



Llywodraeth Cymru
Welsh Government

ATISN 15609

16 November 2021

Dear

ATISN 15609 – Unsuccessful RTA applications

Thank you for your request to the Welsh Government for information under the Freedom of Information Act (2000) received on 19 October. You requested the following -

You asked for information on unsuccessful applications for a RTA since HCRW formed, specifically -

A) DISTRIBUTION OF AWARDS

- 1. Occupation of applicant*
- 2. Specialty of applicant*
- 3. Working locus of applicant (whether primary/community care, secondary care, or public health/other)*
- 4. Geographical location of applicant (which Health board)*

B) EQUALITY, DIVERSITY AND INCLUSIVITY MONITORING

- 1. Confirm what data on EDI monitoring was undertaken on RTA applications since HCRW formed*
- 2. Whether any candidates requested reasonable adjustments, and what adjustments were made*
- 3. What governance processes HCRW take to assure equality, diversity and inclusivity training each selection member has undertaken before serving on a panel*
- 4. Whether any panel member, chair or director of HCRW has undergone autism awareness training.*

Response

On A1-4, the data we hold relate to the five NHS-RTA funding calls run by Research and Development Division since Health and Care Research Wales was formed. These calls were run in 2016-2020, and in each case the successful applicants started their awards in April of the following calendar year. Data on the current 2021 call is not included.

Below we have provided aggregate information on the outcome of applications to these funding calls. We are unable to release individual-level information on applications because there would be risk that that individual applicants could be identified from the data. Therefore, we have decided that this information should be exempt from disclosure under Section 40(2) – Personal Information of the Freedom of Information Act. The reasons for applying this exemption are set out in full in Annex 1.

Since the data we hold (funding calls in 2016-2020, relating to awards starting in 2017-2021) is different to that used for your own analysis (funding calls in 2015-2019, relating to awards starting in 2016-2020) we have provided data on successful as well as unsuccessful applications.

Please note the following:

- Ineligible or withdrawn applications are not included in the figures
- “Successful” indicates that an award was offered to the applicant. In two cases between 2016 and 2020 an applicant was offered but declined the award.
- “Occupation” has been determined by an applicant’s education and employment history. Note that “Consultant physician or surgeon” does not include Allied Health Professionals whose job title is Consultant.
- “Speciality” has been determined from the applicant’s current job, not their research interest.
- “Working location” has been determined using the work address provided by the applicant. Work addresses that are clearly laboratories or Public Health Wales addresses are included in the “PHW/other” category even if they are based on a hospital campus.
- The % success rate is often based on low numbers, and small changes in the numbers of either successful or unsuccessful applications would result in a large change in the % rate.

On A1, Occupation of applicant

| 1) Occupation of applicant | Successful | Unsuccessful | Total | Success rate |
|---|-------------------|---------------------|--------------|---------------------|
| Consultant physician / surgeon | 20 | 45 | 65 | 31% |
| Allied Health professional | 10 | 32 | 42 | 24% |
| Nurse / Junior doctor / registrar / SHO | 2 | 5 | 7 | 29% |
| TOTAL | 32 | 82 | 114 | 28% |

On A2, Specialty of applicant

| 2) Speciality of applicant | Successful | Unsuccessful | Total | Success rate |
|-----------------------------------|-------------------|---------------------|--------------|---------------------|
| Anaesthesia and Critical Care | 2 | 6 | 8 | 25% |
| Cardiovascular | 1 | 1 | 2 | 50% |
| Dermatology | 1 | 1 | 2 | 50% |

| | | | | |
|--|-----------|-----------|------------|------------|
| Genomics / genetics | 0 | 5 | 5 | 0% |
| Haematology | 2 | 1 | 3 | 67% |
| Microbiology / pathology | 0 | 1 | 1 | 0% |
| Neurology | 1 | 9 | 10 | 10% |
| Nutrition and Dietetics | 0 | 1 | 1 | 0% |
| Obstetrics & Gynaecology | 3 | 7 | 10 | 30% |
| Oncology | 5 | 6 | 11 | 45% |
| Ophthalmology / optometry / audiology | 2 | 2 | 4 | 50% |
| Orthopaedics / physiotherapy / musculoskeletal | 1 | 8 | 9 | 11% |
| Paediatrics | 1 | 10 | 11 | 9% |
| Pharmacy | 2 | 2 | 4 | 50% |
| Primary care | 1 | 0 | 1 | 100% |
| Psychiatry / Clinical Psychology / Mental health | 2 | 10 | 12 | 17% |
| Public Health | 2 | 3 | 5 | 40% |
| Radiology / Surgery | 3 | 4 | 7 | 43% |
| Renal / Urology | 0 | 2 | 2 | 0% |
| Respiratory | 2 | 2 | 4 | 50% |
| Other | 1 | 1 | 2 | 50% |
| TOTAL | 32 | 82 | 114 | 28% |

On A3, Working locus of applicant (whether primary/community care, secondary care, or public health/other)

| 3) Working location of applicant | Successful | Unsuccessful | Total | Success rate |
|---|-------------------|---------------------|--------------|---------------------|
| ("Primary / community") Work address is not on hospital site and not PHW/ laboratory/university | 3 | 4 | 7 | 43% |
| ("Secondary care") Work address is a hospital / on hospital campus | 24 | 66 | 90 | 27% |
| ("Public Health / other") Work address is PHW, laboratory or university | 5 | 12 | 17 | 29% |
| TOTAL | 32 | 82 | 114 | 28% |

On A4, Geographical location of applicant (which Health board)

| 4) Health board of applicant | Successful | Unsuccessful | Total | Success rate |
|-------------------------------------|-------------------|---------------------|--------------|---------------------|
| Aneurin Bevan UHB | 1 | 1 | 2 | 50% |
| Betsi Cadwaladr UHB | 5 | 11 | 16 | 31% |
| Cardiff & Vale UHB | 12 | 36 | 48 | 25% |
| Cwm Taf Morgannwg UHB | 1 | 2 | 3 | 33% |
| Hwyel Dda UHB | 2 | 14 | 16 | 13% |
| Powys Teaching Health Board | 0 | 3 | 3 | 0% |
| Public Health Wales | 2 | 1 | 3 | 67% |

| | | | | |
|------------------------------------|-----------|-----------|------------|------------|
| Swansea Bay UHB | 5 | 10 | 15 | 33% |
| Velindre University NHS Trust | 3 | 3 | 6 | 50% |
| Welsh Ambulance Services NHS Trust | 1 | 1 | 2 | 50% |
| TOTAL | 32 | 82 | 114 | 28% |

On B1, no EDI monitoring of RTA applications has yet been undertaken though plans are in train to introduce it for future calls.

On B2, no applicants have requested reasonable adjustments.

On B3, Welsh Government records the equality, diversity and inclusivity training of staff. Welsh Government does not actively record the training of panel members from other organisations.

On B4, Welsh Government does not actively record this information. Individuals may have undergone autism awareness training, however, this is at the discretion of each individual member and is not mandated by Welsh Government.

Next Steps

The request you sent me contains personal information about you - for example, your name and address. The Welsh Government will be the data processor for this information and, in accordance with the General Data Protection Regulation, it will be processed in order to fulfil our public task and meet our legal obligations under the Act to provide you with a response.

We will only use this personal information to deal with your request and any matters which arise as a result of it. We will keep your personal information and all other information relating to your request for three years from the date on which your request is finally closed. Your personal information will then be disposed of securely.

Under data protection legislation, you have the right:

- to be informed of the personal data we hold about you and to access it
- to require us to rectify inaccuracies in that data
- to (in certain circumstances) object to or restrict processing
- for (in certain circumstances) your data to be 'erased'
- to (in certain circumstances) data portability
- to lodge a complaint with the Information Commissioner's Office (ICO) who is our independent regulator for data protection

For further information about the information which the Welsh Government holds and its use, or if you wish to exercise your rights under the GDPR, please see contact details below:

Data Protection Officer
Welsh Government
Cathays Park
CARDIFF
CF10 3NQ
Email: DataProtectionOfficer@gov.wales

If you are dissatisfied with the Welsh Government's handling of your request, you can ask for an internal review within 40 working days of the date of this response. Requests for an

internal review should be addressed to the Welsh Government's Freedom of Information Officer at:

Information Rights Unit,
Welsh Government,
Cathays Park,
Cardiff,
CF10 3NQ
Email: Freedom.ofinformation@gov.wales

Please remember to quote the ATISN reference number above.

You also have the right to complain to the Information Commissioner. The Information Commissioner can be contacted at:

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

However, please note that the Commissioner will not normally investigate a complaint until it has been through our own internal review process

Yours sincerely,

Annex 1

Section 40(2) – Personal Information

Section 40(2) of the Freedom of Information Act (FOIA) sets out an exemption from the right to know if the information requested is personal information of someone other than the requester and is protected by the Data Protection Act 2018 (DPA).

Personal data is defined in Section 3(2) of the DPA as:

“Personal data” means any information relating to an identified or identifiable living individual

We have concluded that, in this instance, we are unable to release individual-level information on applications because there would be risk that that individual applicants could be identified from the data.

Under Section 40(2) of the FOIA, personal data is exempt from release if disclosure would breach one of the data protection principles set out in Article 5 of the General Data Protection Regulations (GDPR). We consider the principle being most relevant in this instance as being the first.

The first GDPR principle.

This states:

.....that personal data shall be:

a) processed lawfully, fairly and in a transparent manner in relation to individuals;

We consider that the information highlighted falls within the description of personal data as defined by the DPA and that its disclosure would breach the first data protection principle.

Guidance from the Information Commissioner’s Office (Personal information (section 40 and regulation 13) v 1.4) states:

If disclosure would not be fair, then the information is exempt from disclosure.

This approach was endorsed by the Court of Appeal in the case of Deborah Clark v the Information Commissioner and East Hertfordshire District Council where it was held:

“The first data protection principle entails a consideration of whether it would be fair to disclose the personal data in all the circumstances. The Commissioner determined that it would not be fair to disclose the requested information and thus the first data protection principle would be breached. (paragraph 63).

In this instance, we believe the data subjects have no expectation that their personal information would be made public. The applicants have no public profile thus, we believe release of this information would be unfair and so breach the first data protection principle. For that reason, the information is being withheld under section 40(2) of the Freedom of Information Act. This is an absolute exemption and not subject to the public interest tests.