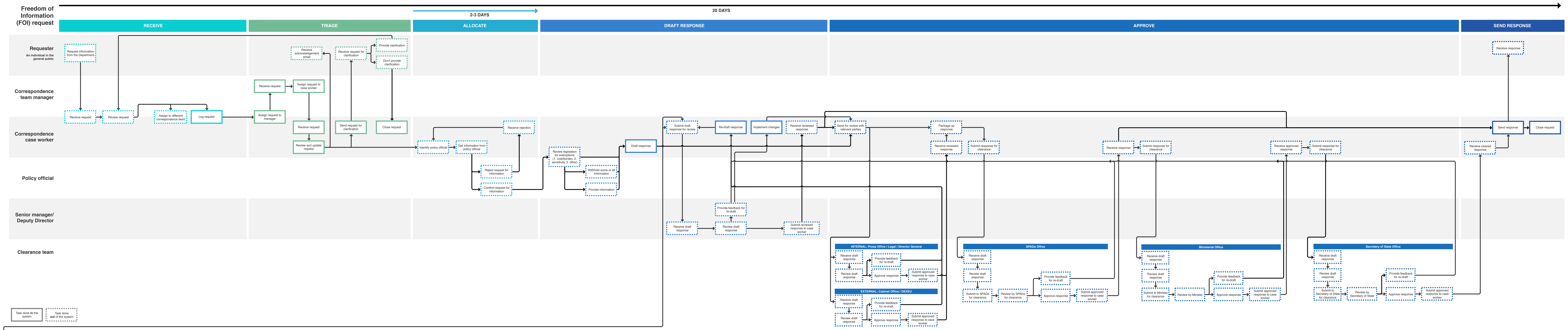


Challenges

Receive request

- Requests need to be manually logged onto the system
- Subject classifications to categorise a request are not detailed enough and can be out of date with department's policy divisions

Request information from the Department

- Policy officials can receive FOI requests directly via email and need to identify if it is an FOI request and pass it on to the correspondence team

Send request for clarification

- Correspondence team needs to contact requesters for more details when requests received lack sufficient detail

Don't provide clarification

- When requesters don't provide additional information, requests remain open in the system

Close request

- Request needs to be manually closed and a new request is created when requesters follow up, which needs to be manually linked to their previous request

Identify policy official

- Case workers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Case workers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Get information from policy official

- Policy officials are often contacted on email and not through the system
- Policy officials are not always sure what an FOI is and require guidance
- Case workers need to chase up policy officials to confirm if a requests is for them in order to keep on top of their deadline

Provide information

- Information is provided on email due to the system's file size restrictions
- Case workers need to manually attach email conversations, notes and information to the system
- Policy officials sometimes have difficulty assessing what information is in scope for an FOI request
- Case workers cannot track the time policy officials spend on providing information, because the request remains assigned in their name

Draft response

- Policy officials have difficulty keeping track of details related to an FOI request as a lot of the discussions happen on email
- Policy officials struggle to learn from FOI requests as the request is drafted by case workers and remain in their name

Receive draft response for review

- When receiving system notifications, managers often don't understand what is required and don't have enough detail to know urgency and detail of the request

Review draft response

- Managers struggle to understand the context around the approach taken to a request when not all conversations and decisions are tracked in the system

Send for review with relevant parties

- Reviewers find the system difficult to learn and use and find it easier to review requests on email
- Correspondence team loses track of the audit trail when reviews happen outside of the system

Submit response for clearance

- Clearance offices prefer printed responses as it is thought to be quicker and easier to review
- Clearance team find it time-consuming to search for a request in the system and not intuitive to navigate it

Review response for clearance

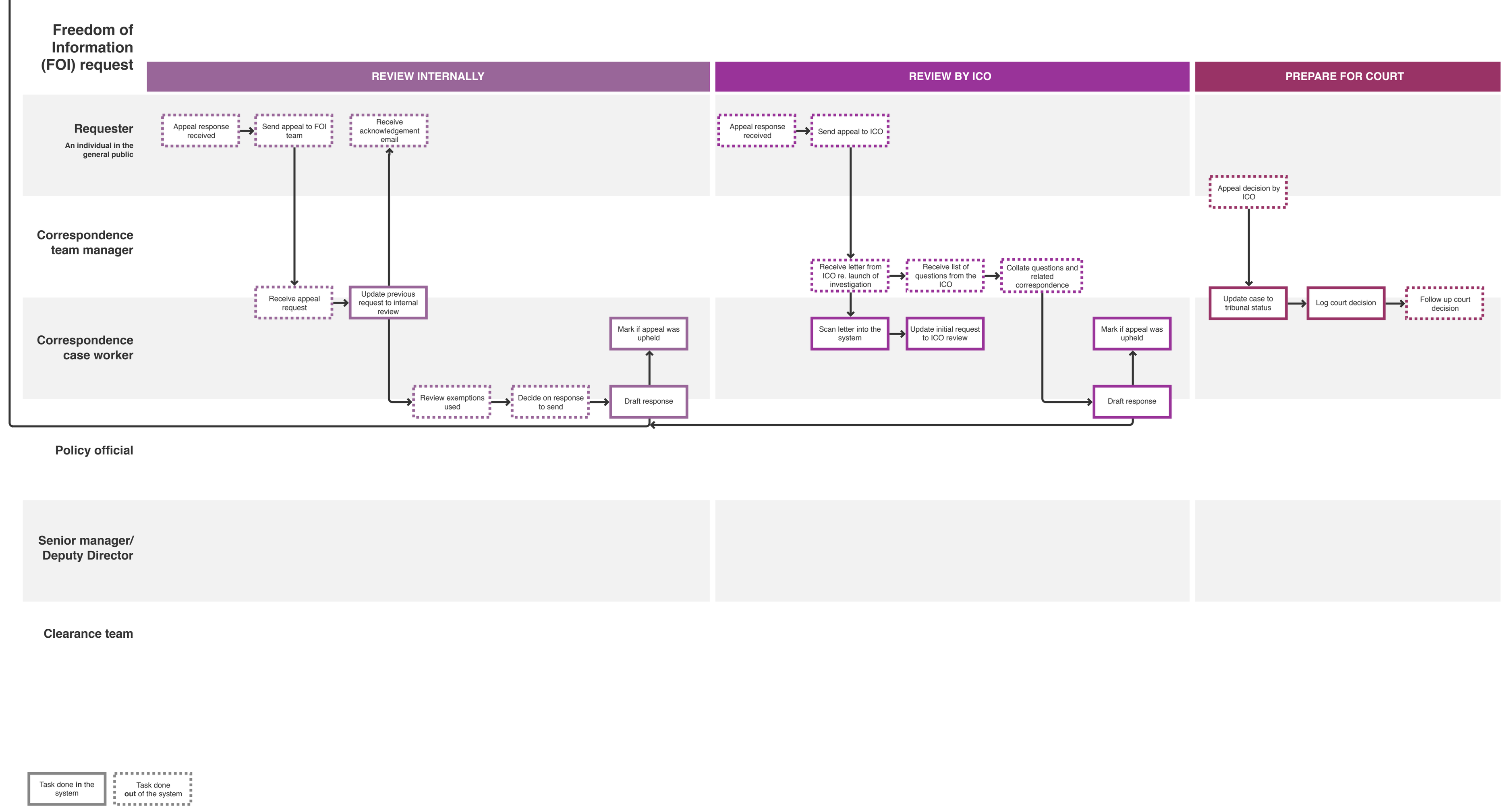
- When clearance team reviews requests on paper copies, correspondence team loses track of who has the request and doesn't know who they need to chase
- People reviewing requests find the system slow to learn and the overwhelming layout and technical language make it difficult to use
- Email is currently experienced to be quicker and more integrated into their day-to-day workflow, and can also be handled on-the-go

Provide comments for re-draft

- Not knowing who contributed which parts of a response means reviewers spend a lot of time tracking down the right person for feedback
- When the clearance team provides feedback on paper copies, the correspondence team need to upload their comments and this loses track of the full audit trail

Send response

- Case workers often need to send multiple responses to the requester due to file size limitations in the system



Challenges

Receive request

- People sometimes request a SAR while the department does not hold any personal information on them and these need to be reassigned to the correspondence team to be processed as a TO

Send request for clarification

- Correspondence team needs to contact requesters for more details when requests received lack sufficient detail

Don't provide clarification

- When requesters don't provide additional information, requests remain open in the system

Close request

- Request needs to be manually closed and a new request is created when requesters follow up, which needs to be manually linked to their previous request

Identify policy official

- Case workers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Case workers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Assign to policy official

- Correspondence case workers chase up policy officials to confirm requests if they haven't responded within the deadline
- Policy officials receive automated notifications from the system which do not offer sufficient detail on the topic or urgency of the request

Provide information

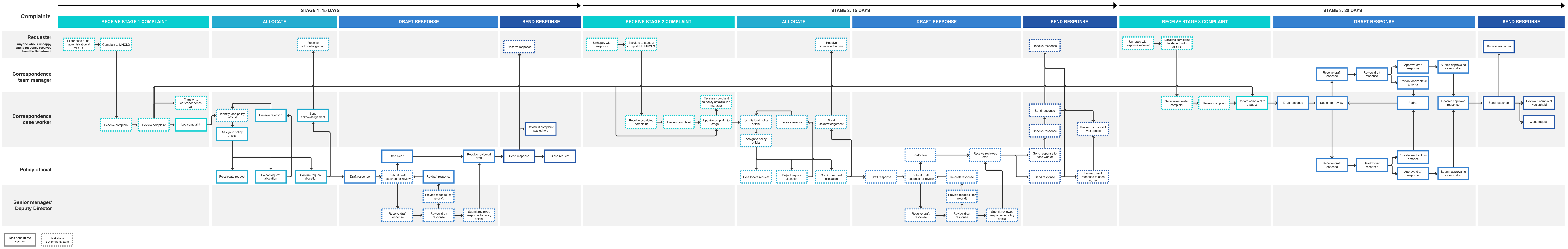
- Information is provided on email due to the system's file size restrictions
- Case workers need to manually attach email conversations, notes and information to the system

Upload redacted information

- Case workers need to upload both the un-redacted and redacted copy of information because redactions cannot be done in the system

Send response

- Case workers often need to send multiple responses to the requester due to file size limitations in the system



Challenges

Receive request

- Complaints that are picked up late by policy officials or have been responded to outside of the suggested approach need to be escalated to a stage 2 or stage 3 complaint upon receipt

Identify policy official

- Case workers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Case workers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Assign to policy official

- Correspondence case workers chase up policy officials to confirm requests if they haven't responded within the deadline
- Policy officials receive automated notifications from the system which do not offer sufficient detail on the topic or urgency of the request

Draft response

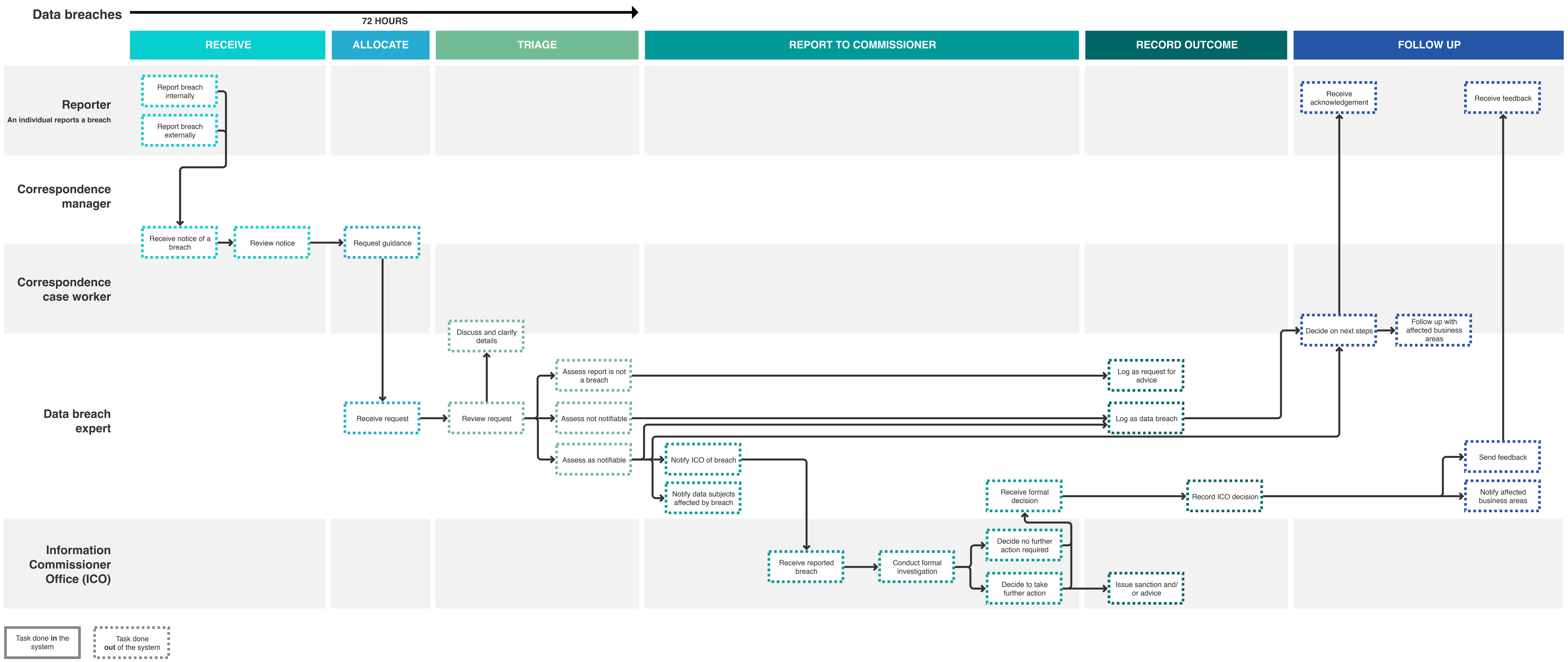
- Policy officials ask case workers often for advice on how to responde to a complaint, but seem unaware guidance is available on the intranet
- Policy officials prefer not to put information in writing regarding complaints

Receive request

- Due to a bug in the system, a complaint cannot be set to stage 2 and needs to be tracked on email and in a spreadsheet

Send response

- Because stage 2 complaint cannot be tracked in the system, policy officials send the final response to the case worker for them to send out and keep track of in their inbox folders



Challenges

Receive request

- Lack of awareness in the department leads to the correspondence team sometimes not being notified when there is a data breach and only receiving notice of it later on
- Reports received don't always constitute a breach which are then logged as request for advice on a spreadsheet

Request guidance

- Because data breaches are not currently tracked in the system and managed on email, case workers need to search their inbox for guidance previously sent
- Difficult to understand trends in requests with the workflow not being integrated in the system

Notify ICO of breach

- Difficult to keep track of which stage a request is at and who is dealing with it when having to manage it all on email

Data protection

Challenges

Receive request

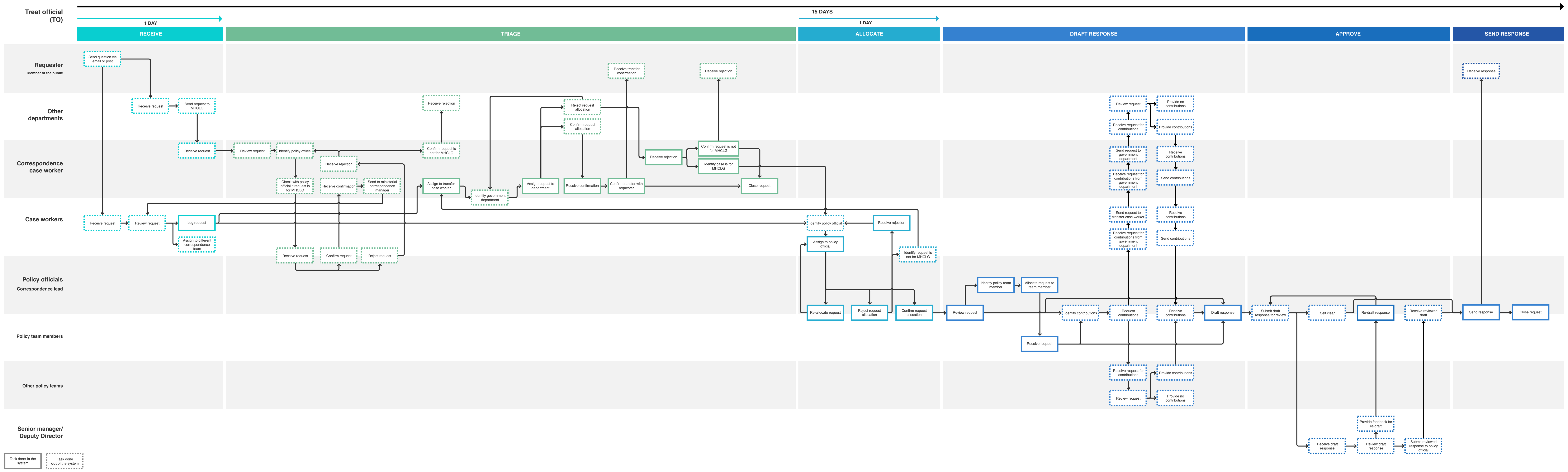
- Lack of awareness in the department leads to the correspondence team sometimes not being notified when there is a data breach and only receiving notice of it later on
- Reports received don't always constitute a breach which are then logged as request for advice on a spreadsheet

Receive request

- Difficult to understand trends in requests with the workflow not being integrated in the system

Draft response

- Because data protection requests are not currently tracked in the system and managed on email, case workers need to search their inbox for responses previously sent
- Case workers sometimes need to work together with the Data Protection expert to when they are unsure about to draft a response



Challenges

Receive request

- Requests need to be manually logged onto the system
- Subject classifications to categorise a request are not detailed enough and can be out of date with department's policy divisions

Review request

- Transfer case workers are reluctant to log requests received from other government departments and track them on a spreadsheet because they don't want requests showing as delayed if it turns out they are not for them
- Transfer case workers lack a insight into how policy areas are divided across the department which make it challenging to identify if a request can be answered by MHCLG

Identify government department

- Identifying the correct government department for a request relies on experience, knowledge and research online when transferring a request

Assign request to department / Confirm transfer

- Transfer case workers store reusable templates in a Word document for correspondence around transfers requests

Identify policy official

- Case workers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Case workers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Assign to policy official

- Correspondence case workers chase up policy officials to confirm requests if they haven't responded within the deadline
- Policy officials receive automated notifications from the system which do not offer sufficient detail on the topic or urgency of the request

Re-allocate request

- Policy officials cannot re-allocate requests to officials outside of their division and need to return it to the correspondence manager to do so

Confirm allocation

- Policy officials sometimes feel pressured to accept requests they might struggle to respond to

Review request

- Difficult for policy officials to identify similar requests for context when drafting a response
- Difficult to identify previously received requests from the same requester

Identify policy team member

- Correspondence lead officials struggle to get an overview of correspondence workload within their team and track requests and deadlines on a spreadsheet

Receive request

- Case workers lose track of what stage treat official is at once it gets assigned to the policy official for drafting

Request Contributions

- Contributions are complex to coordinate through the system with policy officials requesting contributions on email

Receive Contributions

- Contributions received on email need to be manually added to the draft resulting in a loss of audit trail of who drafted which part of a response

Draft response

- Policy officials sometimes submit response via email because they are not very comfortable or familiar using the system
- Policy officials store pre-approved letters on their shared drive to speed up drafting and copy them into their response

Receive draft response for review

- When receiving system notifications, managers often don't understand what is required and don't have enough detail to know urgency and detail of the request

Review draft response

- Managers struggle to understand the context around the approach taken to a request when not all conversations and decisions are tracked in the system

Challenges

Receive request

- Requests need to be manually identified as part of a campaign and are grouped in an inbox folder until a sort filter can be set up
- Subject classifications to categorise a request are not detailed enough and can be out of date with department's policy divisions

Identify policy official

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Review draft response

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Submit response for clearance

- Clearance offices prefer printed responses as it is thought to be quicker and easier to review
- Clearance team find it time-consuming to search for a request in the system and not intuitive to navigate it

Review response for clearance

- When clearance team reviews requests on paper copies, correspondence team loses track of who has the request and doesn't know who they need to chase
- People reviewing requests find the system slow to learn and the overwhelming layout and technical language make it difficult to use
- Email is currently experienced to be quicker and more integrated into their day-to-day workflow, and can also be handled on-the-go

Provide comments for re-draft

- Not knowing who contributed which parts of a response means reviewers spend a lot of time tracking down the right person for feedback
- When the clearance team provides feedback on paper copies, the correspondence team need to upload their comments and this loses track of the full audit trail

Challenges

Receive request

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- Subject classifications to categorise a request are not detailed enough and can be out of date with department's policy divisions

Review request

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Identify government department

- Identifying the correct government department for a request relies on experience, knowledge and research online when transferring a request

Assign request to department / Confirm transfer

- Transfer case workers store reusable templates in a Word document for correspondence around transfers requests

Identify policy official

- Ministerial correspondence managers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Ministerial correspondence managers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Assign to policy official

- Ministerial correspondence managerschase up policy officials to confirm requests if they haven't responded within the deadline
- Policy officials receive automated notifications from the system which do not offer sufficient detail on the topic or urgency of the request

Confirm allocation

- Policy officials sometimes feel pressured to accept requests they might struggle to respond to

Review request

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- Difficult to identify previously received requests from the same requester

Identify policy team member

- Correspondence lead officials struggle to get an overview of correspondence workload within their team and track requests and deadlines on a spreadsheet

Request Contributions

- Contributions are complex to coordinate through the system with policy officials requesting contributions on email

Receive Contributions

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Draft response

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- Policy officials store pre-approved letters on their shared drive to speed up drafting and copy them into their response

Receive draft response for review

- When receiving system notifications, managers often don't understand what is required and don't have enough detail to know urgency and detail of the request

Review draft response

- Managers struggle to understand the context around the approach taken to a request when not all conversations and decisions are tracked in the system

Submit response for clearance

- Clearance offices prefer printed responses as it is thought to be quicker and easier to review
- Clearance team find it time-consuming to search for a request in the system and not intuitive to navigate it

Review response for clearance

- When clearance team reviews requests on paper copies, correspondence team loses track of who has the request and doesn't know who they need to chase
- People reviewing requests find the system slow to learn and the overwhelming layout and technical language make it difficult to use
- Email is currently experienced to be quicker and more integrated into their day-to-day workflow, and can also be handled on-the-go

Provide feedback for re-draft

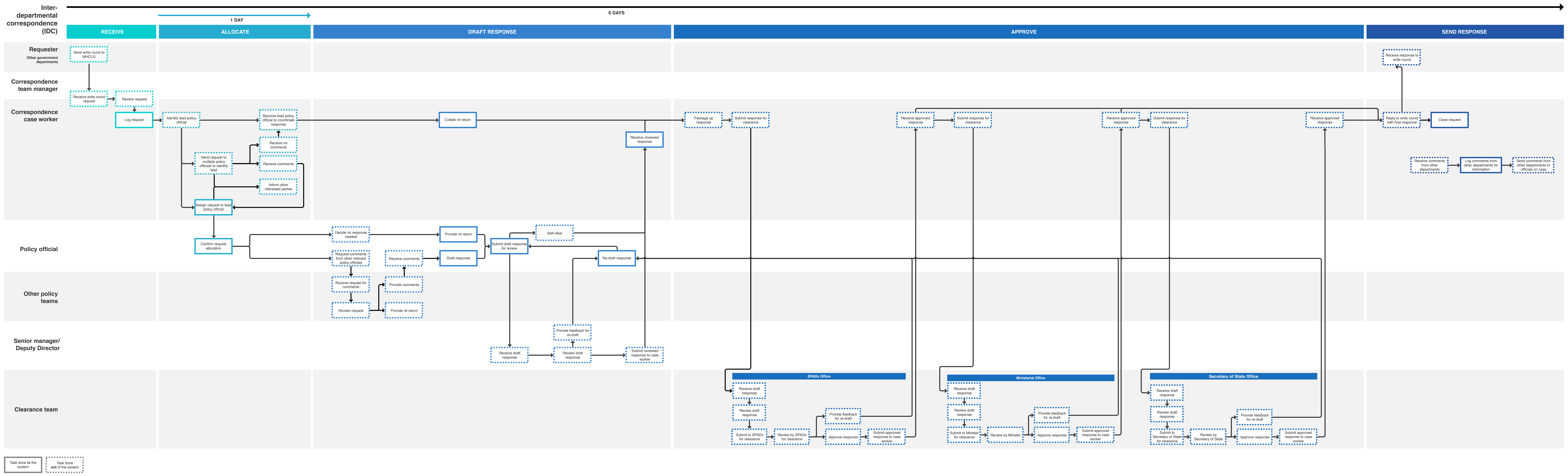
- Ministerial correspondence managers benefit from seeing comments for re-draft so they can proactively improve requests before they reach the Minister

Inform other Private Offices

- Final respones get sent to the relevant Private Offices on email just to inform them about topics related to their policy areas

Send response

Ministerial correspondence managers manually upload the signed and dated response onto the system as proof it being sent



Challenges

Receive request

- Requests need to be manually logged onto the system
- Subject classifications to categorise a request are not detailed enough and can be out of date with department's policy divisions

Receive comments

- Case workers need to manually forward comments received from a write round to the lead official
- Comments received on email need to be manually uploaded to the system

Inform other interested parties

- Case workers send emails in addition to request allocation in the system to keep interested parties in the loop on hot topics

Identify policy official

- Case workers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Case workers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Draft response

- Policy officials sometimes submit response via email because they are not very comfortable or familiar using the system
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Receive draft response for review

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- Email is currently experienced to be quicker and more integrated into their day-to-day workflow, and can also be handled on-the-go

Provide comments for re-draft

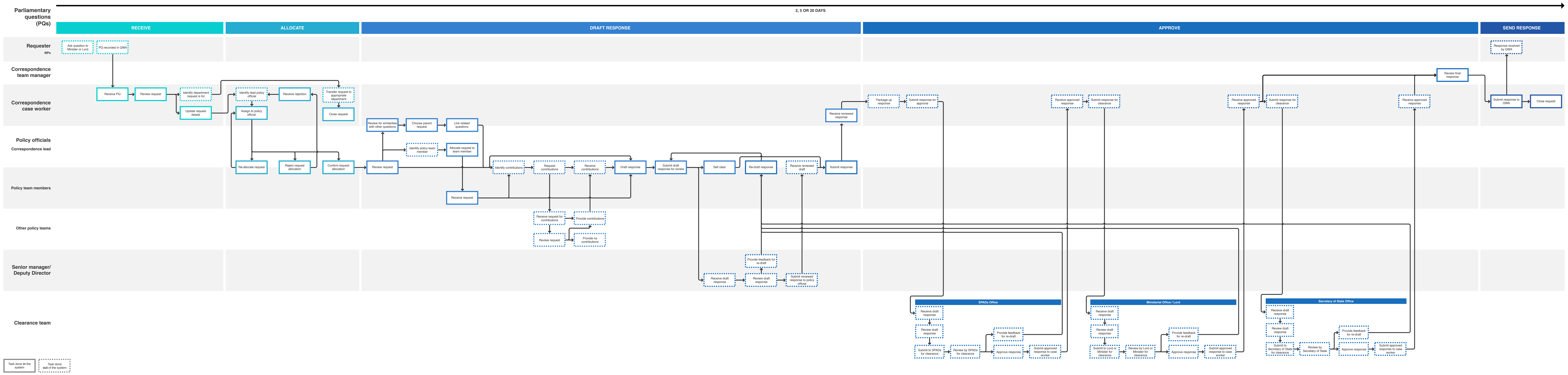
- Not knowing who contributed which parts of a response means reviewers spend a lot of time tracking down the right person for feedback
- When the clearance team provides feedback on paper copies, the correspondence team need to upload their comments and this loses track of the full audit trail

Log comments from other departments for information

- When logging comments from other departments in the system as a request, the case are instantly closed and information can no longer be shared

Send response

- Responses are sent on email and uploaded to the system as the final proof of response



Challenges

Receive request

- Subject classifications to categorise a request are not detailed enough and can be out of date with department's policy divisions
- Difficult to identify similar questions previously responded to

Identify policy official

- Case workers lack an overview of how policies are divided across the department which makes it time-consuming to identify the correct policy official
- Case workers rely on a manually maintained spreadsheet for allocation
- The team directory is incomplete and not up to date leading to policy officials receiving incorrect allocations

Assign to policy official

- Correspondence case workers chase up policy officials to confirm requests if they haven't responded within the deadline
- Policy officials receive automated notifications from the system which do not offer sufficient detail on the topic or urgency of the request

Re-allocate request

- Policy officials cannot re-allocate requests to officials outside of their division and need to return it to the correspondence manager to do so

Review for similarities with other questions

- When similar questions are received, one answer will be provided, but policy officials have difficulty identifying related or similar requests
- System search isn't very efficient and doesn't allow detailed refinements

Request Contributions

- Contributions are complex to coordinate through the system with policy officials requesting contributions on email

Receive Contributions

- Contributions received on email need to be manually added to the draft resulting in a loss of audit trail of who drafted which part of a response

Draft response

- To include background about MPs and date of their last request for PQ team, policy officials need to research detail online and paste it manually into the response each time they are drafting
- System notifications to policy officials get sent sent at the start of the day (i.e. just after midnight of previous day) while the deadline for answering PQs is at midday

Receive draft response for review

- When receiving system notifications, managers often don't understand what is required and don't have enough detail to know urgency and detail of the request

Review draft response

- Managers struggle to understand the context around the approach taken to a request when not all conversations and decisions are tracked in the system

Submit response for clearance

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- Clearance team find it time-consuming to search for a request in the system and not intuitive to navigate it

Review response for clearance

- When clearance team reviews requests on paper copies, correspondence team loses track of who has the request and doesn't know who they need to chase
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Provide comments for re-draft

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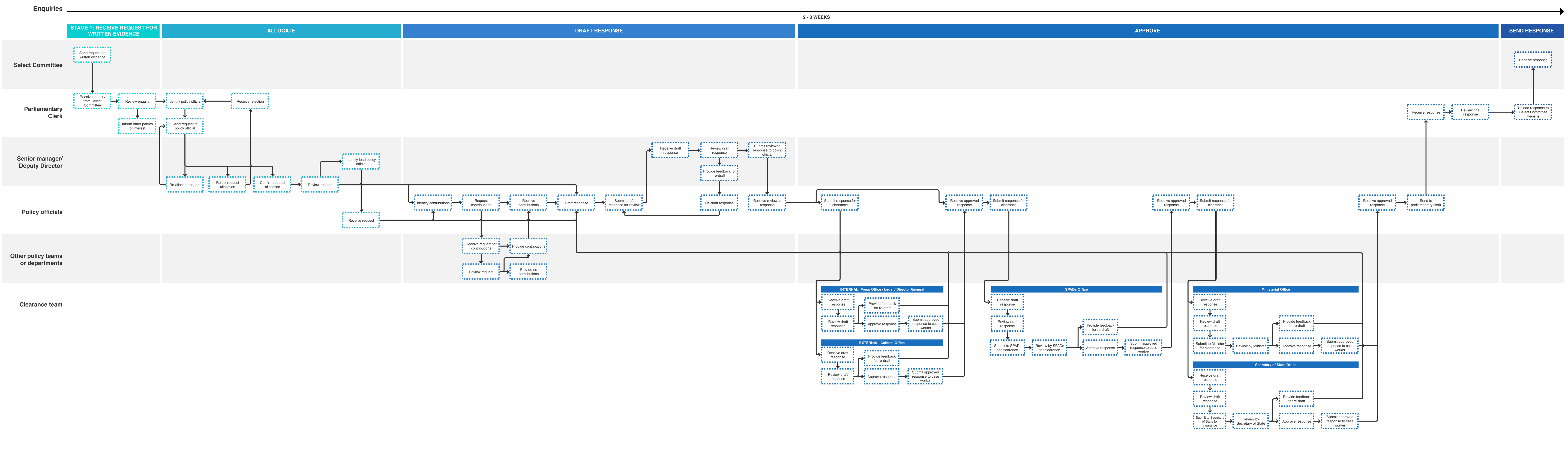


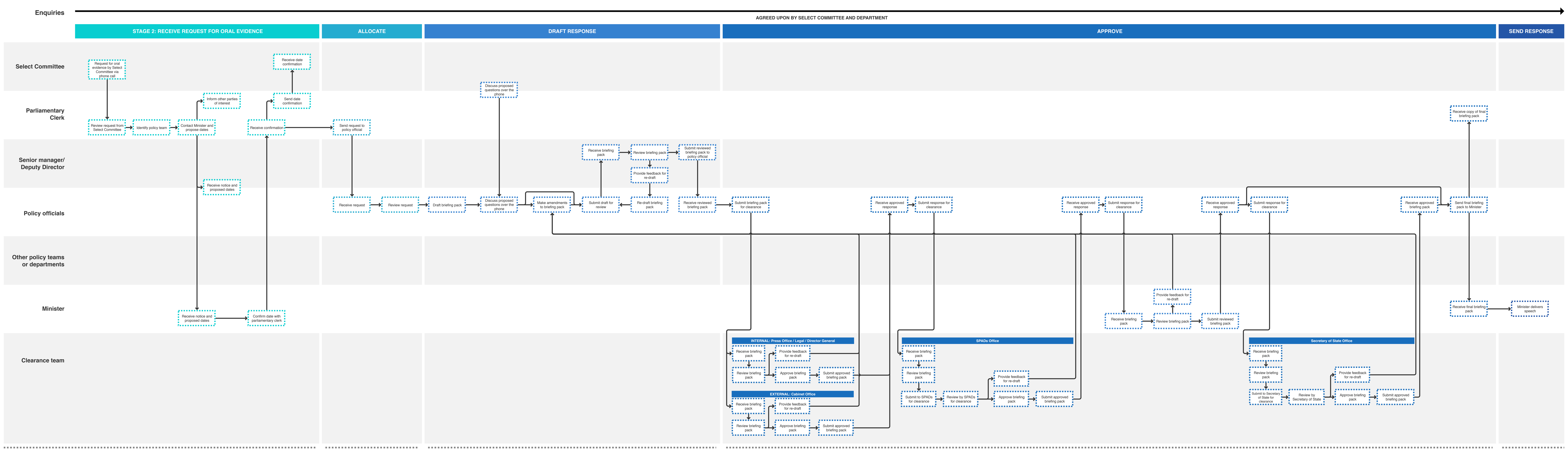
Challenges

Receive request

- Difficult to know all of the people who should be informed of the request

Receive response

- Enquiries are currently done on email and parliamentary clerks lack an audit trail to track the status of the request



Challenges

Inform other parties of interest

- Due to enquiries currently not being done on the system, the parliamentary clerk needs to recall which parties should to be informed of the request by looking through their email
- enquiries are currently done by email and there is no full audit trail to track the status of where the request is at in the process

Identify policy official

- Parliamentary clerk needs to look through emails to identify who was the policy official responsible for stage 1

Draft briefing pack

- Difficult to learn from previous enquiries as the information on requests and responses are not tracked in one single place

Challenges

Inform other parties of interest

- Due to enquiries currently not being integrated in the system, parliamentary clerks need to recall which parties should to be informed of the request by looking through their emails

Identify policy official

- Parliamentary clerk needs search their emails to identify who was the policy official responsible for stage 1 and 2

Request contributions

- Policy officials have difficulty managing and collecting contributions from other teams in and outside of the department as they are done on email

Give report to the Select Committee

- Once the process is complete, Parliamentary team are unable to get a comprehensive overview of an Enquiry to save and file them away for future reference
- Unable to learn from Enquiries and study the impact of policy changes due to the lack of audit trail