

Telephone: 020 7066 4210  
Email: foi@fsa.gov.uk

(via email)

10 June 2014

Our Ref: FOI3426

Dear

### **Freedom of Information: Right to know request**

Thank you for your clarified request under the Freedom of Information Act 2000 (the Act), which we received from Kumar Sakhardande on your behalf. Full detail of the clarified request can be found in Annex A, attached.

Your request has now been considered and the relevant information is detailed below. For ease in answering your request I attach a copy of Form C Notice of ceasing to perform controlled functions.

For question 1 regarding Section 4.02, I can confirm we do not categorise the responses in section 4.02 of Form C on our system. Therefore as requested we will answer question 2 of your request.

Turning to question 2a, I can confirm we do categorise the responses within Section 3.01 of Form C. In answer to questions 2b and 2c we have two categories, the names and criteria for each category are as follows:

- **Category A: Clean Withdrawal**  
Categorisation: On the Form Cs received where the reason for submission was either an internal movement of staff, resignation, redundancy, retirement or end of contract. A submission which falls under this category would be what we call a 'Clean Form C'. These are the submission boxes given in column A of section 3.01a on Form C.
- **Category B: Qualified Withdrawal**  
Categorisation: On the Form Cs received where the reason for submission was either a dismissal/termination of employment or contract, suspension or other. A submission which falls under this category would be what we call a 'Qualified Form C'. These are the submission boxes given in column B of section 3.0b on Form C.

Finally in question 2d you ask how many responses have been categorised into each group. Please see below tables for figures relating to both Clean and Qualified Withdrawals:

Table 1 – Category A :Withdrawn Clean

<b>Year</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Totals</b>	34255	32939	33435	35495	30308

Table 2 – Category B: Withdrawn Qualified

<b>Year</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Totals</b>	1095	885	778	1373	939

If you have any queries then please contact me.

Yours sincerely

**Information Access Team**

## **Annex A**

*“I am following up this FOI request on behalf of Simon. In response to your questions stated below:*

1. *We are interested in section 4.02 - the free text section, do you record this information, if so we would like to know:*
  - a) *Do you categorise the responses you receive in box 4.02 on the notification to cease a controlled function form?*
  - b) *The criteria you use to categorise the responses you receive in box 4.02 on the notification to cease a controlled function form*
  - c) *The list of categories you use internally that is created from the comments in box 4.02 on the notification to cease a controlled function form*
  - d) *How many responses have been categorised into each group?*
  
2. *Alternatively should this information not be recorded then we are interested in section 3.01 and would like to know:*
  - a) *Do you categorise the responses you receive in box 3.01 on the notification to cease a controlled function form?*
  - b) *The criteria you use to categorise the responses you receive in box 3.01 on the notification to cease a controlled function form*
  - c) *The list of categories you use internally that is created from the comments in box 3.01 on the notification to cease a controlled function form*
  - d) *How many responses have been categorised into each group?”*