Regulations made under it, and help draw these to the attention of potential applicants who appear unaware of them.
- Ensure that appropriate information to be included in the publication scheme is forwarded to the website lead in order to keep the scheme up to date.

### **6.11 Information Commissioner**

The Information Commissioner has a duty to enforce the requirements of the Freedom of Information Act 2000.

### **6.12 Responsibilities for Approval**

Audit Committee is responsible for the review and approval of this policy

## **7.0 Policy Procedural Requirements**

### **7.1 Publication Scheme**

The CCG has implemented a publication scheme, which includes information which is, or will be, routinely published and made available to anyone who asks for it.

The publication scheme template is approved by the Information Commissioner and is monitored, updated and reviewed at regular intervals.

### **7.2 Availability and Access**

The Publication Scheme is available in hard copy on request from the CCG. It is also included on the CCG's Internet site at:

<https://www.northyorkshireccg.nhs.uk/home/foi/>

Information listed in the publication scheme can be downloaded directly from the website or requests may be made, via email at [nyccg.foi@nhs.net](mailto:nyccg.foi@nhs.net) verbally or in writing to:

NHS North Yorkshire Clinical Commissioning Group  
Corporate Services  
Civic Centre  
Stonecross  
Northallerton  
DL6 2UU

## **8.0 General Rights of Access**

Requests under the FOI Act must be made in writing and can be treated as made in writing if transmitted by electronic means, is received in a legible form and is capable of being used for subsequent reference. These could include audio or transcripts of verbal requests, verified by the requestor, using a Verbal Freedom of Information Request form ([Appendix Three](#)).

Requests can also be submitted via social media such as Facebook and Twitter provided the request states the name of the applicant, this may be through a linked profile. As the limitations to the length of tweets may impede a full response an email address can be

requested to provide a response to or, the response can be published on the CCG's website and a link to it can be tweeted.

Requests under the EIR can be accepted in writing or by electronic means but applicants can also make requests in person.

Where a person is having difficulty putting their request in writing in a legible form capable of being used for subsequent reference, the CCG will advise them of another person or agency who may be able to assist them with their application or make the application on their behalf (such as Citizen's Advice).

Requests must state the name of the applicant and an address for correspondence. Requests must clearly describe the information that is requested. Requests should be made to:

[nyccg.foi@nhs.net](mailto:nyccg.foi@nhs.net)

NHS North Yorkshire Clinical Commissioning Group  
Corporate Services  
Civic Centre  
Stonecross  
Northallerton  
DL6 2UU

The FOI Act and EIR give a right of access that is not based upon need to know and therefore the organisation does not have the right to question an applicant or the reason or purpose of their request. The applicant can, however, be requested to provide further details or clarification in order to narrow down what might otherwise be a vague or broad request.

The FOI Act and EIR require that requests are responded to within 20 working days<sup>1</sup>. If the CCG decides to apply a condition, exemption or exception (See Section 12.8) to withhold information, the applicant will be informed within 20 working days. The EIR allows for an extension of up to 20 additional working days to the period for response if requests are particularly complex and voluminous. If the extension is claimed, the applicant will be informed.

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<sup>1</sup> A working day is any other than Saturday, Sunday, Christmas Day, Good Friday or a bank holiday (according to the Banking and Financial Dealings Act 1971) in any part of the UK (FOIA s10(6))

As recommended in the Cabinet Office Section 45 code of practice<sup>2</sup> and the Environmental Information Regulations code of Practice<sup>3</sup>, we set out below details of how requests for information will be dealt with, ensuring that this is available to the public.

## **9.0 Receipt of Requests for Information**

### **9.1 Recording Information**

When dealing with a request, the following information will be recorded:

- Initial date received by the CCG
- Date received by the FOI Team
- Name of the applicant
- Contact details of the applicant
- Description of the information requested
- Decision taken and details of any exemptions or exceptions used
- Date completed and when information forwarded to the applicant
- Time taken to provide response to applicant
- Information sufficient to comply with the publication requirements as set out in the FOI Code of Practice.

Further information on how we will use and protect your information can be found in the Privacy Notice on the CCG's website:

<https://www.northyorkshireccg.nhs.uk/home/privacy/>

### **9.2 Confirmation of receipt**

The FOI Team will write to the applicant acknowledging receipt of the request within 2 working days. This will state that the CCG intends to deal with the request under the FOI Act or EIR within 20 working days unless there are exceptional circumstances or fees and charges to be levied (see Section 12.2).

Where Environmental Information is requested specifically under the FOI Scheme a refusal notice will be issued quoting Section 39 – Environmental Information, which exempts information if the public authority holding it 'is obliged by regulations under Section 74 to make information available to the public in accordance with the

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<sup>2</sup> Cabinet Office Freedom of Information Code of Practice on the Discharge of Public Authorities' Functions under Part I of the Freedom of Information Act 2000, issued under Section 45 of the Act (July 2018)

<sup>3</sup> Code of Practice on the discharge of the obligations of public authorities under the Environmental Information Regulations 2004 (SI 2004 No. 3391) (February 2005)

regulations'. The request will then be handled automatically as a request for Environmental Information.

Where relevant requests will be transferred internally if the applicant is the subject of the request and it becomes a Subject Access Request under the Data Protection Act 2018 and GDPR (see section 12.6) the applicant will be informed.

Whilst every effort is made to ensure all requests are forwarded for processing in a timely manner, some requests may inadvertently go astray. If confirmation that we are dealing with a request is not received within 5 working days, the applicant should contact the CCG straightaway so this can be investigated. Any 'missed requests' are logged and, where possible, actions taken to avoid similar situations occurring in the future.

## **10.0 Processing a Request**

A request for information need not be marked as such; there is no need for the applicant to state that they are making a FOI or EIR request. The FOI Act and EIR cover all requests for information and could be included in, for example, a compliment or complaint letter. It is, therefore, imperative that all staff are aware of this policy and the need to refer requests to the FOI Team in a timely manner.

It is not appropriate to refer requests to the FOI Team where staff are:

- Providing information leaflets or other material that has already been approved by the organisation; this would include service information and the Annual Report.
- Discussing an information leaflet/booklet with another individual, informing them of their options.
- Providing information on the current care and treatment of an individual using established practices.

### **10.1 Accessing Information**

The FOI Team will forward information requests to the lead manager in those directorates who it is thought may hold the information that has been requested. This person will be sent the request within 2 working days of it being received. Staff then have 8 working days to deal with the request and retrieve the relevant information. Any problems should be immediately brought to the attention of the FOI Team. This time may be extended in certain complex circumstances.

The gathered information will be forwarded to the FOI Team for review prior to disclosure. In cases where the request is for routine information, the FOI Team will make the decision as to which information will be relevant for disclosure.

In instances where an exemption or exception might be applicable, or, where the FOI Manager is unfamiliar with the subject, the retrieved information and options available will be discussed with the relevant manager, the CCG FOI Lead to decide whether



information is relevant, and whether exemptions/redactions apply to any parts the of information.

The Caldicott Guardian may be consulted on an ad hoc basis, in cases where clarification is required regarding Data Protection.

## **10.2 Advice and Assistance**

The CCG has a duty under Section 16 of FOIA and Regulation 9 (1) under EIR to assist members of the public requesting information. If an applicant or potential applicant is requesting advice or assistance, one or more of the following steps will be taken, depending on the situation:

- Guidance will be given on how to access the information from the CCG under the Publication Scheme or the general rights.
- The applicant will be informed of the progress of their current request.
- The basis for any charges or fees levied or exemptions applied will be explained.
- Other routes through which the applicant may wish to access information, including directing them to other public authorities, will be suggested.
- Applicants will be directed to the appeals process and/or the Office of the Information Commissioner if they are dissatisfied with any outcome.
- Support will be given to applicants who are unable to put their request in writing.

## **10.3 Ambiguous or Withdrawal of Requests**

If further clarification from the requestor is required or not enough information has been provided for the request to be processed, the requestor will be contacted at the earliest opportunity. If clarification is not received within 3 months of initial contact the FOI or EIR request will be closed.

Once clarification has been requested the 20 working days countdown will stop until clarification has been received. The time for compliance will not begin until the necessary clarification to allow the CCG to answer the request has been received. If at any time the requestor advises that they wish to withdraw their FOI or EIR request the request will be closed.

## **10.4 Aggregation of Requests**

When a number of requests are received from either the same person or different people asking for the same or similar information within a short time of each other, the CCG may consider aggregating these requests and take an overall view of the resources which would have to be committed to responding to all of the requests.

Aggregation of requests can be considered when two or more requests for information have been made and:

- They are either from the same person, or from 'different persons who appear to be acting in concert or in pursuance of a campaign'
- The requests relate to the same or similar information
- They have been received by the public authority within a space of 60 consecutive working days.

## **11.0 Providing the Information**

### **11.1 The Duty to Confirm or Deny**

Section 1 of the FOI Act provides two distinct but related rights of access to information which impose corresponding duties on public authorities. These are:

- The duty to inform the applicant whether or not information is held by the authority, and, if so,
- The duty to communicate that information to the applicant.

In circumstances where confirming or denying whether information is held under the FOI Act or EIR or whether an exemption or exception applies would in itself entail the disclosure of exempt information. The CCG is not required to explain the exclusion of the duty to confirm or deny the information is held, why an exemption applies or why the public interest favours maintaining an exemption.

However, the Public Interest Test will be applied to ensure it is appropriate for the CCG to issue a response neither confirming nor denying that the information requested is held.

In these circumstances, the applicant will be issued a refusal notice within 20 working days (see Section 12.6).

### **11.2 Response and Format**

In all instances prior to providing the information the FOI Team will seek approval from the relevant person as identified.

If no exemptions apply and there are no fees or charges to be levied, the information requested by the applicant will be provided within 3 working days of receiving it from the relevant areas and being signed off by the relevant person.

Information will normally be provided in the format in which the request was made, i.e. electronic or hardcopy, unless specified otherwise. Formats for response can include:

- A photocopy or printed copy of the information.
- Provision of a pdf file transferred by electronic means.
- Provision of a pdf file transferred on CD-ROM or floppy disk.
- Provision of a summary of the information, in one or a combination of the formats mentioned in the first 3 points.

- Alternative language, large print, audio or Braille which will be fully funded by SR CCG.

### 11.3 Data Sets

As of 1 September 2013 Section 102 of the Protection of Freedoms Act 2012 added new provisions to the FOIA (in particular Sections 11 and 19) regarding how information held in datasets is released under FOI.

A data set is a collection of factual information in electronic form to do with the services and functions of the CCG that is neither the product of analysis or interpretation, nor an official statistic and has not been materially altered.

Where a request is made for a dataset the CCG will provide this information in a re-usable form so far as reasonably practicable. A re-usable form means that the dataset is in a machine readable form.

Factors which can affect whether it is reasonably practicable to provide the dataset in a re-usable form can include the time and cost of conversion, technical issues and resources of the CCG.

If a dataset is a relevant copyright work (the CCG owns the copyright and database rights), the CCG will provide it under the terms of a specified licence. The Open Government Licence OGL is the default licence for datasets that can be re-used without charge. Other licences which can be used if appropriate are the Non Commercial Government Licence (the information cannot be used for Commercial purposes) and the Charged Licence (where it is appropriate to charge for the re-use of information).

The CCG will publish datasets requested and any updated versions unless the CCG feels it is not appropriate to do so. Reasons for it not being appropriate may include:

- The information is exempt from disclosure under the FOIA
- The information may cover a very narrow area of information. Although the requestor is entitled to ask for the information under the FOIA the CCG may consider that there is no benefit in continuing to publish the dataset routinely.
- The cost or technical issues involved in making the information routinely available on the Publication Scheme.

The dataset provisions do not apply to EIR, however, Regulation 6 does require that a public authority should make information available in the format requested by the applicant unless it is reasonable not to.

### 11.4 Requests for Re-Use of Information

Information provided under FOI and EIR may be re-used for personal use. This means that brief extracts of any of the material may be reproduced without permission, under the fair dealing provisions of the Copyright, Designs and Patents Act 1988 (sections 29

and 30) for the purposes of research for non-commercial purposes, private study, criticism, review and news reporting, subject to an acknowledgement of the CCG as the copyright owner.

Copyright law does not give applicants a right to re-use information in a way that would infringe or breach that copyright, by making copies, publishing and issuing copies to the public or to any other person. This means that wider re-use requires express permission in writing.

Under the Re-use of Public Sector Information Regulations 2005 you are free to use this information for your own use or for the purposes of news reporting. However, any other type of re-use under the regulations, for example; publication of the information or circulation to the public, will require permission and may be subject to terms and conditions such as:

- Acknowledge the source and our copyright in cases where you supply the information to others.
- Reproduce the information accurately.
- Not use the information in a misleading way.
- Not use the information for the principal purpose of advertising or promoting a particular product or service.
- Ensure that it is acknowledged that the information is accurate as of the date it has been provided.

Any requests for re-use of information must be in writing and the applicant must state their full name, postal address, specify the document being requested for re-use and the purpose for which the document is to be re-used.

The request will be acknowledged within 3 working days and responded to within 20 working days of receipt of the request. This period may be extended where the request is extensive or complex; and the requester must be informed of this in writing.

Re-use can be refused if the information requested falls within one or more of the exclusions permitted by Re-use of Public Sector Information Regulations 2005 (RPSI).

Where requests are refused, the applicant will be advised of the decision and has a right to ask for that decision to be reviewed under the CCG's FOI and EIR appeals procedures. If the information is still not released, the applicant will be advised of their right to ask the Office for Public Sector Information (OPSI) to review the decision.

## **12.0 Not Disclosing Information**

### **12.1 Refusal Notices**

A request for information may be refused if:

The information is exempt under Part II of the FOI Act or an exception applies under EIR (see Section 12.8)

- A fees notice or charge has not been paid within the 3 months' time period (see Section 12.2)
- In the case of FOI requests – where the cost of compliance exceeds the appropriate limit of £450 (18 hours), in accordance with the National Fees Regulations. There is no appropriate limit for EIR requests.
- An FOI request can be demonstrated to be vexatious or repeated (see Section 12.4)
- An EIR cannot be considered as vexatious or repeated although Regulation 12 – Nuisance Requests can be applied.
- The information is not held.

The applicant will be informed in writing of the decision within 20 working days of the request and will be told the following:

- The exemption(s) that has been applied.
- The justification for the use of the exemption(s) or exception(s). Where an exception is applied, if the exemption is qualified, the Public Interest Test must be applied (see Section 12.9)
- Details of how the applicant can appeal against the decision if they are dissatisfied with the outcome (see Section 13.0)
- Details of the right to further appeal to the ICO.

Where a request has been demonstrated to be vexatious or repeated and a refusal notice has already been issued there is no requirement to issue further refusal notices where it would be unreasonable to do so again.

## 12.2 Charges and Fees

In relation to requests under FOI, fees will be in accordance with Statutory Instrument 3244 (Fees Regulations). The CCG will charge for photocopying and disbursement costs where these exceed £50. Charges for photocopying will be set at 10p per sheet. Where disbursement costs are below £50, there will be no charge levied to the applicant.

Where the CCG chooses to levy a fee, a fees notice will be issued to the applicant, as required by section 9 of the FOI Act. Applicants will be required to pay any fees within a period of three months, beginning with the day on which the fees notice is issued to them. The working days in the period from when the applicant received the fees notice to when they paid will not be included in the 20 working days requirement to respond to the initial request. If payment is not received within three months, the CCG will close the Freedom of Information request.

## 12.3 Appropriate Limits

Section 12 of the FOI Act makes provision for public authorities to refuse requests for information where the cost of dealing with them would exceed the appropriate limit,

which for Public Bodies is set at £450. This represents the estimated cost of one person spending 18 hours in determining whether the department holds the information, locating, retrieving and extracting the information. Under these circumstances the CCG is not obligated to provide the information, however the applicant can request advice and assistance under Section 16 of the FOI Act to discuss ways in which their request could be adapted and brought within the appropriate limit.

If requests have been aggregated as outlined in section 10.4 and the total cost of handling the requests exceeds the appropriate limit, the request can be refused under Section 12.

There is no appropriate limit set for EIR requests. However it may be relevant for some exceptionally costly requests to be considered as ‘manifestly unreasonable’ under regulation 12(4)(b).

## **12.4 Vexatious and Repeated Requests**

An FOI request can be considered vexatious when an activity is likely to cause distress or irritation, literally to vex a person to whom it is directed without due cause. Factors include:

- Previous possession of the information
- Tendentious language
- Background history between the requestor and the public authority
- Reopening issues

If the CCG has recently complied with a request for information then it is not required to comply with a subsequent identical or similar request unless a reasonable time interval has elapsed.

A log of all requests will be kept for monitoring purposes and this can be used to identify vexatious and repeated requests.

Where Environmental Information is requested it cannot be refused as vexatious. However SR CCG will refuse a request that is “manifestly unreasonable”, under Regulation 12 (4)(b) – Nuisance Requests, subject to a public interest test.

## **12.5 Transferring a Request**

If the CCG does not hold some or all of the information requested but believes that another public authority may hold it then advice and assistance will be provided to the applicant. This will usually involve:

- Contacting the applicant and informing them that the information requested may be held by another public authority.
- Suggesting that the applicant re-applies to the authority which the CCG believes may hold the information.

- Provide them with the contact details for that authority.

If the applicant wishes that the CCG transfers the request on their behalf the applicant will be asked for their consent to transfer their request for information to this public body. A request will not be transferred outside the organisation without the applicant's consent.

Where relevant requests will be transferred internally within the CCG if the applicant is the subject of the request and it becomes a Subject Access Request under the Data Protection Act 2018 and GDPR (see Section 12.6) or if it is to be dealt with in accordance with the Environmental Information Regulations 1992.

In cases where it is apparent that other public authorities as well as the CCG are holding information relevant to a request, the applicant will be advised in writing.

Where it is not possible to advise the applicant which public authority holds or may hold the information further advice and assistance will be considered to enable the applicant to pursue their request if possible.

Where a request is transferred from another public authority to the CCG it will be treated in the same way as it would if it had been received direct from the applicant. To calculate the timescale for responding, the date of transfer will be used as the date of receipt of request.

## **12.6 Personal Information and Data Protection Legislation**

Personal data is information about a living individual from which that individual can be identified. It may take any of the following forms:

- Computer documents.
- Information processed by a computer or other equipment (e.g. CCTV).
- Information in medical and other records.
- Information in some forms of structured manual records.
- Unstructured personal information held in manual form by a public authority (the applicant is likely to be asked to provide extra details to locate the information requested).

If an applicant requests information where they are the subject of that information, they have no right to it under the Freedom of Information Act and the request becomes a Subject Access Request under Data Protection Act 2018 and GDPR. The Subject Access Request will be redirected within the organisation to the appropriate team.

If the personal data relates to someone other than the applicant, there is an exemption if disclosure would breach any of the Data Protection principles. The subject of the information has the right to object to the disclosure. The CCG will undertake to ensure that all requests for personal information are handled in consultation with the subject.

The CCG will endeavour to balance an individual member of staff's right to privacy with the accountability that goes with working in the public sector.

The CCG will not hold information 'in confidence' that is not confidential in nature. The confidential information exemption under the FOI Act only applies if the release of such information constitutes a breach of confidence actionable in a court of law.

## 12.7 Personal Data about Employees

Under GDPR, for the purpose of considering the potential disclosure of staff information under FOIA or the EIR, the CCG can rely on *Lawful Basis (f) – legitimate interests*. Section 40(8) of FOIA, and Regulation 13(6) of the EIR, confirm that for the purposes of considering disclosure, a public authority may consider the legitimate interests lawful basis for processing.

In order to assess whether this lawful basis is engaged the CCG should consider the following three key questions:

1. Purpose: what is the legitimate interest in the disclosure of the information?
2. Necessity: is disclosure necessary for that purpose?
3. Balancing test: does the legitimate interest outweigh the interests and rights of the individual?

Further information on these questions are available in the following documents:

- [ICO Guidance on GDPR – Legitimate Interests](#)
- [ICO Guidance on Personal Information](#)

### 12.7.1 ***Balancing test – some key questions regarding the personal data of public authority employees***

1. What potential harm or distress may disclosure cause?  
You must consider the likely consequences of disclosure in each case. Personal information must not be used in ways that has unjustified adverse effects on the employee concerned.
2. What are the reasonable expectations of the individual?  
When considering the balancing test, it is important for you to take account of whether the proposed disclosure is within the employee's reasonable expectations.
  - *Public vs Private Life* - Information about an employee's actions or decisions in carrying out their job is still their personal data. However, given the need for accountability and transparency about public authorities, there must be some expectation of disclosure.
  - *Seniority* - It is reasonable to expect that more information is disclosed about senior public authority employees than more junior ones. Senior employees should expect their posts to carry a greater level of accountability, since they are



likely to be responsible for major policy decisions and the expenditure of public funds.

- *Public facing roles* - It may also be fair to release more information about employees who are not senior managers but who represent your organisation to the outside world, as a spokesperson or at meetings with other bodies.
  - *Existing policy or standard practice of the public authority* - Current government policy is to promote greater transparency throughout the public sector by more proactive publication of information. This has a bearing on what information employees may reasonably expect you to disclose.
  - *Privacy notices* - The privacy notices also help to shape employees expectations.
3. Does the legitimate interest outweigh the interests and rights of the individual?

### 12.7.2 **Types of staff information**

The following is a list of typical information requested under FOI related to staff information. The ICO guidance [Requests for personal data about public authority employees](#) will be followed in relation to these areas.

- Salaries and bonuses
- Termination of employment
- Lists, directories and organisation charts
- Job descriptions
- Names in documents
- Registers of Interest
- Disciplinary files
- Representatives of other organisations

## 12.8 **Conditions, Exemptions and Exceptions**

### 12.8.1 **Conditions**

The CCG can postpone dealing with a request if:

- It reasonably requires additional information or clarification of the initial request, in order to identify and locate the information requested, and has written to the applicant informing them of this. The CCG will make reasonable efforts to contact the applicant for the additional information (see Section 10.3)
- A fees notice has been served to the applicant and has not been paid within three months (beginning on the day the fees notice is issued).

### 12.8.2 **Exemptions - FOI**

The FOI Act specifies several different exemptions and when they can be applied. There are two types of exemption; absolute and qualified. An absolute exemption means that the organisation is exempt from the need to confirm or deny. This means that SR CCG does not have to admit or deny holding the information. A qualified exemption means

that the organisation has to consider the public interest (see Section 12.9) before making the decision.

The Section 36 Exemption states that information is exempt if, it is the reasonable opinion of a qualified person that disclosure of the information would prejudice the effective conduct of public affairs.

In accordance with the Department of Health guidelines, the qualified person for the purposes of the Freedom of Information Act will be the Accountable Officer.

[Appendix One](#) contains details of the exemptions available under the FOI Act.

#### 12.8.3 **Exceptions - EIR**

The EIR specifies several different exceptions which can be applied. These are all subject to the Public Interest Test (see Section 12.9)

[Appendix Two](#) contains details of the exceptions available under the EIR.

### 12.9 **Public Interest Test**

The public interest must be considered where, in the case of FOIs, a qualified exemption applies or where any exception is applied for an EIR request. The Information Commissioner's Office states that "In effect something in the public interest is something which serves the interests of the public. When applying the test, the public authority is simply deciding whether in any particular case it serves the interests of the public better to withhold or to disclose information."

The public interest will vary with each request and the exemption being considered. It may include ensuring honesty, accountability, transparent decision making and the absence of bias.

It is acknowledged by the ICO that it may take longer than the 20 working day limit to consider the Public Interest Test. Where the CCG requires a longer period to consider the Public Interest Test, a refusal notice will still be issued within the 20 working day timescale stating the exemptions being applied and an estimate of the time by which a decision will be made. A decision regarding the Public Interest Test would normally be made within an additional 20 working days.

The CCG will consider the public interest on a case by case basis. It will seek advice from relevant professionals as necessary, e.g. colleagues, legal experts etc. The public interest does not include protecting an authority or individual from embarrassment. There is no exemption under the Act for embarrassment.

### 12.10 **Redactions**

Where a document contains information which should not be put into the public domain the document should be released with the relevant information redacted.

If an applicant has requested all the information in a document but it is necessary to redact some of the information because an exemption or exception applies, the applicant must be notified that the redactions have taken place and of the exemption or exception which has been applied.

## **13.0 Appeals**

If the applicant wishes to make a complaint about the staff involved in their response then this should be processed as a complaint using the procedure outlined in the CCG Complaints Policy.

If the applicant feels that they have not been given proper advice and help, have not been given the information they requested within 20 working days, is unhappy with the information that has been provided or wishes to appeal against an exemption which has been applied they should, in the first instance contact the Corporate Services Manager to try to resolve the issue. This should be done within the first two months of receiving the response to their request.

If the applicant is still not happy with their response, a request for an internal review can be made in writing to the Accountable Officer:

[nyccg.foi@nhs.net](mailto:nyccg.foi@nhs.net)

NHS North Yorkshire Clinical Commissioning Group  
Corporate Services  
Civic Centre  
Stonecross  
Northallerton  
DL6 2UU

The CCG will appoint an independent senior manager from within the organisation to investigate the original decision made. The senior manager involved in the original decision will be supported by the Freedom of Information Team. The manager will consider the findings and decide whether the request was processed in line with the CCG Freedom of Information Policy and the Section 45 Code of Practice and where relevant, if the original exemption should be upheld or not.

The applicant will be informed of this decision within 20 working days of receipt of their request for an internal review.

If the applicant is still not satisfied with the outcome of their internal review, they can contact the Information Commissioners Office at:

FOI/EIR Complaints Resolution  
Information Commissioner's Office  
Wycliffe House

Water Lane  
Wilmslow  
Cheshire  
SK9 5AF  
Helpline telephone: 01625 545 745

## **14.0 Public Sector Contracts and Third Party Information**

When entering into contracts the CCG will limit the contractual terms which are intended to restrict the disclosure of information held. The CCG cannot 'contract out' its obligations under the FOI Act or EIR. Both the Cabinet Office Code of Practice and Environmental Information Regulations Code of Practice, states that unless an exemption or an exception provided for under the FOI Act is applicable in relation to any particular information and the balancing of public interest favours refusal; a public authority will be obliged to disclose that information in response to a request, regardless of the terms of any contract.

Contractors may put pressure on the CCG to accept confidentiality clauses covering information about the terms of the contract, its value and performance. Where it is necessary to include a non-disclosure provision in a contract (exceptional circumstances only) an option could be to agree a schedule with the contractor that clearly identifies the information that should not be disclosed.

The CCG and the Contractor should be aware that any restrictions on disclosure in such a schedule could be overridden by the obligations of the FOI Act.

The ICO has produced the following documents for public bodies outsourcing services which provide practical guidance for public authorities when procuring services.

- [Transparency in outsourcing: a roadmap](#)
- [Outsourcing and freedom of information – guidance documents](#)

### **14.1 Consultation with Third Parties**

In the event that a request contains information about third parties, the CCG will, wherever possible, contact the third party providing them with the opportunity to comment or raise concerns regarding the response.

Ultimately the decision as to whether the information should be provided or if any exemptions apply will be made by the CCG, as the holder of the information.

## **15.0 Legal Advice**

The Director of Corporate Services Governance and Performance or Head of Corporate Services will decide when legal advice should be sought with advice from the Corporate

Services and EPRR Manager and will then seek such advice through the relevant channels.

## **16.0 Records Management**

Good records management is the key to complying with the FOI Act. The CCG has a Records Management Policy for dealing with records management that is consistent with the Records Management: Code of Practice for Health and Social Care 2016 (July 2016).

Staff should also see the Email and Internet Policy additional guidance.

Good records management will allow the organisation to deal with requests in an efficient and accurate manner. Not knowing whether or not a record is held is not a valid reason for not complying with a request.

## **17.0 Public Sector Equality Duty**

In developing this policy an Equality Impact Analysis (EIA) has been undertaken. As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share Protected Characteristics and no further actions are recommended at this stage.

## **18.0 Bribery Act 2010**

A risk of bribery has been identified within the processing of FOIs where staff may be bribed to provide or not provide information requested. This risk is reduced by effective processes in place.

Requests are anonymised when circulated for information and therefore applicant blind to staff supplying the information.

Requestors are advised how to appeal against decisions made regarding their request. When an appeal is requested the process requires that a review is undertaken by staff not involved in the original decision. If requestors are still not satisfied following an internal review of their case they are advised to contact the ICO who will make a decision as an independent organisation.

## **19.0 Consultation**

In developing this policy discussion has taken place between the FOI Team and staff supporting the process. The policy has been reviewed by the Information Governance Steering Group and approved by the Audit and Governance Committee on behalf of the CCG.

No further engagement was deemed necessary.

## **20.0 Training**

The FOI Team has received suitable training in relation to the management of FOI and EIR requests.

The FOI Team will provide any training identified to staff.

## **21.0 Monitoring Compliance with the Document**

Audit Committee is responsible for monitoring delivery of the FOI service. This is done via updates provided from the IGSG.

IGSG will receive quarterly reports on the FOI service. These reports will detail the number of FOI requests received, a brief description of the information requested and whether this information was provided or an exemption applied. The reports also show the average time taken to respond to FOI requests. Any significant issues will be reported to Audit Committee

## **22.0 Arrangements for Review**

The policy will undergo a full review every four years. Earlier review may be required in response to exceptional circumstances, organisational change or relevant changes in legislation/guidance, as instructed by the senior manager responsible for this policy.

## **23.0 Dissemination**

This policy will be communicated to all staff via team meetings, Staff Newsletter and will be available on the CCG website.

## **24.0 Associated Documentation**

- NHS North Yorkshire CCG Corporate Records Management Standards and Procedural Guidance
- NHS North Yorkshire CCG Data Protection and Confidentiality Policy
- NHS North Yorkshire CCG Subject Access Request Policy
- NHS North Yorkshire CCG Information Security Policy

## **25.0 References**

- [Data Protection Act 2018](#)
- [Freedom of Information Act 2000](#)

- [Records Management Code of Practice for Health and Social Care 2016 \(July 2016\)](#)  
(Due to be revised 2020/21)
- [Cabinet Office Code of Practice on the Discharge of Public Authorities' Functions under Part 1 of the Freedom of Information Act 2000, issued under section 45 of the Act \(July 2018\)](#)
- [Statutory Instrument 1992 No 3240 – The Environmental Regulations 1992](#)
- [Public Sector Information Regulations 2005 \(SI 1515\)](#)
- [Copyright Designs and Patents Act 1988](#)
- [Open Government License](#)
- [ICO Guidance on GDPR – Legitimate Interests](#)
- [ICO Guidance on Personal Information](#)
- [ICO Guidance on Requests for personal data about public authority employees](#)
- [ICO Guidance on Transparency in outsourcing: a roadmap](#)
- [ICO Guidance on Outsourcing and freedom of information – guidance documents](#)

## **26.0 Appendices**

- Appendix One - Exemptions Available Under Part II of The Freedom of Information Act 2000
- Appendix Two – Exceptions Available Under the Environmental Information Regulations 2004
- Appendix Three - Verbal Freedom of Information Request Form Template

## 27.0 Appendix One - Exemptions Available Under Part II of The Freedom of Information Act 2000

There are two types of class exemption:

**Absolute**, which do not require a test of prejudice or the balance of public interest to be in favour of non-disclosure.

**Qualified** by the public interest test, which require the public body to decide whether it is in the balance of public interest to not disclose information.

With the exception of section 21 (information available by other means) exemptions apply not only to the communication of information but also to the duty to confirm or deny, if that itself would disclose information that it is reasonable to withhold.

The following is a complete list of exemptions. They have been highlighted as:

- likely to be relevant to information held by the CCG
- could apply to information held by the CCG
- highly unlikely to apply to information held by the CCG

The absolute exemptions under the FOI Act are:

**Section 21** – Information accessible to applicant by other means – it may be reasonably accessible even if the applicant has to pay for it.

**Section 23** – Information supplied by, or relating to, bodies with security matters – this is aimed at the Security Services, Government Communications Headquarters and the National Criminal Intelligence Service.

**Section 32** – Court records – covers documents in the custody of a court, created by a court or served on or by a public authority for court proceedings.

**Section 34** – Parliamentary privilege – to avoid infringing the privileges of either House of Parliament.

**Section 40** – Personal information – where the applicant is the subject of the information the request must be dealt with in accordance with the Subject Access rights provided in the Data Protection Act 1998. Where the applicant is not the subject of the information, then it is exempt if disclosure of it would breach the Data Protection Act.

**Section 41** – Information provided in confidence – if the disclosure of the information would constitute a breach of confidence that could lead to action against the CCG.

**Section 44** – Prohibitions on disclosure – information is exempt if its release is prohibited under any enactment, it is incompatible with Community obligation or would constitute contempt of court.



The exemptions that are qualified by the public interest test are:

**Section 22** – Information intended for future publication – covers information held with a view to publication by the public authority or another person at some future date.

**Section 24** – National security – information can be exempt if it is required to safeguard national security.

**Section 26** – Defence – information can be exempt if its release would affect the defence of the British Isles, any British colony or the capability and effectiveness of the armed forces.

**Section 27** – International relations – information is exempt if its release would prejudice relations with another State, international organisation, international court or the interests of the UK abroad.

**Section 28** – Relations within the United Kingdom – covers information that may prejudice relations between the administrations within the UK.

**Section 29** – The economy – covers information that would prejudice the economic interest of the UK or of any administration in the UK.

**Section 30** – Investigations and proceedings conducted by public authorities – covers information held for an investigation that the authority has a duty to conduct to decide if a person should be charged with or be found guilty of an offence, relates to criminal proceedings that the authority has power to conduct or relates to civil proceedings brought by or on behalf of the authority.

**Section 31** – Law enforcement – information is exempt if its release would prejudice law enforcement. This includes the prevention and detection of crime, apprehension and prosecution of offenders, administration of justice, the operation of immigration controls and the security of prisons.

**Section 33** – Audit functions – this applies to authorities that have functions relation to the audit of other authorities' accounts and the examination of efficiency and effectiveness of the use of their resources. This does not cover internal auditing functions of authorities.

**Section 35** – Formulation of government policy – relates to government departments and the National Assembly for Wales.

**Section 36** – Prejudice to effective conduct of public affairs – information is exempt if, in the opinion of a qualified person, it would prejudice how the CCG conducts its public affairs.

**Section 37** – Communications with Her Majesty, etc. and honours – covers Her Majesty, other members of the Royal Family.

**Section 38** – Health and Safety – information is exempt if its disclosure would endanger the physical health, mental health or safety of any individual.

**Section 39** – Environmental information – covers information that can be accessed via the Environmental Information Regulations.

**Section 42** – Legal professional privilege

**Section 43** – Commercial interests – information is exempt if it constitutes a trade secret or would prejudice or be likely to prejudice the commercial interests or any person or organisation.

## 28.0 Appendix Two – Exceptions Available Under the Environmental Information Regulations 2004

The public interest test applies to all the exceptions contained in the EIR, except those relating to personal data.

Regulation 12(3) – Personal Data. If the information requested under the EIR includes third party personal data, a public authority may only disclose it in accordance with regulation 13.

Regulation 12(4)(a) – Information not held when receiving a request

Regulation 12(4)(b) – Manifestly unreasonable. There are no cost limits for responses to requests for environmental information; it may therefore be possible for some exceptionally costly requests to be considered manifestly unreasonable.

Regulation 12(4)(c) – The request is too general. To claim the exception, an authority must follow the requirements of regulation 9(2). Where it receives a request which is “too general”, it must contact the applicant within 20 working days and help him or her to refine or clarify the request

Regulation 12(4)(d) – Material in the course of completion, unfinished documents and incomplete data. This exception covers most work in progress. The authority must consider the status of the information at the time of the request. The public interest test is an important consideration; we consider that the public interest in maintaining this exception will decline once the final version of a document has been completed.

Regulation 12(4)(e) – Disclosure of internal communications. This exception should be interpreted broadly and may cover a wide range of internal communications. In practice the scope of this exception is likely to be narrowed by the application of the public interest test. Whether a communication from an external adviser amounts to an internal communication depends on the facts of the case. In the exceptional circumstances of the following case, the tribunal found that such a communication did constitute an internal communication. However regulation 12(4)(e) will not be applicable in all situations involving external advisers.

Regulation 12(5) – Adverse effect. This criterion of “adverse effect” is similar to that of “prejudice” under the FOIA, although not identical. For instance, the “prejudice” criterion under the FOIA is “would, or would be likely to, prejudice”, whereas for adverse effect the harm must be at least probable rather than merely likely.

Regulation 12(5)(a) – International relations, defence, national security or public safety. In accordance with regulation 12(6), an authority is able to opt neither to confirm nor deny whether the information exists and is held, if this would adversely affect any of the matters listed under regulation 12(5)(a). This is subject to the public interest test.

Regulation 12(5)(b) – The course of justice, the ability of a person to obtain a fair trial or the ability of a public authority to conduct an enquiry of a criminal or disciplinary nature

Regulation 12(5)(c) – Intellectual property rights. The exception protects the rights of the authority as well as third parties. An authority must be able to demonstrate that there is a real risk that disclosure would undermine the intellectual property rights.

Regulation 12(5)(d) – The confidentiality of the proceedings of a public authority where such confidentiality is provided by law. A public authority cannot use this exception for environmental information that relates to information on emissions; see regulation 12(9) below.

Regulation 12(5)(e) – The confidentiality of commercial or industrial information where such confidentiality is provided by law to protect a legitimate economic interest. A public authority cannot use this exception for environmental information that relates to information on emissions; see regulation 12(9) below. This exception may cover a wide range of “commercial or industrial information” in the circumstances specified. It could cover either an individual or a body or the public authority itself. For instance, it could include information supplied in relation to a tendering or procurement process and information held by regulators.

Regulation 12(5)(f) – The interests of the person who provided the information where that person

- (i) was not under, and could not have been put under, any legal obligation to supply it to that or any other public authority;
- (ii) did not supply it in circumstances such that that or any other public authority is entitled apart from these Regulations to disclose it; and
- (iii) has not consented to its disclosure.

A public authority cannot use this exception for environmental information that relates to information on emissions; see regulation 12(9) below.

This exception covers the interests of a person who:

- supplied information voluntarily,
- supplied it in the expectation that it would not be disclosed to a third party, and
- has not consented to disclosure of the information supplied.

Regulation 12(5)(g) – The protection of the environment to which the information relates. A public authority cannot use this exception for environmental information that relates to information on emissions; see regulation 12(9) below.

Regulation 12(9) – Information relating to emission. A public authority cannot use the following exceptions for environmental information that relates to information on emissions:

- Confidentiality of the proceedings of a public authority 12(5)(d)
- Confidentiality of commercial or industrial information 12(5)(e)
- Interests of the person who provided the information 12(5)(f)
- Protection of the environment to which the information relates 12(5)(g)

## 29.0 Appendix Three - Verbal Freedom of Information Request Form Template

Request taken by:	
Team Name:	
Date of Request:	
Reference Number:	
Name of Applicant	
Address for the information to be sent to:	
E-mail:	
Phone:	
Information requested as interpreted by the NHS North Yorkshire CCG	

I, **[Applicants Name]** confirm that the above interpretation of my request is correct/ is not correct and the correct request is below **(delete as appropriate)**

<p>Description of information requested.</p> <p>To be filled out by the applicant if the CCGs interpretation was incorrect.</p>	
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## Equality Impact Assessment

### 1. Equality Impact Assessment

<b>Policy / Project / Function:</b>	Freedom of Information and Environmental Information Regulations Policy	
<b>Date of Analysis:</b>	November 2020	
<b>This Equality Impact Assessment was completed by: (Name and Department)</b>	Emma Parker, Corporate Services and EPRR Manager	
<b>What are the aims and intended effects of this policy, project or function?</b>	This policy provides a framework for NHS North Yorkshire Clinical Commissioning Group (CCG) to ensure compliance with the Freedom of Information (FOI) Act and the Environmental Information Regulations (EIR) 2004.	
<b>Please list any other policies that are related to or referred to as part of this analysis?</b>	<ul style="list-style-type: none"> <li>• NHS North Yorkshire CCG Corporate Records Management Standards and Procedural Guidance</li> <li>• NHS North Yorkshire CCG Data Protection and Confidentiality Policy</li> <li>• NHS North Yorkshire CCG Subject Access Request Policy</li> <li>• NHS North Yorkshire CCG Information Security Policy</li> </ul>	
<b>Who does the policy, project or function affect?</b>	Type	Tick those affected
<b>Please Tick ✓</b>	Employees	X
	Service Users	X
	Members of the Public	X
	Other (List Below)	X Providers

## 2. Equality Impact Assessment: Screening

	Could this policy have a positive impact on_____		Could this policy have a negative impact on_____		Is there any evidence which already exists from previous (eg from previous engagement) to evidence this impact
	Yes	No	Yes	No	
Race	X			X	
Age		X		X	
Sexual Orientation		X		X	
Disabled People	X			X	
Gender		X		X	
Transgender People		X		X	
Pregnancy and Maternity		X		X	
Marital Status		X		X	
Religion and Belief		X		X	
Reasoning	<p>Adjustments are made within the policy that whilst FOI requests must be made in writing, they can be accepted over the phone where a language barrier or disability prevents a written request being made.</p> <p>A telephone request form is available in the policy to be completed in these instances. FOI requests can be translated and information can be provided in alternative languages and formats.</p>				
If there is no positive or negative impact on any of the Nine Protected Characteristics go to Section 7 Equality Impact Analysis Findings					

Equality Data	
General	<p>NY CCG Population equality data is available at <a href="#">Y:\North Yorkshire CCGs\0 ALL STAFF\Equality and Impact Assessment</a></p> <p>NY CCG Staff Equality data contains Personal Information – This information available on request from Corporate Services <a href="mailto:nyccg.corporate@nhs.net">nyccg.corporate@nhs.net</a></p>
Age	
Gender	
Race / Nationality	
Disability	
Sexual Orientation	
Gender Reassignment	
Religion / Belief	
Pregnancy and Maternity	
Marriage and civil partnership	



### 3. Equality Impact Analysis: Equality Data Available

**Is any Equality Data available relating to the use or implementation of this policy, project or function?**

Equality data is internal or external information that may indicate how the activity being analysed can affect different groups of people who share the nine *Protected Characteristics* – referred to hereafter as ‘*Equality Groups*’.

Examples of *Equality Data* include:  
(this list is not definitive)

1. Application success rates  
*Equality Groups*
2. Complaints by *Equality Groups*
3. Service usage and withdrawal of services by *Equality Groups*
4. Grievances or decisions upheld and dismissed by *Equality Groups*
5. *Previous EIAs*

Yes	X
No	

Where you have answered yes, please incorporate this data when performing the *Equality Impact Assessment Test* (the next section of this document).

**List any Consultation e.g. with employees, service users, Unions or members of the public that has taken place in the development or implementation of this policy, project or function**

In developing this policy discussion has taken place between the FOI Team and staff supporting the process. The policy has been reviewed by the Information Governance Steering Group and approved by the Audit and Governance Committee on behalf of the CCG.

No further engagement was deemed necessary

**Promoting Inclusivity  
How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation**

Inclusion of processes by which FOI requests can be made verbally where communications in writing is difficult.

FOI requests can be translated and information can be provided in alternative languages and formats.

## 5. Equality Impact Analysis: Assessment Test

What impact will the implementation of this policy, project or function have on employees, service users or other people who share characteristics protected by *The Equality Act 2010* ?

Protected Characteristic	No Impact	Positive Impact	Negative Impact	Evidence of impact and if applicable, justification where a <i>Genuine Determining Reason</i> exists
Gender (Men and Women)	X			
Race (All Racial Groups)		X		The option of a telephone FOI request submission / Information being made in alternative languages.
Disability (Mental and Physical)		X		The option of a telephone FOI request submission / Information being made in alternative formats.
Religion or Belief	X			
Sexual Orientation (Heterosexual, Homosexual and Bisexual)	X			
Pregnancy and Maternity	X			
Transgender	X			
Marital Status	X			
Age	X			

## 6. Action Planning

As a result of performing this analysis, what actions are proposed to remove or reduce any risks of adverse outcomes identified on employees, service users or other people who share characteristics protected by *The Equality Act 2010*?

Identified Potential Issue	Recommended Actions	Responsible Lead	Completion Date	Review Date
No further actions required				



## 7. Equality Impact Analysis Findings

<b>Analysis Rating:</b>	Red		Red / Amber		Amber		Green	X
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		<b>Actions</b>	<b>Wording for Policy / Project / Function</b>
<b>Red</b>  <b>Stop and remove the policy / stop the project / stop the function</b>	<b>Red:</b> As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i> . It is recommended that the use of the policy be suspended until further work or analysis is performed.	<b>Remove the policy Stop the project Stop the function</b>  Complete the action plan above to identify the areas of discrimination and the work or actions which needs to be carried out to minimise the risk of discrimination.	No wording needed as policy / project / function stopped
<b>Red / Amber</b>  <b>Continue the policy / Continue the project / Continue the function</b>	As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i> . However, a genuine determining reason may exist that could legitimise or justify the use of this policy and further professional advice should be taken.	<b>The policy / project / function can be published with the EIA</b>  List the justification of the discrimination and source the evidence (i.e. clinical need as advised by NICE).  Consider if there are any potential actions which would reduce the risk of discrimination.  Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.	As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i> . However, a genuine determining reason exists which justifies the use of this policy and further professional advice.  <b>[Insert what the discrimination is and the justification of the discrimination plus any actions which could help reduce the risk]</b>

		Actions	Wording for Policy / Project / Function
<b>Amber</b>  Adjust the Policy / adjust the project / adjust the function	As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.	<p><b>The policy / project / function can be published with the EIA</b></p> <p>The policy can still be published but the Action Plan must be monitored to ensure that work is being carried out to remove or reduce the discrimination.</p> <p>Any changes identified and made to the service/policy/ strategy etc. should be included in the policy.</p> <p>Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.</p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.</p> <p><b><i>[Insert what the discrimination is and what work will be carried out to reduce/eliminate the risk]</i></b></p>
<b>Green</b>  No major change	As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.	<p><b>The policy / project / function can be published with the EIA</b></p> <p>Another EIA must be completed if the policy is changed, reviewed or if any discrimination is identified at a later date</p>	<p>As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.</p>

## Sustainability Impact Assessment

Policy/Project: *Freedom of Information and Environmental Information Regulations Policy*

Domain	Review questions	Assessment of Impact	Brief description of impact	If negative, how can it be mitigated? / If positive, how can it be enhanced?
<b>Models of Care</b>	<ul style="list-style-type: none"> <li>• Will it minimise 'care miles' making better use of new technologies such as telecare and telehealth, delivering care in settings closer to people's homes?</li> <li>• Will it create incentives to promote prevention, healthy behaviours, mental wellbeing, living independently and self-management?</li> <li>• Will it provide evidence-based, personalised care that achieves the best possible health and well-being outcomes with the resources available?</li> <li>• Will it reduce avoidable hospital admissions or permanent admissions to residential care or nursing homes?</li> <li>• Will it pay for services based on health outcomes rather than activity for example through personal budgets?</li> <li>• Will it deliver integrated care, that co-ordinate different elements of care more effectively and remove duplication and redundancy from care pathways?</li> <li>• More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/clinical-and-care-models.aspx">http://www.sduhealth.org.uk/areas-of-focus/clinical-and-care-models.aspx</a></li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its business conduct and accountable to the public in all aspects including its commitment to acting in a socially responsible way.	
<b>Travel</b>	<ul style="list-style-type: none"> <li>• Will it reduce 'care miles' (telecare, care closer) to home?</li> <li>• Will it reduce repeat appointments?</li> <li>• Will it provide / improve / promote alternatives to car based transport (e.g. public transport, walking and cycling)?</li> <li>• Will it support more efficient use of cars (car sharing, low emission vehicles, community transport, environmentally friendly fuels and technologies)?</li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its business conduct and accountable to the public in all aspects including its	

Domain	Review questions	Assessment of Impact	Brief description of impact	If negative, how can it be mitigated? / If positive, how can it be enhanced?
	<ul style="list-style-type: none"> <li>Will it improve access to services and facilities for vulnerable or disadvantaged groups or individuals?</li> <li>Have you quantified the health outcomes via the HOTT (Health Outcomes of Travel Tool)</li> <li>More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/travel.aspx">http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/travel.aspx</a> and <a href="https://www.sduhealth.org.uk/delivery/measure/health-outcomes-travel-tool.aspx">https://www.sduhealth.org.uk/delivery/measure/health-outcomes-travel-tool.aspx</a></li> </ul>		commitment to acting in a socially responsible way.	
<b>Procurement</b>	<ul style="list-style-type: none"> <li>Will it specify social, economic and environmental outcomes to be accounted for in procurement and delivery in line with the <a href="#">Public Services (Social Value) Act 2012</a>?</li> <li>Will it stimulate innovation among providers of services related to the delivery of the organisations' social, economic and environmental objectives?</li> <li>Will it reduce waste, environmental hazards and toxic materials for example by reducing PVC, antibiotic use, air pollution, noise, mining and deforestation?</li> <li>Will it reduce use of natural resources such as raw materials, embedded water, and energy to promote a <a href="#">circular economy</a>?</li> <li>Will it support the local economy through local suppliers, SMEs or engage with third sector or community groups?</li> <li>Will it <a href="#">promote ethical purchasing of goods or services</a> e.g. increasing transparency of modern slavery in the supply chain globally?</li> <li>More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/commissioning-and-procurement/procurement.aspx">http://www.sduhealth.org.uk/areas-of-focus/commissioning-and-procurement/procurement.aspx</a></li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its business conduct and accountable to the public in all aspects including its commitment to acting in a socially responsible way.	

Domain	Review questions	Assessment of Impact	Brief description of impact	If negative, how can it be mitigated? / If positive, how can it be enhanced?
<b>Facilities Management</b>	<ul style="list-style-type: none"> <li>Will it reduce the amount of waste produced or increase the amount of waste recycled?</li> <li>More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/waste.aspx">http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/waste.aspx</a></li> <li>Will it reduce water consumption?</li> <li>Will it improve the resource efficiency of new or refurbished buildings (water, energy, density, use of existing buildings, designing for a longer lifespan)?</li> <li>Will it improve green space and access to green space?</li> <li>More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/energy.aspx">http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/energy.aspx</a></li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its business conduct and accountable to the public in all aspects including its commitment to acting in a socially responsible way.	
<b>Workforce</b>	<ul style="list-style-type: none"> <li>Will it provide employment opportunities for local people?</li> <li>Will it promote or support equal employment opportunities?</li> <li>Will it promote healthy working lives (including health and safety at work, work-life/home-life balance and family friendly policies)?</li> <li>Will it offer employment opportunities to disadvantaged groups and pay above living wage?</li> <li>More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/social-value.aspx">http://www.sduhealth.org.uk/areas-of-focus/social-value.aspx</a></li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its business conduct and accountable to the public in all aspects including its commitment to acting in a socially responsible way.	
<b>Community Engagement</b>	<ul style="list-style-type: none"> <li>Will it promote health, increase community resilience, social cohesion, reduce social isolation and support sustainable development?</li> <li>Will it <a href="#">reduce inequalities in health</a> and access to services?</li> <li>Will it increase participation including patients, the public, health</li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its	



Domain	Review questions	Assessment of Impact	Brief description of impact	If negative, how can it be mitigated? / If positive, how can it be enhanced?
	<p>professionals and elected officials to contribute to decision making?</p> <ul style="list-style-type: none"> <li>• Have you sought the views of our communities in relation to the impact on sustainable development for this activity?</li> <li>• Will it increase peer-support mechanisms?</li> <li>• More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/community-resilience.aspx">http://www.sduhealth.org.uk/areas-of-focus/community-resilience.aspx</a></li> </ul>		business conduct and accountable to the public in all aspects including its commitment to acting in a socially responsible way.	
<b>Adaptation to Climate Change</b>	<ul style="list-style-type: none"> <li>• Will it support mitigation of the likely effects of climate change (e.g. identifying proactive and community support for vulnerable groups; contingency planning for flood, heatwave and other weather extremes)?</li> <li>• More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/community-resilience/community-resilience-copy.aspx">http://www.sduhealth.org.uk/areas-of-focus/community-resilience/community-resilience-copy.aspx</a></li> </ul>	0 - Neutral	The policy ensures that the organisation is open and transparent in its business conduct and accountable to the public in all aspects including its commitment to acting in a socially responsible way.	
<b>Estimated carbon benefit</b>	<ul style="list-style-type: none"> <li>• What is the estimated carbon benefit (in terms of tCO<sub>2</sub>e) from the implementation of this project? As opposed to the current business as usual position. Speak with your sustainability manager and see the following guidance:</li> <li>• More info: <a href="http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/pharmaceuticals/cspm/sustainable-care-pathways-guidance.aspx">http://www.sduhealth.org.uk/areas-of-focus/carbon-hotspots/pharmaceuticals/cspm/sustainable-care-pathways-guidance.aspx</a></li> </ul>			