

Severity ratings:

Investigation underway
Structured intervention
Serious concerns / further action possible
Regulatory intervention

Authority / CMEH Reference	Enforcement Issues	Contact Initiated	Action Taken	Current Status	Further Notes	Lead Officer	Severity
[Name Redacted] Local Authority	s16, s17, s45 (IR & A+A), engagement with ICO	[Date redacted]	Letter seeking details on policies and procedures and assurances that improvements will be made	Reopened	[Details redacted]	JS	
[Name Redacted] NDPB's & Others	Engagement with ICO	[Date redacted]	Informal warning letter. Meeting (with complaints) held August 2008. Further meeting held [date redacted]. Ongoing monitoring of response times	Open	[No redactions - This entry is blank]	CW	

[Name Redacted] Central Government	s1, s10, s17, s45 IR Delay & engagement with ICO	[Date redacted]	Letter sought assurances within 20 working days	Open	[Details redacted]	CW	
[Name Redacted] Local Authority	s10, s17, s45 (IR), s46 piecemeal disclosure	[Date redacted]	Advised to contact TNA for RM advice	Reopened	[Details redacted]	JS	
Cardiff County Council ENF0231052	s10, s45 (IR), general concerns about request handling.	02/02/2009	Fact finding letter sent setting out concerns and seeking comment/stats. IN issued after failure to provide requested stats/information.	Open	[Details redacted]	CW	
[Name Redacted] Local Authority	s46 - RM - PA does not appear to have a policy in place	[Date redacted]	Letter requesting clarification to be sent on conclusion of case {case reference redacted}	Open	[Details redacted]	JS	

[Name Redacted] Central Government	s10, s17 (PIT extensions), s45 (IR), Engagement with ICO	[Date redacted]	Letter sought assurances (i) that [name redacted] has procedures in place for recognising / handling requests within time limits; (ii) that [name redacted] would respond to ICO within deadlines and (iii) timeliness of IR. Update - May 2009: stats at end of monitoring period show decline in performance. However, in view of significant personnel changes, a further 6 month monitoring to take place	Open	[Details redacted]	CW	
Department for Communities and Local Government (DCLG) FPR0189170	s45 IR (and EIR equivalent)	30/01/2008	s45 PR issued in relation to IR delays 03_11_08	Open	[Details redacted]	JS	
[Name Redacted] Central Government	Engagement with ICO, S45 (IR), S46	[Date redacted]	Letter sent asking for confirmation and details of how these issues are being addressed	Open	[Details redacted]	JS	
Department of Health (DoH) FPR0187217 (s45) & FPR0224884 (s46)	s1, s10, s17, s45 (IR, transferral of requests and consultation with 3rd parties), s46	31/03/2008	s45 PR issued - advice & assistance, transferring requests, consultation with 3rd parties, complaints procedure	Open	[Details redacted]	JS	

[Name Redacted] Police	s10 (backlog)	[Date redacted]	Letter sent requesting statistics, info on resources, and action plan for clearing backlog.	Open	[Details redacted]	CW	
[Name Redacted] Local Authority	s10, s17, s45 IR, s46	[Date redacted]	Warning letter re failures and potential enforcement action. Monitoring continuing	Open	[Details redacted]	JS	
[Name Redacted] Police	PA appear to be experiencing resource difficulties which may be leading to difficulties in securing s10 compliance. May not have adopted new model publication scheme	[Date redacted]	Letter sent to authority outlining our concerns and requesting clarification of the PA's approach	Open	[Details redacted]	JS	
Greater Manchester Police FPR0184792	s45 (IR)	03/12/2007	Initial contact informal, however unclear whether IR timescales set out in IC's guidance have been adopted. Advised to adopt IR timescales with immediate effect. No confirmation of whether this has been done*.	Open	[Details redacted]	JS	
[Name Redacted] Local Authority	s1, s10, recognition of and handling of requests (piecemeal disclosure); s45(IR) - failure to engage IR / multi-stage IR.	[Date redacted]	Informal letter sent seeking clarification of procedures and assurances that, where they do not conform to the codes/ICO guidance, changes will be made.	Open	[No redactions - This entry is blank]	CW	

[Name Redacted] Police	s10 (backlog), s17, s19 (may not have adopted new model publication scheme)	[Date redacted]	Letter sent to PA outlining concerns, providing advice on s17 and s40, and requesting further info on s10 stats, staff resources and plans to clear backlog.	Open	[Details redacted]	CW	
[Name Redacted] Police	s10, s17, s45 (IR), s46, engagement with ICO, inappropriate use of s22, publication scheme	[Date redacted]	Initial contact letter sent. PA implemented new procedures and gave assurances that engagement/s10 issues resulted from temporary resource issue that has now been addressed with additional staff. Some ongoing engagement issues.	Open	[Details redacted]	JS	
Liverpool City Council FPR0152907	Multiple s45 & s46 issues. Non-compliance with IN	10/01/2007	s45 PR issued 08/05/07 - advice and assistance, complaints procedure	Open	[Details redacted]	CW	
[Name Redacted] Police	s17, s45 (advice & assistance (blanket exemptions) and IR)	[Date redacted]	Warning letter sent. Meeting to discuss issues held	Open	[Details redacted]	JS	

[Name Redacted] Fire & Rescue Authority	s1, s10, s17, s45 (IR), general awareness and training issues	n/a	Issues raised by ex-employee. Contacted her for evidence but no further evidence available. Referred to Good Practice to consider informal advisory approach 17/08/09.	Open	[Details redacted]	Good Practice	
Ministry of Defence (MoD) FPR0219435	s45 IR - IR procedure sets 40 working days as standard 'aspiration' for completion. Audit reveals numerous examples of responses in excess of this. S17 - PIT extensions - a number of repeated extensions/failures to conform to ICO guidance.	31/10/2008	Informal letter sent flagging concerns and seeking clarification of approach/assurances in relation to practice/performance.27/11/08: Response received. MoD has been asked to amend its IR standard timescale from 40 to 20 working days. Monitoring: In vie	Open	[Details redacted]	CW	
[Name Redacted] Central Government	s10 breaches and practice of issuing holding letters; s17 PIT delays and repeated extensions; s16 - failure to provide advice and assistance when applying s12.	[Date redacted]	Informal letter sent flagging concerns and seeking clarification of approach/assurances in relation to practice/performance. [name redacted] response outlined a number of initiatives to address s10/PIT/IR issues. [name redacted] to provide quarterly stat	Open	[Details redacted]	CW	

National Offender Management Service (NOMS) FPR0179447	s10, s17, s45 (IR and advice & assistance), extension of PIT	10/03/2008	s45 PR issued - advice & assistance and complaints procedure. Further DNs issued post PR resulted in letter to Permanent Secretary	Open	[Details redacted]	CW	
[Name Redacted] Local Authority	s10	[Date redacted]	Information on 'what do they know' suggests serious problems with s10 compliance.	Open	[Details redacted]	JS	
[Name Redacted] Central Government	s10, s16, s17, s45 (IR and transferral of requests)	[Date redacted]	Meeting held. Warned of ongoing monitoring. Six months to demonstrate improvements. ICO provided comments on [name redacted] FOI Policy in Feb 08	Open	[Details redacted]	CW	
Nottingham City Council FPR0150356 (s45) FPR0150638 (s46)	Multiple s45 & s46 issues	13/02/2007	s45 PR issued - advice & assistance, transferring requests, complaints procedure. s46 PR issued 23/10/2007	Open	[Details redacted]	JS	

[Name Redacted] Police	s10, s12, s16, s17, s45 (IR and advice & assistance). Inappropriate application of s38.	[Date redacted]	Advised of repeated and systemic failures in meeting at [location redacted] office on [date redacted]. Various follow up meetings including senior management FOI seminar. Internal review of policies and procedures followed by ICO review and comments.	Open	[Details redacted]	JS	
[Name Redacted] Education	Audit underway	n/a	audit underway	Open	[Details redacted]	JS	
[Name Redacted] NDPB's & Others	s10, s12, s16, s17, s45 (IR and advice & assistance)	[Date redacted]	Requested explanation and copies of relevant policies. Formally warned re potential action	Open	[Details redacted]	JS	
[Name Redacted] Local Authority	s17, s45 (mutli-stage IR)		Passed to Good Practice team to provide informal advice on IR procedure 30/07/09.	Open	[Details redacted]	Good Practice	

[Name Redacted] Police	s10, s16	[Date redacted]	Letter sent seeking further information. [location redacted] office met to offer GP advice. Assurances given and additional staff recruited. ICO reviewed policies/procedures. Monitoring ongoing.	Open	[Details redacted]	JS	
[Name Redacted] Local Authority	s10, s17 (7), s45 (IR- generic & more than one stage)	[Date redacted]	Clarification sought from PA. Advised that we hope that the matter can be resolved informally	Open	[Details redacted]	JS	
UK Border Agency (UKBA) ENF0207274	s10, s45(time for IR), engagement with ICO.	16/07/2008	Informal letter asked for evidence of request handling/IR procedures. Sought assurances that performance would approve (NB - typo this should read improve) in the areas identified.	Open	[Details redacted]	CW	
[Name Redacted] Central Government	s46	[Date redacted]	Letter sent seeking explanation for approach/assurances that steps taken to bring into conformity with s46 Code. UPDATE: Case re-opened and letter sent (date redacted) seeking clarification about records management practice and IR procedure.	Open	[Details redacted]	CW	

[Name Redacted] NHS Trust	s10, s17, s45 (IR), s46 (lack of corporate RM)	[Date redacted]	Meeting held, warned of ongoing monitoring	Open	[Details redacted]	JS	
[Name Redacted] Police	s10 - see article at (web address redacted)	[Date redacted]	Letter sent. Further clarification of PA's approach provided. Over reliance on ACPO guidance may be leading to problems with compliance / conformity. Meeting to be held in July 09 **	Open	[Details redacted]	JS	