

FOI ANNUAL REPORT 2016

**An Assessment of the
Twelfth Year of Freedom
of Information Act Requests
to Invest Northern Ireland**

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1. Introduction

The Freedom of Information Act 2000 (FOI) and the Environmental Information Regulations 2004 (EIR) came fully into force on 1 January 2005.

The FOI Act confers two statutory rights on applicants:

- 1) To be told whether a public authority holds the information requested; and if so,
- 2) To have that information communicated to them

These rights are subject to a limited range of exemptions.

The EIR promotes the release of environmental information by providing a regime similar to the FOI Act. Its aim is to enable increased public participation in environmental decision-making.

This annual report provides information about the handling of all 'non-routine' information requests processed under the FOI Act or EIR, received by Invest Northern Ireland (Invest NI) over the period 1 January to 31 December 2016. Section 3 gives a definition of a non-routine request.

This is the ninth FOI annual report compiled by Invest NI using statistical information gathered on each request during the reporting period. It is consistent with the reports issued by central and local government. This is to help increase accountability, transparency and performance of all bodies covered by the legislation.

The report provides a summary of the performance of Invest NI in its handling of requests made under the FOI Act, including those handled under EIR. Previous annual reports are available on the Invest NI website and can be found at the link below:

<http://www.investni.com/about-us/media-centre/publications-and-reports.html?FirstLetter=F>

2. Executive Summary

This report sets out Invest Northern Ireland's performance during calendar year 2016 in handling requests for information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.

Key findings include:

- Invest Northern Ireland received a total number of 79 non-routine requests handled under the FOI Act and the EIRs.
- 46% of all requests received were submitted by members of the public, followed by businesses with 28%. The media submitted 19% of requests.
- 95% of requests received a substantive response within the time frame permitted by the legislation. The average time for response was 15 days.
- 48% of "resolvable" requests (those where it was possible to give a substantive decision on whether to release the information being sought) were disclosed in full, while 7% resulted in the information requested being fully withheld.
- The most commonly used exemptions were applied to personal information (Section 40/Regulation 13) and commercial information (Section 43).
- A total of 6 internal reviews were requested on the grounds that some or all of the requested information was withheld.
- The original decision was upheld in 67% of internal review cases and the complaint was upheld in part in 33% of cases.
- During this reporting period there was 1 appeal made to the Information Commissioners Office, of which Invest NI has been made aware, relating to the refusal of information requested. Whereas no formal decision notice has been issued to date, the complaint was upheld in part and Invest NI disclosed some information to which the applied exemption did not cover.

3. Definitions

3.1 Defining the scope of Freedom of Information

3.2 Defining a request

3.1 Defining the scope of Freedom of Information monitoring

Section 1 of the Freedom of Information Act 2000 states that (subject to certain exemptions):

'Any person making a request for information to a public authority is entitled
(a) to be informed in writing by the public authority whether it holds information of the description specified in the request, and
(b) if that is the case, to have that information communicated to him'

Regulation 5 of the Environmental Information Regulations 2004 states that (subject to certain exceptions):

'A public authority that holds environmental information shall make it available on request.'

The above provisions apply to all relevant requests for information made to public authorities, no matter how routine and straightforward they may be. Invest NI supplies large amounts of information, both on request and proactively, as an established and routine part of its business. This includes information released in the form of leaflets, correspondence exchanges, reports and other published material, and through websites and its publication scheme.

All information released on request is covered by the FOI Act. However, it would be both uninformative and fundamentally unfeasible to count all such activity in Freedom of Information monitoring returns. The statistics in this report therefore relate only to the 'non-routine' information requests that Invest Northern Ireland has received.

Essentially, this means that statistics recorded only include those requests where:

1. It was necessary to take a considered view on how to handle the request under the terms of the FOI Act, and
2. The Information Management & Governance Team was informed of the request and logged it in their case management system.

3.2 Defining a request

An information request for monitoring purposes is one:

1. Which meets the criteria in section 8 of the FOI Act and, if the request falls under the EIRs, it includes requests made in any form or context, including oral requests; and
2. (i) Which results in the release of information (in any media); or
(ii) Results in information being withheld under an exemption or exception from the right of access (either the FOI Act the EIR); or
(iii) The request is not processed because Invest NI estimates the cost of complying would exceed the appropriate limit in accordance with section 12 of the FOI Act; or
(iv) The request is not processed because Invest NI is relying on the provisions of section 14 of the FOI Act (vexatious or repeated requests); or
(v) Where a search is made for information sought in the request and it is found that none is held.

4. Responsibilities

4.1 Organisational Responsibilities

4.2 Information Management & Governance Team Responsibilities

4.1 Organisational Responsibilities

As the regional business development agency, Invest NI's role is to grow the local economy. We do this by helping new and existing businesses to compete internationally, and by attracting new investment to Northern Ireland.

We are part of the Department for the Economy and provide strong government support for business by effectively delivering the Government's economic development strategies.

Invest Northern Ireland is designated as a separate public authority under the FOI Act. This means that it is independently responsible for handling requests for information.

As required by the FOI Act, Invest NI has produced a publication scheme. This is the vehicle that a public authority uses to inform the public of the information it publishes or intends to publish, where it can be accessed and whether the information will be available free of charge or at a specified cost. Invest NI's publication scheme can be found on its website. This can be accessed via the following web addresses / links:

<http://www.investni.com/about-us/our-approach/freedom-of-information.html>

The Chief Executive is the designated 'qualified person' for the purposes of Section 36 of the FOI Act.

Responsibility for Freedom of Information compliance rests with the Finance and Operations Group, namely the Information Management & Governance Team within the Internal Operations Division.

4.2 Information Management & Governance Team Responsibilities

The Information Management & Governance team has responsibility for the provision of advice and guidance to Invest NI in relation to access to information legislation (the FOI Act, the EIR and the Data Protection Act 1998 (DPA)).

Its main functions in relation to access to information are:

- Overseeing, coordinating, advising and supporting Invest NI in their compliance with access to information legislation.
- Allocating requests received centrally to the relevant Division within Invest NI to prepare a response.
- Issuing guidance and encouraging best practice in relation to request handling.
- Managing a FOI request tracking and monitoring system on behalf of the organisation.
- Overseeing compliance with the ICO model publication scheme contained on Invest NI's website.
- Publishing statistics on the performance of Invest NI in handling FOI requests.

5. Invest Northern Ireland Performance

5.1 Volume of Requests

5.1 Volume of Requests

Invest NI received a total of 79 requests for information under the FOI and EIR legislation during 2016.

Figure 1 below details the annual total number of requests received by Invest Northern Ireland in the last five previous years.

Figure 1: Total Number of Requests Received 2012 – 2016

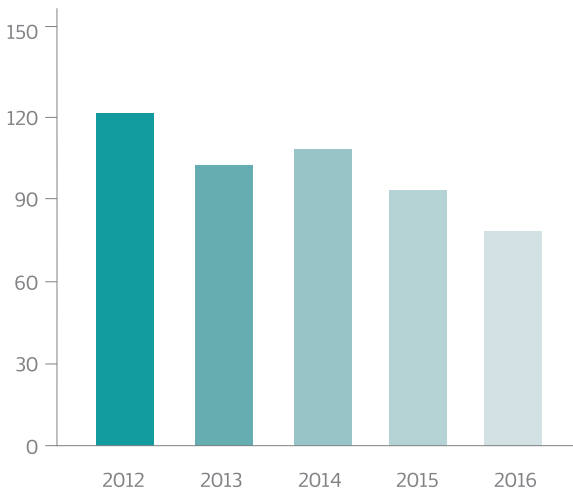
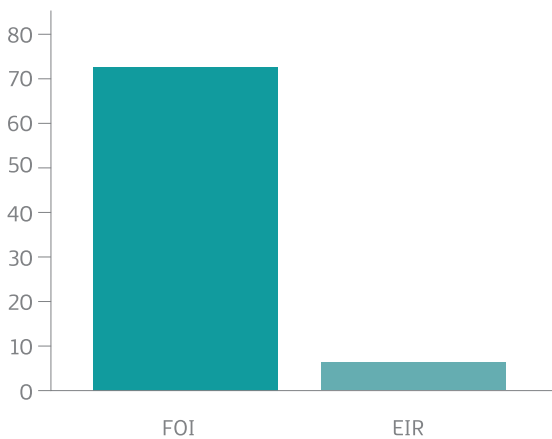
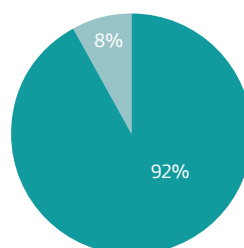


Figure 2 below shows the breakdown by regime under which the requests were handled.

Figure 2: Volume of Requests by Regime



The vast majority of the requests for information were dealt with under the Freedom of Information legislation (92%). The remaining requests were handled under the Environmental Information Regulations (8%).



5. Invest Northern Ireland Performance

5.2 Category of Requester

5.2 Category of Requester

Invest NI assigns one of the following categories to each request: Business, Campaigning Group, Media, Member of the Public, Researcher, Public Representative, or Solicitor.

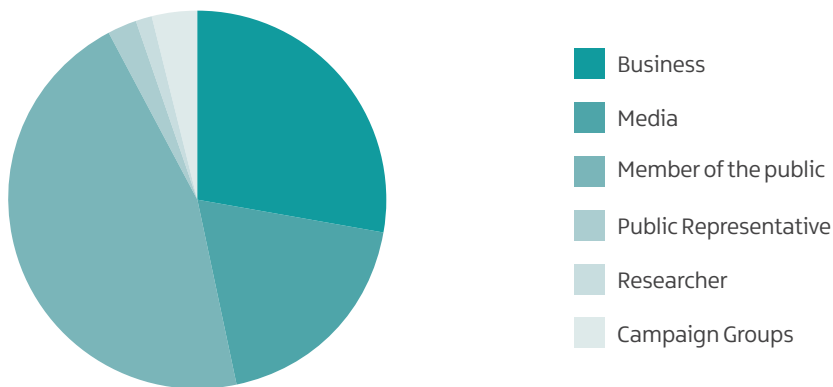
However, it is sometimes not possible to determine accurately the category of requester for every request, though these instances are rare. Using the information that has been provided, conclusions have been drawn regarding the source of the requests submitted.

As Figure 3 below shows, the largest number of requests to Invest NI continues to be received from Members of the Public (46%).

The second largest number of requests was received from Businesses (28%).

The remaining requests came from the Media (19%), Campaign Groups (4%), Public Representatives (2%) and Researchers (1%).

Figure 3: Category of Requester



High profile requests – those received from Campaigning Groups, the Media, and Public Representatives - together accounted for 25% of all requests received in 2016.

5. Invest Northern Ireland Performance

5.3 Outcome of Requests

5.3 Outcome of Requests

Of the 79 requests for information processed in 2016, 2 requests were either ‘on hold’, ‘lapsed’ or ‘withdrawn’ at the time of reporting and none were ‘still being processed’.

Requests may be ‘on hold’ or ‘lapsed’ if the request needed further clarification in order to identify the information being sought and no further response has been received by an applicant.

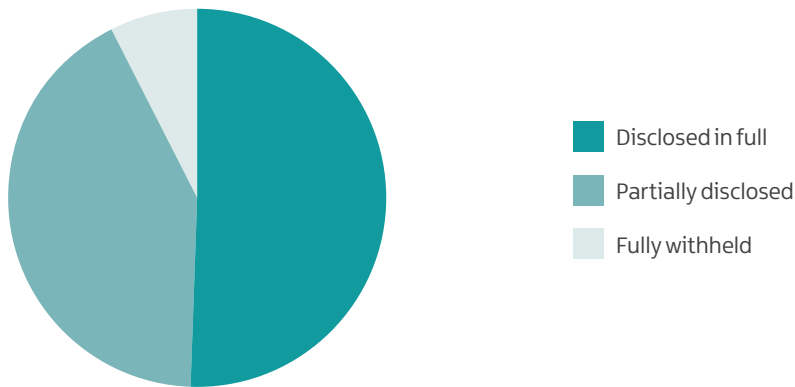
Requests ‘still being processed’ may be going through the public interest test process or are within the 20 day timescale at the time of reporting.

‘Withdrawn’ requests are those where the applicant has advised Invest NI that they no longer require the information during the legislative timeframe for responding.

Of the remaining 77 requests processed, 8 sought information that was ‘not held’ by Invest NI. The remaining 69 requests were classed as ‘resolvable’, in that it was possible to give a substantive decision on whether to disclose the information sought.

As Figure 4 shows, in 51% of resolvable requests the information was disclosed in full and in 42% of cases the information was partially disclosed. In 2016, 7% of requests for information resulted in the information being fully withheld.

Figure 4: Outcome of Requests



The annual disclosure trend for Invest Northern Ireland over the last five years is shown in Figure 5 below.

Figure 5

	2012	2013	2014	2015	2016
Disclosed in Full	64%	71%	43%	43%	51%
Partially Disclosed	30%	24%	38%	46%	42%
Fully Withheld	6%	5%	19%	11%	7%

In 2016, 93% of resolvable requests resulted in all or some of the requested information being released.

5. Invest Northern Ireland Performance

5.4 Use of Exemptions/Exceptions

5.4 Use of Exemptions/Exceptions

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

- The request is considered vexatious or repeated;
- The cost of compliance would exceed the 'appropriate limit' (£450);
- A fee is not paid;
- The information falls in one or more of the categories of exempt information listed in Part II of the Act.

Exemptions are either 'absolute', i.e., no obligation exists under the FOI Act to consider the request for information further, or 'qualified', i.e., the use of the exemption is subject to a public interest test.

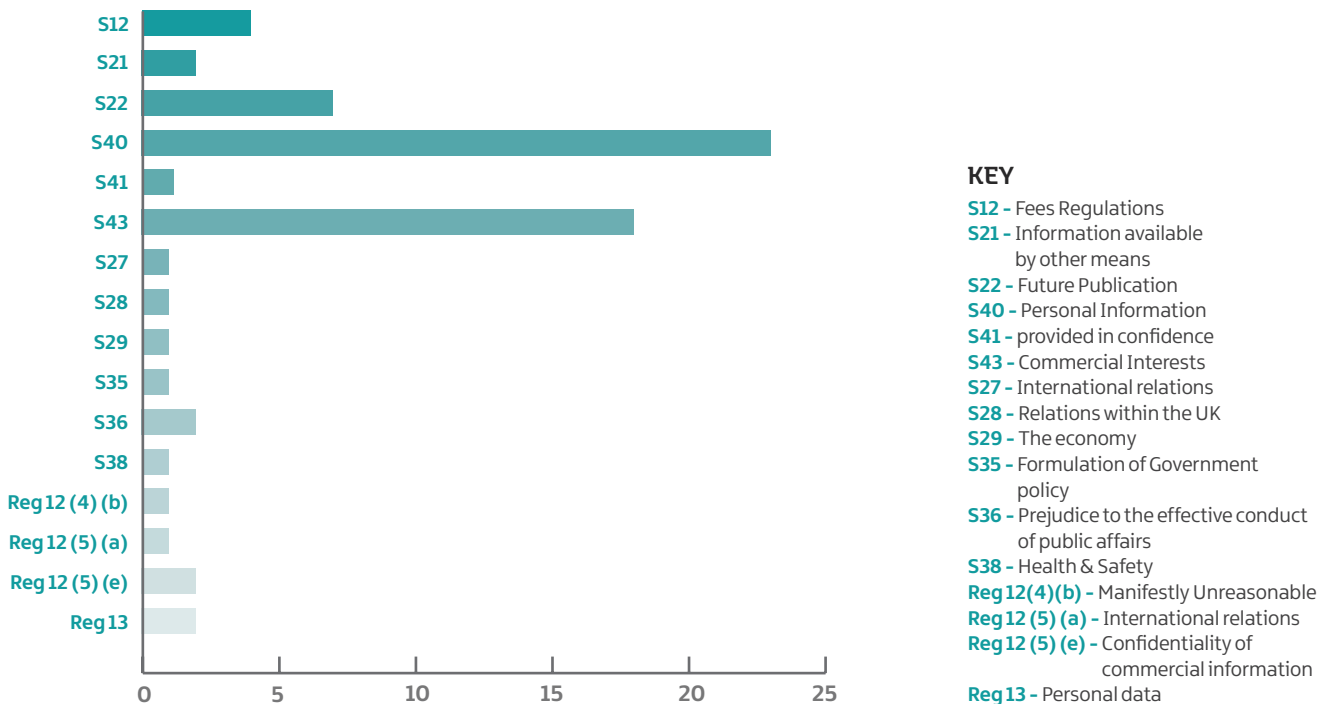
Similarly, the provisions of Part 3 of the EIR provide that a public authority may withhold environmental information if one or more 'exceptions' apply. However the EIR differs from the FOI Act in that Regulation 12(2) states explicitly that 'a public authority shall apply a presumption in favour of disclosure'. And, if an exception applies to requested information, a public interest test must be carried out which applies the aforementioned presumption throughout the test process.

One or more of the exemptions/exceptions were applied to 45% of the total number of resolvable requests. In total, exemptions relied on under the FOI Act were engaged in 30 cases and exceptions under the EIR applied on 2 occasions.

The most commonly applied exemption, as Figure 6 below shows, was in relation to personal information which was used in 33% of resolvable requests, with FOI Section 40(2) being applied to 23 requests.

This was followed by commercial information which was withheld in 26% of resolvable requests with FOI Section 43 (commercial detriment) being applied to 18 requests.

Figure 6: Use of Exemptions & Exceptions



5. Invest Northern Ireland Performance

5.4 Use of Exemptions/Exceptions

5.5 Timeliness of Responses

5.6 Internal Reviews

4 requests were initially refused as the cost to provide the information would have exceeded the 'appropriate limit'.

Overall, 11 of the Section 21 to 44 exemptions were used at least once in 2016 whereas, 4 exception under the Environmental Information Regulations was relied upon.

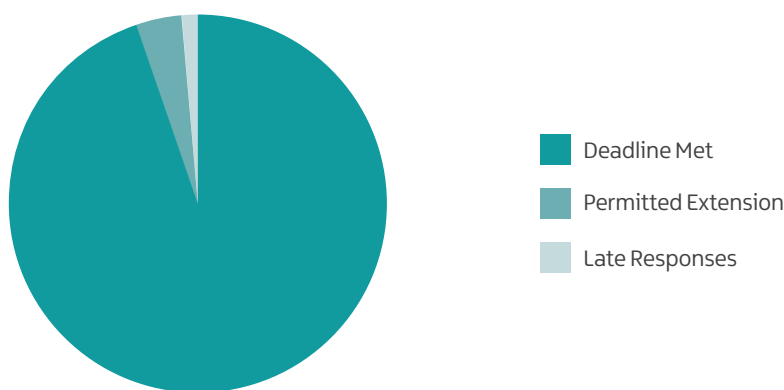
A total of 67 exemptions/exceptions were applied to 33 requests.

5.5 Timeliness of Responses

The FOI Act & EIR require public authorities to respond to requests for information promptly and in any event within 20 working days of receipt, with limited exceptions, such as allowing additional time for the consideration of the public interest or dealing with complex and voluminous requests under EIR.

As Figure 7 below shows, in 2016, 95% of requests received by Invest NI were answered within the statutory timeframe of 20 working days, with 4 requests being responded beyond this. The average time for response was 15 days.

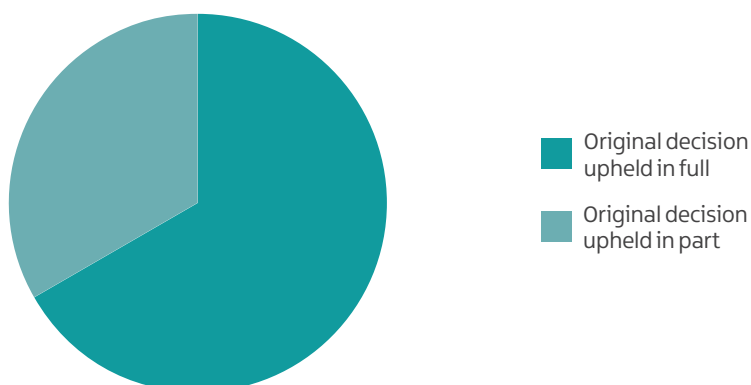
Figure 7: Timeliness of Responses



5.6 Internal Reviews

Requesters can ask Invest NI for an internal review if they are not content with its initial decision to withhold requested information. This review involves a fresh examination of the initial decision.

Figure 8: Internal Review Outcomes



5. Invest Northern Ireland Performance

5.6 Internal Reviews

A total of 6 internal reviews were requested by applicants on the grounds that some, or all, of the information requested was withheld. This represents a total of 16% of all resolvable requests where some or all of the information was withheld.

The outcome is known in all cases as Figure 8 above shows, with 67% upholding the original decision and 33% overturning the original decision in part.

Figure 9 below shows the five-year (2012–2016) trend.

Figure 9: Comparison of Internal Reviews per Number of Resolvable Requests 2012-2016

Year	No of Internal Reviews	No of Resolvable Requests	Internal Reviews as % of resolvable
2012	5	116	4%
2013	2	103	2%
2014	10	92	11%
2015	10	89	11%
2016	6	69	15%

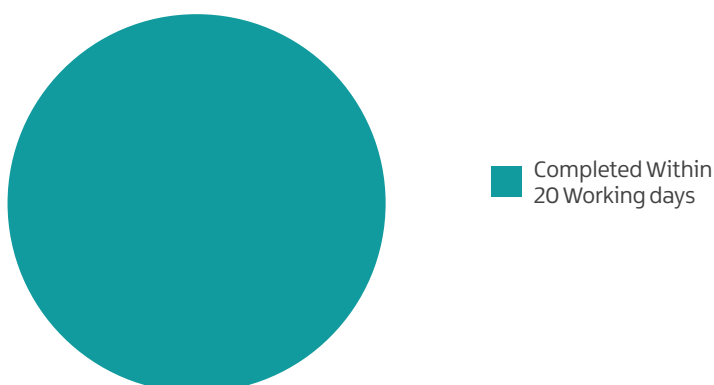
Figure 10 below shows the trend in outcomes:

FIGURE 10: INTERNAL REVIEW OUTCOMES 2012-2016

Year	O/D Upheld	O/D Partially upheld	O/d Overtuned
2012	5	0	0
2013	1	0	1
2014	9	0	1
2015	7	3	0
2016	4	2	0

The FOI Code of Practice issued under section 45 of the FOI Act states that internal review procedures should ‘encourage a prompt determination of the complaint’. As Figure 11 shows all reviews were completed within 20 working days. The average time to complete an internal review was 16 days.

Figure 11: Timeliness of Internal Reviews



5. Invest Northern Ireland Performance

5.7 Appeals to the Information Commissioner

5.8 Appeals to the Information Tribunal

5.7 Appeals to the Information Commissioner

If a requester has obtained an internal review of a response by Invest Northern Ireland to a FOI request, but is still not satisfied with the outcome, he or she can make a formal appeal to the Information Commissioner's Office (ICO).

The ICO is the independent regulator of public authorities in their handling of information requests. Upon receipt of a complaint, it may investigate and may then issue a Decision Notice. A Decision Notice is the Commissioner's final view on whether or not the public authority has complied with the FOI Act or EIR, and on what action it needs to take.

During this reporting period there was 1 appeal made to the Information Commissioners Office, of which Invest NI has been made aware, relating to the refusal of information requested. Whereas no formal decision notice has been issued to date, the complaint was upheld in part and Invest NI disclosed some information to which the applied exemption did not cover.

5.8 Appeals to the Information Tribunal

The Information Tribunal hears appeals as a result of decision notices issued by the Information Commissioner under the FOI Act or the EIRs.

There were no appeals involving Invest Northern Ireland in 2016.

6. Invest Northern Ireland's Performance Tables

Within the following tables please note:

A single refusal can encompass more than one specific exemption/exception

Table 1: Number of requests for information received

Table 2: Category of requests received

Table 3: Timeliness of responses to requests

Table 4: Outcome of requests

Table 5: FOI exemptions & EIR exceptions applied

Table 6: Outcomes of Internal reviews

Table 7: Known Appeals to Information Commissioner's Office

Table 1
Number of requests for information received:

Quarter	1	2	3	4	Annual Total
Total number of requests received	27	21	19	12	79
Processed	27	20	19	11	77
On hold or lapsed	0	0	0	0	0
Still being processed	0	0	0	0	0
Withdrawn	0	1	0	0	1
Closed	0	0	0	1	1

6. Invest Northern Ireland's Performance Tables

Table 2
Category of requests received

Quarter	1	2	3	4	Annual Total
Business	2	7	6	7	22
Campaigning Group	1	0	1	1	3
Media	3	7	5	0	15
Member of the Public	20	6	7	3	36
Public Representative	0	1	0	1	2
Researcher	1	0	0	0	1
Solicitor	0	0	0	0	0

Table 3
Timeliness of responses to requests

Quarter	1	2	3	4	Annual Total
Total received excluding on hold, lapsed or withdrawn	27	20	19	11	77
Deadline met	26	21	17	11	73
Permitted extension	1	0	1	1	3*
Late response	0	0	1	0	1

*s10(3) consideration of public interest test

6. Invest Northern Irelands Performance Tables

Table 4
Number of requests for information received:

Quarter	1	2	3	4	Annual Total
Total number of requests received	27	21	19	12	79
on hold or lapsed	0	0	0	0	0
Still being processed	0	0	0	0	0
Closed/withdrawn	0	1	0	1	2
Total number of requests excluding on hold, lapsed or withdrawn still being processed	27	20	19	11	77
Number where information not held	0	2	0	3	8
Total Resolvable requests	27	18	19	8	69
Information disclosed in full	13	8	11	3	35
Partially disclosed	19	9	7	4	29
Fully withheld	2	1	1	1	5

6. Invest Northern Ireland's Performance Tables

Table 5
FOI exemptions & EIR exceptions applied

Quarter	1	2	3	4	Annual Total
Freedom of Information Exemptions/Environmental Information Exceptions					
The number of times each of the exemptions in sections 21 to 44 or the exceptions in Regulation 12 were cited as the reason for refusal*					
s12(1) Fees Regulations (exceeds Appropriate Limit)-	1	1	1	1	4
s21(2)(a) Accessible by other means	1	0	1	0	2
s22(1) Intended for future publication	2	3	3	0	8
s27 International relations	1	0	0	0	1
s28 Relations within the UK	1	0	0	0	1
S29 the economy	0	0	0	1	1
s31(1) (a) law enforcement	0	2	0	0	2
S35 Formulation of Government Policy	1	0	0	0	1
S36 Effective conduct of public affairs	0	0	1	0	1
S38 Health & Safety	1	0	0	0	1
s40(2) Personal Information	5	7	7	3	22
S41 Information provided in confidence	1	0	0	0	1
s43(2) Commercial Interests	5	6	3	3	17
Reg 12(4)(b) manifestly unreasonable	0	0	1	0	1
Reg 12 (5) (a) – international relations	1	0	0	0	1
Reg 12 (5) (e) – Confidentiality of commercial information	2	0	0	0	2
Reg 13 – Personal data	1	0	0	0	1

* It should be noted that a single refusal can encompass more than one specific exemption / exception

6. Invest Northern Ireland's Performance Tables

Table 6
Outcomes of Internal reviews

Quarter	1	2	3	4	Annual Total
Internal Reviews					
Total number of reviews	4	3	1	2	10
Number where outcome known	4	3	1	2	10
Original decision upheld in full	4	3	0	1	7
Original decision upheld in part	0	0	1	1	3
Original decision overturned	0	0	0	0	0

Table 7
Known Appeals to Information Commissioner's Office

Appeals to the Information Commissioner	QTR1	QTR2	QTR3	QTR4	Annual Total
Total number of known appeals (calendar year to date)	0	0	1	0	1
Number where outcome known	0	0	1	0	1
Original decision upheld in full	0	0	0	0	0
Original decision upheld in part	0	0	1	0	1
Complaint upheld	0	0	0	0	0
Informal resolution	0	0	0	0	0



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