*Notes (to be deleted as required):*

1. *See Guidance on carrying out* an FOI self-assessment *for more information about gathering and recording evidence: www.itspublicknowledge.info/toolkits.*
2. *Boxes will expand as you type*
3. ***NB this document is A3 but it should print as A4 if you send it to an A4 printer***

**Authority** [authority name]

**Lead Officer** [name]

**Date completed** [date evidence gathering completed]

|  | **Questions** | **Evidence gathered** | **Strengths identified** | **Weaknesses identified / Areas for improvement** |
| --- | --- | --- | --- | --- |
|  | **Response rates** |  |  |  |
|  | What percentage of **information** requests are responded to within statutory timescales? |  |  |  |
|  | What percentage of **review** requests are responded to within statutory timescales? |  |  |  |
|  | How has the response rate changed over time? |  |  |  |
|  | **Leadership commitment** |  |  |  |
|  | Have targets been set for responding on time and if so what are they? |  |  |  |
|  | Who has strategic responsibility for FOI? |  |  |  |
|  | To what extent is the strategic owner responsible for ensuring the authority responds to FOI requests / reviews on time. How is this person accountable? |  |  |  |
|  | To what extent do policies and procedures articulate who has authority and decision-making roles for responding to FOI requests / reviews on time? |  |  |  |
|  | To what extent is FOI reflected in risk and governance systems? |  |  |  |
|  | To what extent are FOI duties adequately resourced across the organisation? |  |  |  |
|  | **Tracking, monitoring and reporting** |  |  |  |
|  | What systems are in place to log, track and monitor requests and responses? |  |  |  |
|  | How effective are these systems in enabling the authority to issue responses to requests and reviews on time? |  |  |  |
|  | How is FOI performance reported to and considered at senior management level? |  |  |  |
|  | To what extent has senior management monitoring driven, and resulted in, changes to practice? What were the outcomes for responding on time? |  |  |  |
|  | What arrangements are in place to take action when a response is delayed or likely to be delayed? |  |  |  |
|  | How effective are those arrangements? |  |  |  |
|  | **FOI Knowledge** |  |  |  |
|  | To what extent is FOI training delivered to all new members of staff across the organisation (as part of induction or equivalent)? |  |  |  |
|  | To what extent have all staff been made aware of how to recognise a request and of the statutory timescales (to the extent they need to be)? |  |  |  |
|  | How are staff kept updated and informed about issues which might affect compliance with statutory timescales? |  |  |  |
|  | Does the authority have a *planned* approach to training its staff on FOI? |  |  |  |
|  | How effectively does the authority ensure staff covering for absence are trained and kept updated about FOI? |  |  |  |
|  | How well does the authority ensure that requests receive a response on time when they have been included in other correspondence e.g. complaints? |  |  |  |
|  | How effective are arrangements to ensure that communications staff correctly identify information requests from journalists and respond to them on time? |  |  |  |
|  | **Arrangements for responding on time** |  |  |  |
|  | Does the authority have defined procedures for handling FOI requests? |  |  |  |
|  | To what extent do procedures give guidance on consulting with third-parties within timescales? |  |  |  |
|  | To what extent do procedures give guidance on consulting with requesters and the impact on timescales of seeking clarification? |  |  |  |
|  | How effective are the procedures in giving staff instructions about meeting statutory timescales? |  |  |  |
|  | To what extent do procedures focus on prompt responses (shorter than statutory timescales)? |  |  |  |
|  | How effective are procedures for searching for information and estimating costs in avoiding delays in response times? |  |  |  |
|  | Does the authority have special arrangements for locating and retrieving requested information which is held “off-site”? |  |  |  |
|  | How effective are these arrangements in avoiding delays in responses? |  |  |  |
|  | How effective are the authority’s procedures to respond on time to requests from people with special needs e.g. who need help to make a written request or have asked for information in particular formats? |  |  |  |
|  | Are there arrangements to ensure there is always cover for planned or unplanned absence of FOI staff? |  |  |  |

**Document control sheet**

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| **Document Information** |  |
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| **Summary of changes to document** | | | | |  |
| **Date** | **Action by** | **Version updated** | **New version number** | **Brief description** | |
|  | *(initials)* | *(e.g. v01.25-36****)*** | *(e.g. v01.27, or 02.03)* | (*e.g. updated paras 1-8, updated HOPI to HOOM, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding*) | |
| 13/04/21 | BOW | 02.00 | 02.01 | New document created following approval of draft | |
| 13/04/21 | BOW | 02.01 | 02.02 | DCS updated, published on website | |
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