

18 October 2016

Wellington House
133-155 Waterloo Road
London SE1 8UG

T: 020 3747 0000
E: nhsi.enquiries@nhs.net
W: improvement.nhs.uk

By email

Dear [REDACTED]

Request under the Freedom of Information Act 2000 (the “FOI Act”)

I refer to your email of 20 September 2016 in which you requested information under the FOI Act from NHS Improvement. Since 1 April 2016, Monitor and the NHS Trust Development Authority (NHS TDA) are operating as an integrated organisation known as NHS Improvement. For the purposes of this decision, NHS Improvement means Monitor and NHS TDA.

Your request

You made the following request:

I wish to submit a new freedom of information request relating to the organisation's internal departmental plans and strategies around the following departments:

1. *Corporate Finance 2016-2017*
 - a. *Annual Report 2015-16 (May not be available as yet but should be towards the end of June)*
 - b. *Financial Strategy 2016 Update/Version*
 - c. *Corporate Business Plan 2016 Update/Version*
 - d. *Budget Book/Strategy 2016 Update/Version*
2. *Information Technology 2016-2017*
 - a. *ICT Strategy 2016 Update/Version*
 - b. *ICT Business/Departmental Plan 2016 Update/Version*

- c. *ICT Organogram*
- 3. *Estates and Facilities Management 2016-2017*
 - a. *Estates and Facilities Management Strategy 2016 Update/Version*
 - b. *Estates and Facilities Business/Departmental Plan 2016 Update/Version*
 - c. *Estates and Facilities Management Organogram*
- 4. *Waste and Environmental Services 2016-2017*
 - a. *Waste Management Strategy 2016 Update/Version*
 - b. *Waste and Environmental Services Business/Departmental Plan 2016 Update/Version*
 - c. *Waste and Environmental Services Organogram*

For the documents I have requested above I require the most recent document covering 2016-2017 version/update. If there're documents that have not yet been published, then please provide me with the relevant month of when these documents will be available.

Please do not send us documents that are out of date even if the document state 2012-2016, I require the up to date 2016-2017 version. This is the most critical part of this project, is that we gain the most recent version of the documents for the whole of public sector to view.

Please can you provide all documents in PDF format. Also please do not send scanned documents as this will not be able to be searched across by people from the public sector.

Decision

NHS Improvement holds some of the information that you have requested. Where we hold this information, this has been provided subject to the withholding of certain information under section 40 of the FOI Act (personal data), as explained below.

Corporate Finance 2016-2017 - whilst under section 21 of the FOI Act a public authority is not required to disclose information when that information is reasonably accessible by other means, we are mindful of our duty under section 16 of the FOI Act to provide advice and assistance, and so we are able to direct you to the following where you will find the information you want.

Annual Report 2015-16 – Monitor’s annual report 2015/16 can be found on its legacy website: <https://www.gov.uk/government/publications/monitor-annual-report-and-accounts-201516>.

NHS TDA’s annual report 2015/16 can be found on its legacy website: <http://www.ntda.nhs.uk/blog/2016/07/21/nhs-trust-development-authority-annual-report-and-accounts-201516/>.

Financial Strategy 2016 – NHS Improvement does not have a Financial Strategy beyond the annual reports and business plan.

Corporate Business Plan 2016 - the NHS Improvement 2016/17 Business Plan can be found here: <https://improvement.nhs.uk/about-us/corporate-publications/business-plan-and-objectives/>

Budget Book/Strategy 2016 – NHS Improvement does not have a Budget Book.

Information Technology 2016-2017

ICT Strategy 2016 Update/Version – NHS Improvement does not hold this information.

ICT Business/Departmental Plan 2016 Update/Version – NHS Improvement does not hold this information.

The above documents are under development, following on from the bringing together of Monitor and the NHS TDA to form NHS Improvement, as referred to above.

ICT Organogram – the attached Annex sets out the organogram for IT within NHS Improvement. The names of employees below Executive Senior Manager level are being withheld from disclosure under section 40 of the FOI Act, as explained below.

Estates and Facilities Management 2016-2017 –

Estates and Facilities Management Strategy 2016 Update/Version – NHS Improvement does not hold this information.

Estates and Facilities Business/Departmental Plan 2016 Update/Version – NHS Improvement does not hold this information.

The above documents are under development, following on from the bringing together of Monitor and the NHS TDA to form NHS Improvement, as referred to above.

Estates and Facilities Management Organogram - the attached Annex sets out the organogram for Estates and Facilities within NHS Improvement. The names of

employees below Executive Senior Manager level are being withheld from disclosure under section 40 of the FOI Act, as explained below.

Waste and Environmental Services 2016-2017 – NHS Improvement does not hold the information requested.

Section 40 – personal data

We consider that some information in the IT and Estates and Facilities organograms is exempt from disclosure under section 40(2) of the FOI Act on the grounds that it contains personal data and that the first condition under section 40(3)(a)(i) is satisfied, namely that disclosure would amount to a breach of the first data protection principle (personal data shall be processed fairly and lawfully).

We consider that employees below the position of Executive Senior Manager have a reasonable expectation that their name would not be disclosed. Therefore disclosing this information without consent would amount to unfair processing and a breach of the first data protection principle.

This is an absolute exemption and consideration of the public interest test is not required.

Review rights

If you consider that your request for information has not been properly handled or if you are otherwise dissatisfied with the outcome of your request, you can try to resolve this informally with the person who dealt with your request. If you remain dissatisfied, you may seek an internal review within NHS Improvement of the issue or the decision. A senior member of NHS Improvement's staff, who has not previously been involved with your request, will undertake that review.

If you are dissatisfied with the outcome of any internal review, you may complain to the Information Commissioner for a decision on whether your request for information has been dealt with in accordance with the FOI Act.

A request for an internal review should be submitted in writing to FOI Request Reviews, NHS Improvement, Wellington House, 133-155 Waterloo Road, London SE1 8UG or by email to nhsi.foi@nhs.net.

Publication

Please note that this letter will shortly be published on our website. This is because information disclosed in accordance with the FOI Act is disclosed to the public at

large. We will, of course, remove your personal information (e.g. your name and contact details) from the version of the letter published on our website to protect your personal information from general disclosure.

Yours sincerely,

A handwritten signature in blue ink that reads "Aidan McCormack". The signature is written in a cursive style with a large initial 'A'.

Aidan McCormack
Organisation Transformation