

Freedom of Information Act 2000 (Section 50)

Decision Notice

Date: 19 May 2008

Public Authority: Rhondda Cynon Taff County Borough Council
Address: The Pavilions
Cambrian Park
Clydach Vale
Tonypany
CF40 2XX

Summary

The complainant requested information relating to individuals excluded from schools in the local authority area as a result of drug finds. Some information was provided, but the authority refused to provide information at individual school level, citing the exemption at section 40 of the Act. The Commissioner's decision is that the public authority applied the Act appropriately in withholding the information requested by virtue of the exemption at section 40. However, the Commissioner also finds that the authority breached the requirements of section 17 of the Act in refusing the request.

The Commissioner's Role

1. The Commissioner's duty is to decide whether a request for information made to a public authority has been dealt with in accordance with the requirements of Part 1 of the Freedom of Information Act 2000 (the "Act"). This Notice sets out his decision.

The Request

2. On 12 May 2006 the complainant requested the following information from the public authority:

"Could you provide details for me of all reported exclusions of pupils as a result of drug finds in local authority schools in your area."

"Please could you detail the number of excluded pupils in each named school where drug finds have been made during 2004 and 2005, including an overall total for those two years.

"Where the information is available could you detail the type of drugs found in each case such as:

AN Other School: 1 pupil excluded (one find of cannabis).

"In addition, if the information is available could you detail how many prosecutions have resulted following drug seizures in schools."

3. The public authority responded on 13 June 2006, providing the following information:

Permanent Exclusion

- 2 cases in 2004/05
- 0 in 2005/06

Fixed Term Exclusion

- 9 cases in 2004/05
- 14 cases in 2005/06

4. The complainant contacted the public authority on 13 June 2006, requesting that the authority provide him with the information he requested in terms of the names of the schools involved. The public authority responded stating that "The information you require is sensitive personal information from which individuals may be identified in contravention of the provisions of the Data Protection Act."
5. On 16 June 2006 the complainant submitted a request for the authority to review its decision to withhold information. The authority responded on 10 July 2006, upholding its decision to withhold information in relation to the complainant's request. This letter invited the complainant to complain again to the authority if he remained dissatisfied.
6. The complainant made a second complaint to the authority on 13 July 2006. The authority responded on 9 August 2006, upholding its refusal and providing the complainant with details of how to contact the Commissioner.
7. On 15 August 2006 the complainant submitted his complaint to the Commissioner.

The Investigation

Scope of the case

8. On 15 August 2006 the complainant contacted the Commissioner to complain about the way his request for information had been handled. The complainant specifically asked the Commissioner to consider the following points:

- That the information withheld is not personal data because he is not seeking the names of those excluded;
- That other local authorities in the area had provided similar information;
- The issue of drugs in schools is of significant public interest

Chronology

9. On 4 January 2007 the Commissioner wrote to the public authority to find out more information about the authority's reasons for refusing the request. The Commissioner requested a copy of the information withheld and answers to the following questions:
 - Why does the authority consider the information withheld to be 'personal data' within the definition set out in section 1(1) of the Data Protection Act 1998 (the 'DPA')?
 - Which data protection principles would be breached if the information were to be disclosed?
 - What other special circumstances exist in the Council's area that led to the decision to exempt the information?
10. On 5 January 2007 the Commissioner wrote to the complainant to explain that his case had now been allocated to a case officer. The complainant responded on 8 January 2007, asking the Commissioner to take into account the fact that reports written by Her Majesty's Chief Inspector of Schools in Wales (and available on her website) detail numbers of exclusions by individual school and are not withheld.
11. On 14 February 2007 the public authority wrote to the Commissioner to explain that, in its opinion, the information withheld is personal data because to release information relating to individual schools could easily, when added to information already in the public domain, allow the individuals concerned to be identified. Furthermore, the public authority considered the information to constitute sensitive personal data within the definition at section 2(g) of the DPA, because it relates to "the commission or alleged commission by him [the data subject] of any offence".
12. The public authority further argued that to disclose the information would breach the first and six data protection principle. At this stage, the authority was unable to furnish the Commissioner with copies of the information withheld, as it had not in fact been collated by the authority.
13. Following further contact between the Commissioner and the public authority, the Commissioner wrote to the authority on 31 July 2007 to ascertain further information about the information withheld.
14. The Commissioner queried the information sent and on 20 February 2007 the public authority provided the following revised figures:
 - 2004/05: 15 exclusions

- 2005/06: 28 exclusions
15. The Commissioner understands that these are the correct figures for the two years in question.

Findings of fact

16. The complainant is seeking statistical information about individual schools. He is not seeking to discover the identity of any individual.
17. Information about exclusions from individual schools is already in the public domain. Overall figures for each school are included in reports compiled by Her Majesty's Chief Inspector of Schools in Wales, and may also be available from other sources. However, this information is not broken down into reasons for exclusion.
18. The public authority has explained that the information withheld derives from databases containing details of exclusions that are held by the public authority. It is possible to identify individuals from the information in these databases.

Analysis

Procedural matters

19. Section 17 of the Act sets out what public authorities must do in order to refuse a request. The full text of section 17 is contained in the attached legal annex.
20. The Commissioner notes that the original refusal notice did not specify the exemption that the authority sought to rely on, or contain any explanation of why the exemption applies. Accordingly, the Commissioner believes that the public authority breached the requirements of section 17(1).
21. The Commissioner further notes that the refusal notice did not contain the particulars of the authority's internal review procedure or of the complainant's rights under section 50. Accordingly, the Commissioner believes that the public authority breached the requirements of section 17(7).

Exemption

Section 40

22. Section 40(2) of the Act provides an absolute exemption for information that constitutes the personal data of third parties, if its disclosure would breach any of the data protection principles, as set out in the DPA. The Commissioner has considered both questions below. All sections of the Act are reproduced in the attached legal annex.

Is the information 'personal data'?

23. Section 1(1) of the DPA states:

““personal data” means data which relate to a living individual who can be identified –

(a) from those data, or

(b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller,

and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual”

24. It is clear that the information withheld does relate to living individuals (the pupils concerned) and that those individuals can be identified by that information and other information in the possession of the 'data controller' (the public authority). This is because the statistical information requested by the complainant is itself derived from databases that include the names of the data subjects.

25. Accordingly, it is the Commissioner's decision that the information requested does constitute personal data, within the definition at section 1(1) of the DPA (quoted at paragraph 23, above).

Would disclosure breach any of the data protection principles?

26. The second test under section 40(2) is whether the disclosure of the information would breach any of the data protection principles. The first data protection principle states:

“Personal data shall be processed fairly and lawfully and, in particular, shall not be processed unless –

(a) at least one of the conditions in Schedule 2 is met, and

(b) in the case of sensitive personal data, at least one of the conditions in Schedule 3 is also met.”

27. In this context, 'processing' is construed broadly and includes disclosure of the information requested. As the information withheld meets the definition of personal data, it can only be disclosed if to do so would be both fair and lawful, and in accordance with the conditions in Schedule 2.

'Identifiability'

28. In considering 'fairness', the Commissioner has first looked at whether disclosure of the information withheld would lead to the identification of the individuals to whom the personal data relate. This is because if disclosure of the information withheld in this case could not lead to the identification of the data subjects, then it would be unlikely that such a disclosure could be considered 'unfair'.

29. The Commissioner has drawn a parallel with the concept of an 'identifiable person' as set out in the European data protection directive (95/46/EC), which is implemented in the UK by the DPA:

““personal data” shall mean any information relating to an identified or identifiable natural person ...; an identifiable person is one who can be identified, directly or indirectly ...”

30. The Commissioner's technical guidance on 'what is personal data' states:

“Sometimes it is not immediately obvious whether an individual can be identified or not, for example, when someone holds information where the names and other identifiers have been removed. In these cases, Recital 26 of the Directive states that, whether or not the individual is nevertheless identifiable will depend on "all the means likely reasonably to be used either by the controller or by any other person to identify the said person".

“Therefore, the fact that there is a very slight hypothetical possibility that someone might be able to reconstruct the data in such a way that the data subject is identified is not sufficient to make the individual identifiable for the purposes of the Directive. The person processing the data must consider all the factors at stake.

“The starting point might be to look at what means are available to identify an individual and the extent to which such means are readily available. For example, if searching a public register or reverse directory would enable the individual to be identified from an address or telephone number, and this resource is likely to be used for this purpose, the address or telephone number data should be considered to be capable of identifying an individual.

“When considering identifiability it should be assumed that you are not looking just at the means reasonably likely to be used by the ordinary man in the street, but also the means that are likely to be used by a determined person with a particular reason to want to identify individuals. Examples would include investigative journalists, estranged partners, stalkers, or industrial spies.”

31. In this particular case the information withheld constitutes the names of schools and the numbers of pupils at each named school that have been excluded for a specific offence. On the one hand this is purely statistical information that does not directly relate to individuals and the Commissioner has no doubt that the complainant in this case is not seeking to identify the individuals concerned. On the other hand, the Commissioner has taken into account that the information withheld could provide significant biographical details of individual young people that may not be widely known in their communities.

32. In order to determine whether the information withheld in this case can identify individuals the Commissioner has looked at various factors, including other information already in the public domain (whether published by the public authority or others, or information known in the community), and other information not currently in the public domain but likely to be placed in the public domain in

the future, including as a result of freedom of information requests.

33. Taking into account the above factors, the Commissioner believes that it would be possible for individuals to be identified if the information withheld were disclosed. The Commissioner believes this is more than a slight hypothetical possibility.

'Fairness'

34. Having determined that disclosure of the information withheld could lead to the identification of the individuals excluded, the Commissioner has looked at whether disclosure would nevertheless be fair.
35. The Commissioner believes that there is an expectation that schools and local authorities will not disclose the reasons for individuals being excluded. The exclusion of a pupil from school on any grounds is a serious issue which is likely to have an adverse impact on the young person concerned. Where the grounds for exclusion relate to the possession of illegal substances, the consequences for the individual could well be very serious indeed. The Commissioner is therefore in no doubt that the disclosure of personal information about a young person who has been excluded from school on such grounds would be unfair. Accordingly, the Commissioner's decision is that any disclosure of the information withheld would be unfair and therefore breach the first data protection principle.
36. The Commissioner therefore believes that the public authority has applied the Act appropriately in withholding the information withheld by virtue of the section 40 exemption, because the information constitutes personal data and its disclosure would be unfair.
37. As the Commissioner has determined that disclosure of the information withheld would breach the first data protection principle, he has not considered whether any of the other principles would have been breached if the information were disclosed.

The Decision

38. The Commissioner's decision is that the public authority dealt with the following elements of the request in accordance with the requirements of the Act:
- Section 1, in applying the section 40 exemption appropriately
39. However, the Commissioner has also decided that the following elements of the request were not dealt with in accordance with the Act:
- Section 17, in that the authority issued an inadequate refusal notice

Steps Required

40. The Commissioner requires no steps to be taken.

Right of Appeal

41. Either party has the right to appeal against this Decision Notice to the Information Tribunal. Information about the appeals process may be obtained from:

Information Tribunal
Arnhem House Support Centre
PO Box 6987
Leicester
LE1 6ZX

Tel: 0845 600 0877
Fax: 0116 249 4253
Email: informationtribunal@tribunals.gsi.gov.uk.
Website: www.informationtribunal.gov.uk

If you wish to appeal against a decision notice, you can obtain information on how to appeal along with the relevant forms from the Information Tribunal website.

Any Notice of Appeal should be served on the Tribunal within 28 calendar days of the date on which this Decision Notice is served.

Dated the 19th day of May 2008

Signed

**Graham Smith
Deputy Commissioner**

**Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF**

Legal Annex

General Right of Access

Section 1(1) provides that -

“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.”

Section 1(2) provides that -

“Subsection (1) has the effect subject to the following provisions of this section and to the provisions of sections 2, 9, 12 and 14.”

Section 1(3) provides that –

“Where a public authority –

(a) reasonably requires further information in order to identify and locate the information requested, and

(b) has informed the applicant of that requirement,

the authority is not obliged to comply with subsection (1) unless it is supplied with that further information.”

Section 1(4) provides that –

“The information –

(a) in respect of which the applicant is to be informed under subsection (1)(a), or

(b) which is to be communicated under subsection (1)(b),

is the information in question held at the time when the request is received, except that account may be taken of any amendment or deletion made between that time and the time when the information is to be communicated under subsection (1)(b), being an amendment or deletion that would have been made regardless of the receipt of the request.”

Section 1(5) provides that –

“A public authority is to be taken to have complied with subsection (1)(a) in relation to any information if it has communicated the information to the applicant in accordance with subsection (1)(b).”

Section 1(6) provides that –

“In this Act, the duty of a public authority to comply with subsection (1)(a) is referred to as “the duty to confirm or deny”.”

Refusal of Request

Section 17(1) provides that -

“A public authority which, in relation to any request for information, is to any extent relying on a claim that any provision of Part II relating to the duty to confirm or deny is relevant to the request or on a claim that information is exempt information must, within the time for complying with section 1(1), give the applicant a notice which -

- (a) states that fact,
- (b) specifies the exemption in question, and
- (c) states (if that would not otherwise be apparent) why the exemption applies.”

Section 17(2) states –

“Where–

- (a) in relation to any request for information, a public authority is, as respects any information, relying on a claim-
 - (i) that any provision of part II which relates to the duty to confirm or deny and is not specified in section 2(3) is relevant to the request, or
 - (ii) that the information is exempt information only by virtue of a provision not specified in section 2(3), and
- (b) at the time when the notice under subsection (1) is given to the applicant, the public authority (or, in a case falling within section 66(3) or (4), the responsible authority) has not yet reached a decision as to the application of subsection (1)(b) or (2)(b) of section 2, the notice under subsection (1) must indicate that no decision as to the application of that provision has yet been reached and must contain an estimate of the date by which the authority expects that such a decision will have been reached.”

Section 17(3) provides that -

“A public authority which, in relation to any request for information, is to any extent relying on a claim that subsection (1)(b) or (2)(b) of section 2 applies must, either in the notice under subsection (1) or in a separate notice given within such time as is reasonable in the circumstances, state the reasons for claiming -

- (a) that, in all the circumstances of the case, the public interest in maintaining the exclusion of the duty to confirm or deny outweighs the public interest in disclosing whether the authority holds the information, or

(b) that, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.”

Section 17(4) provides that -

“A public authority is not obliged to make a statement under subsection (1)(c) or (3) if, or to the extent that, the statement would involve the disclosure of information which would itself be exempt information.

Section 17(5) provides that –

“A public authority which, in relation to any request for information, is relying on a claim that section 12 or 14 applies must, within the time for complying with section 1(1), give the applicant a notice stating that fact.”

Section 17(6) provides that –

“Subsection (5) does not apply where –

- (a) the public authority is relying on a claim that section 14 applies,
- (b) the authority has given the applicant a notice, in relation to a previous request for information, stating that it is relying on such a claim, and
- (c) it would in all the circumstances be unreasonable to expect the authority to serve a further notice under subsection (5) in relation to the current request.”

Section 17(7) provides that –

“A notice under section (1), (3) or (5) must –

- (a) contain particulars of any procedure provided by the public authority for dealing with complaints about the handling of requests for information or state that the authority does not provide such a procedure, and
- (b) contain particulars of the right conferred by section 50.”

Personal information.

Section 40(1) provides that –

“Any information to which a request for information relates is exempt information if it constitutes personal data of which the applicant is the data subject.”

Section 40(2) provides that –

“Any information to which a request for information relates is also exempt information if-

- (a) it constitutes personal data which do not fall within subsection (1), and
- (b) either the first or the second condition below is satisfied.”

Section 40(3) provides that –
“The first condition is-

- (a) in a case where the information falls within any of paragraphs (a) to (d) of the definition of "data" in section 1(1) of the Data Protection Act 1998, that the disclosure of the information to a member of the public otherwise than under this Act would contravene-
 - (i) any of the data protection principles, or
 - (ii) section 10 of that Act (right to prevent processing likely to cause damage or distress), and
- (b) in any other case, that the disclosure of the information to a member of the public otherwise than under this Act would contravene any of the data protection principles if the exemptions in section 33A(1) of the Data Protection Act 1998 (which relate to manual data held by public authorities) were disregarded.”

Section 40(4) provides that –

“The second condition is that by virtue of any provision of Part IV of the Data Protection Act 1998 the information is exempt from section 7(1)(c) of that Act (data subject's right of access to personal data).”

Section 40(5) provides that –

“The duty to confirm or deny-

- (a) does not arise in relation to information which is (or if it were held by the public authority would be) exempt information by virtue of subsection (1), and
- (b) does not arise in relation to other information if or to the extent that either-
 - (i) the giving to a member of the public of the confirmation or denial that would have to be given to comply with section 1(1)(a) would (apart from this Act) contravene any of the data protection principles or section 10 of the Data Protection Act 1998 or would do so if the exemptions in section 33A(1) of that Act were disregarded, or
 - (ii) by virtue of any provision of Part IV of the Data Protection Act 1998 the information is exempt from section 7(1)(a) of that Act (data subject's right to be informed whether personal data being processed).”

Section 40(6) provides that –

“In determining for the purposes of this section whether anything done before 24th October 2007 would contravene any of the data protection principles, the

exemptions in Part III of Schedule 8 to the Data Protection Act 1998 shall be disregarded.”

Section 40(7) provides that –

In this section-

"the data protection principles" means the principles set out in Part I of Schedule 1 to the Data Protection Act 1998, as read subject to Part II of that Schedule and section 27(1) of that Act;

"data subject" has the same meaning as in section 1(1) of that Act;

"personal data" has the same meaning as in section 1(1) of that Act.