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| <b>Report to:</b>      | QSMTM Q2 2022-23   |
| <b>Report by:</b>      | Helen Gardner- Swift, Head of Corporate Services (HOCS)<br>Liz Brown, Finance and Administration Manager (FAM) |
| <b>Meeting Date:</b>   | 27 October 2022  |
| <b>Subject/ Title:</b> | Enquiries Service Statistics Report 2022-23<br>VC176120  |
| <b>Attached Papers</b> | N/A  |

## Purpose of report

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- This Committee Report (CR) is required under the Key Document C1 Governance Reporting Arrangements and its purpose is to inform the Senior Management Team (SMT) of the Enquiries Service Statistics for Q1 and Q2 of 2022-23.

## Recommendation and actions

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- I recommend that:
  - the SMT notes the CR
  - this SMT agree the publications arrangements set out in paragraph 22.

## Executive summary

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- This CR covers the following:
  - the numbers of enquiries received in 2022-23 Q1 and Q2 with comparative figures for 2021-22 and 2020-21.
  - the outcome of enquiries in 2022-23, with comparative figures for 2021-22.
  - analyses the number of enquiries responded to in Q1 and Q2, within the timescales set down in the Key Performance Indicators (KPIs) in the Performance and Quality Framework 2022-23 and with comparative figures for 2021-22.

### Enquiries received

|         | Q1  | Q2  | Q3  | Q4  | Total      |
|---------|-----|-----|-----|-----|------------|
| 2020-21 | 177 | 317 | 172 | 194 | <b>860</b> |
| 2021-22 | 178 | 208 | 137 | 160 | <b>683</b> |
| 2022-23 | 163 | 185 |     |     | <b>348</b> |

- A similar number of enquiries was received in Q1 in all 3 years.
- However, there has been a decrease in the number of enquiries received in Q2 compared to 2020-21 (42% lower) and 2021-22 (11% lower).

## Enquiries closed by outcome

|  | 2021-22    |             | 2022-23<br>Q1/Q2 | 2022-23<br>Q3/Q4 | 2022-23<br>total |             |
|--|------------|-------------|------------------|------------------|------------------|-------------|
|  | No         | %           | No               | No               | No               | %           |
| Making / responding to a request/request for review/appeal | 258        | 37%         | 127              |                  | 127              | 36%         |
| DPA / FOIA / UK EIRs referrals to ICO                      | 123        | 18%         | 60               |                  | 60               | 17%         |
| Referred to other SIC website content                      | 48         | 7%          | 28               |                  | 28               | 8%          |
| Not an FOI issue   | 62         | 9%          | 23               |                  | 23               | 7%          |
| Submitting statistics                                      | 17         | 2%          | 23               |                  | 23               | 7%          |
| No response needed   | 46         | 7%          | 18               |                  | 18               | 5%          |
| Missing code   | 14         | 2%          | 16               |                  | 16               | 5%          |
| Body under jurisdiction                                    | 25         | 4%          | 10               |                  | 10               | 3%          |
| Assessing or improving practice                            | 22         | 5%          | 9                |                  | 9                | 3%          |
| Press: request for comment/statement/interview             | 3          | 0.5%        | 8                |                  | 8                | 2%          |
| Signposted to another body                                 | 15         | 2%          | 7                |                  | 7                | 2%          |
| Other  | 2          | 0%          | 5                |                  | 5                | 1%          |
| Governance/finance/resources                               | 5          | 1%          | 5                |                  | 5                | 1%          |
| Sent Word appeal form                                      | 9          | 1%          | 3                |                  | 3                | 1%          |
| Other assistance given                                     | 4          | 1%          | 3                |                  | 3                | 1%          |
| FOISA / EI(S)Rs / INSPIRE                                  | 1          | 0%          | 1                |                  | 1                | 0%          |
| SAR/RFI consultation                                       | 3          | 0.5%        | 1                |                  | 1                | 0%          |
| Sent YRTK  | 6          | 1%          | 1                |                  | 1                | 0%          |
| Publication scheme/Gtl                                     | 0          | 0%          | 1                |                  | 1                | 0%          |
| Publication scheme - advice                                | 9          | 1%          | 1                |                  | 1                | 0%          |
| Request for training                                       | 1          | 0%          | 0                |                  | 0                | 0%          |
| Intervention general enquiry                               | 2          | 0%          | 0                |                  | 0                | 0%          |
| Intervention specific case                                 | 0          | 0%          | 0                |                  | 0                | 0%          |
| Appeal portal  | 7          | 1%          | 0                |                  | 0                | 0%          |
| <b>TOTAL</b>   | <b>682</b> | <b>100%</b> | <b>350</b>       |                  | <b>350</b>       | <b>100%</b> |

6. 2 enquiries were open at the end of the 2021-22 reporting year but are now closed and included in the Q1 and Q2 figures above.

7. There were no enquiries open as at 30 September 2022.

## Response times

8. This CR analyses the number of enquiries responded to within the timescales set down in the Key Performance Indicators (KPIs) in the Key Document C7 Performance and Quality Framework 2022-23 which are:

- 90% to be responded to within 5 working days or fewer
- 95% to be responded to within 20 working days or fewer.

|          | 2021-22<br>Total |        | 2022-23<br>Total |        |
|----------|------------------|--------|------------------|--------|
|          | No               | %      | No               | %      |
| ≤ 5 days | 670              | 98.24% | 345              | 98.57% |

|                      |            |       |      |            |       |      |
|----------------------|------------|-------|------|------------|-------|------|
| > 5 days / ≤ 20 days | 12         | 1.76% | 100% | 5          | 1.43% | 100% |
| > 20 days            | 0          | 0.00% | -    | 0          | 0.00% | -    |
| TOTAL                | <b>682</b> |       |      | <b>350</b> |       |      |

9. Both KPIs have been met in Q1 and Q2 2022-23.

### COVID-19 pandemic

- 10. Our priority as an organisation is to continue to provide key services and guidance within available resource while safeguarding the health, safety and wellbeing of our members of staff.
- 11. Our office premises re-opened in May 2022 and hybrid working is in place. We have continued to respond to enquiries sent to us by email or by post and they are being managed in line with the relevant procedures. Phone messages, relating to an enquiry, can be left on our general office phone number and these are picked up by the Corporate Services Team (CST) and the related details forwarded to the relevant member of staff for response. As the hybrid working system develops, the HOCS and the CST will be considering how telephone enquiries are handled.

### Risk impact

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- 12. We have policies and procedures providing guidance on how to respond to enquiries to ensure that such requests are appropriately managed and responded to. These policies and procedures mitigate against the risk of not complying with our duties and responsibilities.
- 13. This CR contributes towards the control measures aimed at reducing the likelihood and impact of risk relating to information governance and data protection.
- 14. This CR also helps us to monitor and report on organisational outcomes and helps us to mitigate the risk of not performing our statutory functions and duties to a high standard.

### Equalities impact

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- 15. The enquiries service is one of the main points of contact for our organisation and we aim to ensure that no one is unlawfully discriminated against when using this service.

### Privacy impact

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- 16. There is no direct privacy impact arising from this report.

### Resources impact

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- 17. As this area of work falls with “business as usual”, the work required is undertaken within current resources.

### Operational/strategic plan impact

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- 18. The management of and reporting on the Enquiries Service are undertaken as “business as usual” in the Operational Plan 2022-23.

### Records management impact (including any key documents actions)

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- 19. None.

## **Consultation and Communication**

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- 20. QSMTM Q2 minute.
- 21. An Enquiries report will be included in the Annual Report 2022-23.

## **Publication**

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- 22. I recommend that this CR is published in full.