

# 2011 Information Legislation & Management survey

## About Your Institution

### 1. What is the name of your institution?

**In response to consultation within the sector we intend to provide public access to the raw data set of survey returns alongside the published results. If you do not want your results to be attributed to your institution then please tick here**

- I do not wish my results to be attributed to my institution

### 2. What type of institution do you represent?

- FE College
- Pre-1992 University
- Post-1992 University
- University College
- Other (e.g. specialist institution, College of Higher Education etc)

**3. In which country / region is your institution located? (Please Note: these are based on the 12 regions of the JISC Regional Support Centres. For a map to help you determine which region your institution falls into please [visit the JISC website \(opens in new window\)](#))**

- |                                  |  |  |
|----------------------------------|--|--|
| <input type="radio"/> South East | <input type="radio"/> East Midlands      | <input type="radio"/> Northern         |
| <input type="radio"/> Sout West  | <input type="radio"/> West Midlands      | <input type="radio"/> Wales            |
| <input type="radio"/> London     | <input type="radio"/> Yorkshire & Humber | <input type="radio"/> Northern Ireland |
| <input type="radio"/> Eastern    | <input type="radio"/> North West         | <input type="radio"/> Scotland         |

### 4. Approximately how many full-time equivalent (FTE) students does your institution have?

## Volume of requests

**5. How many centrally registered FOI or Environmental Information Regulations (EIR) requests or Data Protection Act (DPA) Subject Access Requests/requests for personal data on Data Subjects by 3rd parties did you receive during the following months in 2011?**

# 2011 Information Legislation & Management survey

## FOI

Jan	<input type="text"/>
Feb	<input type="text"/>
Mar	<input type="text"/>
Apr	<input type="text"/>
May	<input type="text"/>
Jun	<input type="text"/>
Jul	<input type="text"/>
Aug	<input type="text"/>
Sep	<input type="text"/>
Oct	<input type="text"/>
Nov	<input type="text"/>
Dec	<input type="text"/>

## EIR

Jan	<input type="text"/>
Feb	<input type="text"/>
Mar	<input type="text"/>
Apr	<input type="text"/>
May	<input type="text"/>
Jun	<input type="text"/>
Jul	<input type="text"/>
Aug	<input type="text"/>
Sep	<input type="text"/>
Oct	<input type="text"/>
Nov	<input type="text"/>
Dec	<input type="text"/>

# 2011 Information Legislation & Management survey

## DPA

Jan	<input type="text"/>
Feb	<input type="text"/>
Mar	<input type="text"/>
Apr	<input type="text"/>
May	<input type="text"/>
Jun	<input type="text"/>
Jul	<input type="text"/>
Aug	<input type="text"/>
Sep	<input type="text"/>
Oct	<input type="text"/>
Nov	<input type="text"/>
Dec	<input type="text"/>

## 6. Of the total number of FOI and EIR requests received how many have resulted in the following responses:

Information not known/not recorded	<input type="text"/>
Disclosed in full	<input type="text"/>
Partially withheld	<input type="text"/>
Fully withheld due to an exemption(s)	<input type="text"/>
Withheld due to a fee being charged but not received	<input type="text"/>
Request refused as being repeated / vexatious	<input type="text"/>
Request refused due to information not being held	<input type="text"/>
Request withdrawn	<input type="text"/>
Clarification sought but not received	<input type="text"/>
Pending	<input type="text"/>
Other (please specify below)	<input type="text"/>

### Please specify

## Types of request

# 2011 Information Legislation & Management survey

**7. Of the total number of requests received which you have dealt with under FOI how many have related to the following subject areas (if a request covers more than one of the areas outlined below please record it under the principal subject area)**

Information not known/not recorded	<input type="text"/>
Estates and buildings	<input type="text"/>
Admissions	<input type="text"/>
Teaching and assessment	<input type="text"/>
Animal research	<input type="text"/>
Other research	<input type="text"/>
Dissertations and theses	<input type="text"/>
Management and administration of the institution	<input type="text"/>
Procurement issues	<input type="text"/>
HR and staff issues	<input type="text"/>
Student issues and numbers	<input type="text"/>
Financial information	<input type="text"/>
IT provision and use	<input type="text"/>
Commercial activities	<input type="text"/>
Other (please specify below)	<input type="text"/>

**Other (please specify)**

## Type of requester

**8. Of the FOI and EIR requests you have received since January 2011 how many have been from each of the following categories of requester. (Please provide separate figures for FOI and EIR)**

# 2011 Information Legislation & Management survey

## FOI

Information not recorded	<input type="checkbox"/>
Journalists	<input type="checkbox"/>
Own staff	<input type="checkbox"/>
Own students	<input type="checkbox"/>
Former staff	<input type="checkbox"/>
Commercial organisations	<input type="checkbox"/>
Staff, researchers, students from other institutions	<input type="checkbox"/>
Other stakeholders (e.g. potential students or their parents, potential investors etc)	<input type="checkbox"/>
Local residents	<input type="checkbox"/>
Lawyers	<input type="checkbox"/>
Campaigning groups	<input type="checkbox"/>
Trade unions	<input type="checkbox"/>
MPs/political parties	<input type="checkbox"/>
Members of the public	<input type="checkbox"/>
Foreign embassy	<input type="checkbox"/>
Other (please specify below)	<input type="checkbox"/>

## EIR

Information not recorded	<input type="checkbox"/>
Journalists	<input type="checkbox"/>
Own staff	<input type="checkbox"/>
Own students	<input type="checkbox"/>
Former staff	<input type="checkbox"/>
Commercial organisations	<input type="checkbox"/>
Staff, researchers, students from other institutions	<input type="checkbox"/>
Other stakeholders (e.g. potential students or their parents, potential investors etc)	<input type="checkbox"/>
Local residents	<input type="checkbox"/>
Lawyers	<input type="checkbox"/>
Campaigning groups	<input type="checkbox"/>
Trade unions	<input type="checkbox"/>
MPs/political parties	<input type="checkbox"/>
Members of the public	<input type="checkbox"/>
Foreign embassy	<input type="checkbox"/>
Other (please specify below)	<input type="checkbox"/>

# 2011 Information Legislation & Management survey

**Other Categories of requestor (please specify whether this was in relation to an FOI or EIR request)**

## Responding to requests

**9. If you routinely record the amount of time it takes to answer an FOI or EIR request or a DPA Subject Access Request please indicate how many requests have taken the following periods of time to complete (from start to finish). Please specify whether you are referring to:**

- Time spent actively working on the request     Total elapsed time (i.e. including periods of inactivity)

### FOI

Between 1 and 5 days

Between 6 and 10 days

Between 11 and 15 days

Between 16 and 20 days

### EIR

Between 1 and 5 days

Between 6 and 10 days

Between 11 and 15 days

Between 16 and 20 days

### DPA

Between 1 and 5 days

Between 6 and 10 days

Between 11 and 15 days

Between 16 and 20 days

Between 21 and 40 days

**10. How many FOI or EIR requests did you receive during 2011 which you did not complete within 20 working days?**

## 2011 Information Legislation & Management survey

**Of these how many of those FOI requests were caused by extensions to the deadline to allow for consideration of the public interest test? (Please note: this element of the question does not apply to Scottish institutions)**

**11. How many DPA Subject Access Requests did you receive during 2011 which you did not complete within 40 days?**

### Responding to requests

**12. Please rank the steps below in order of the amount of time they usually take when completing an FOI or EIR request (ranging from 1 = shortest time to complete to 5 = longest time to complete)**

	1	2	3	4	5
Receipt/forwarding/official 'logging' of the request	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Identifying the relevant information sources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Locating and accessing the required information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reviewing the information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Considering exemptions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internal approval process for agreeing disclosure/withholding of information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Redacting information prior to disclosure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**13. On average, how many members of staff are actively involved in responding to an FOI, EIR or DPA request?**

	1 staff	2 staff	3 staff	4 staff	5 staff	More than 5
FOI	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
EIR	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
DPA	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**14. How many FOI or EIR requests did you receive during 2011 for which you charged a fee?**

FOI

EIR

## 2011 Information Legislation & Management survey

**15. How many FOI or EIR requests did you receive during 2011 for which you charged for disbursements?**

FOI

EIR

**16. During 2011 how many DPA Subject Access Requests did you charge a £10 fee for?**

DPA

**17. Do you publish the FOI or EIR requests you have received and the answers/information you have given (e.g. in the form of a Disclosure Log)?**

- Yes  
 No

**If not, why not?**

- It is not mandatory  
 Unaware of Disclosure Logs or their purpose  
 Their limited value would not justify resources required to implement  
 It might encourage additional requests  
 One is planned but not yet implemented

Other (please specify)

## Exemptions applied

**18. Since January 2011 how many times have you relied on the following exemptions to withhold information requested under FOI/FOISA?**

# 2011 Information Legislation & Management survey

## English/Welsh institutions (under FOI)

s12. Exemption where cost of compliance exceeds appropriate limit	<input type="checkbox"/>
s21. Information reasonably accessible to the applicant by other means	<input type="checkbox"/>
s22. Information intended for future publication	<input type="checkbox"/>
s23. Information supplied by or relating to security bodies	<input type="checkbox"/>
s24. The national security exemption	<input type="checkbox"/>
s25. Certificates under ss. 23 and 24: supplementary provisions	<input type="checkbox"/>
s26. Defence	<input type="checkbox"/>
s27. International relations	<input type="checkbox"/>
s28. Relations within the United Kingdom	<input type="checkbox"/>
s29. Economy	<input type="checkbox"/>
s30. Investigations	<input type="checkbox"/>
s31. Law enforcement	<input type="checkbox"/>
s32. Information contained in court records etc	<input type="checkbox"/>
s33. Public audit	<input type="checkbox"/>
s34. Parliamentary privilege	<input type="checkbox"/>
s35. Policy formulation etc	<input type="checkbox"/>
s36. Effective conduct of public affairs	<input type="checkbox"/>
s37. Communications with Her Majesty and the awarding of honours	<input type="checkbox"/>
s38. Health and safety	<input type="checkbox"/>
s39. Environmental information	<input type="checkbox"/>
s40. Personal information	<input type="checkbox"/>
s41. Information provided in confidence	<input type="checkbox"/>
s42. Legal professional privilege	<input type="checkbox"/>
s43. Commercial interests	<input type="checkbox"/>
s44. Prohibitions on disclosure	<input type="checkbox"/>

# 2011 Information Legislation & Management survey

## Scottish institutions (under FOISA)

s12. Excessive cost of compliance	<input type="text"/>
s25. Information otherwise accessible	<input type="text"/>
s26. Prohibitions on disclosure	<input type="text"/>
s27. Information intended for future publication	<input type="text"/>
s28. Relations within the United Kingdom	<input type="text"/>
s29. Formulation of Scottish Administration policy etc	<input type="text"/>
s30. Prejudice to effective conduct of public affairs	<input type="text"/>
s31. National security and defence	<input type="text"/>
s32. International relations	<input type="text"/>
s33. Commercial interests and the economy	<input type="text"/>
s34. Investigations by Scottish publi authorities and proceedings arising out of such investigations	<input type="text"/>
s35. Law enforcement	<input type="text"/>
s36. Confidentiality	<input type="text"/>
s37. Court records, etc.	<input type="text"/>
s38. Personal information	<input type="text"/>
s39. Health, safety and the environment	<input type="text"/>
s40. Audit functions	<input type="text"/>
s41. Communications with Her Majesty etc. and honours	<input type="text"/>

## Appeals process

**19. Since January 2011 how many requests for information which have been either partially or completely refused by the institution have subsequently been subject to an internal appeal?**

**Of these, how many were:**

Upheld by the internal appeal (i.e. the information was still withheld)

Overruled by the internal appeal (i.e. the information was disclosed)

Decision still pending

## 2011 Information Legislation & Management survey

**20. Since January 2011 how many requests for information which have been either partially or completely refused by the institution have subsequently been subject to an external appeal (i.e. involving the Office of the Information Commissioner, Scottish Information Commissioner, the Information Tribunal or the Court of Session)?**

FOI

EIR

DPA

**Of these, how many were:**

### FOI

Upheld completely by the external appeal (i.e. *all* the information was still withheld)

Upheld in part by the external appeal (i.e. *some* of the information was still withheld)

Overruled by the external appeal (i.e. the information was disclosed)

**Of these, how many were:**

### EIR

Upheld completely by the external appeal (i.e. *all* the information was still withheld)

Upheld in part by the external appeal (i.e. *some* of the information was still withheld)

Overruled by the external appeal (i.e. the information was disclosed)

**Of these, how many were:**

### DPA

Upheld completely by the external appeal (i.e. *all* the information was still withheld)

Upheld in part by the external appeal (i.e. *some* of the information was still withheld)

Overruled by the external appeal (i.e. the information was disclosed)

**21. How many times since January 2011 have you sought formal legal advice when responding to a request or appeal?**

FOI

EIR

DPA

# 2011 Information Legislation & Management survey

## Other comments

## Staffing issues

**22. Do you have an officially designated member of staff and/or team responsible for information compliance legislation?**

- Yes  
 No

**23. If so, approximately what equivalent FTE resource is devoted to information compliance issues (Please note this can be more than 1.0 FTE if more than one person is employed in this area)**

## Records management

**24. Does your institution have an officially designated Records Manager and/or team?**

- Yes  
 No

**25. Do you have an approved records management policy in place?**

- Yes  
 No

## Feedback

## 2011 Information Legislation & Management survey

### 26. What use have you made of the data from previous iterations of this survey within your institution?

(please tick as many as appropriate)

- None
- General professional interest
- To benchmark our performance/experience against others
- To inform management of trends/impact
- To support requests for extra staffing/funding
- To inform presentations and training materials (internal audience)
- To inform presentations and training materials (external audience)
- Referenced in published papers

Other (please specify)

## Future plans

### 27. Would you be interested in adopting an Excel-based tool for logging requests within your institution which could then be used not only for your own internal purposes, but also as a means of submitting your survey return each year with no additional effort?

- Yes
- No

### 28. Would you potentially be interested in being involved with the development of such a tool as part of a working group?

- Yes
- No

### 29. Are you aware of the [Records Management Maturity Model?](#) (link opens in new window)

- Yes
- No

## Maturity Model

## 2011 Information Legislation & Management survey

### 30. Which of the following best reflects your experience of using the Records Management Maturity Model?

- Aware of it but never looked at it
- Looked at it but no interest in completing it
- Intend to complete it one day, but currently no firm plans to do so
- Planning to complete it within the next year
- In the middle of completing it at the moment
- Have completed it in the past and found the process/results useful
- Have completed it in the past but did not find the process/results useful

### Completed Survey Options

#### Would you like to receive a copy of your completed survey form?

- Yes
- No

#### If 'Yes' please provide your email address