

Email: foι@fca.org.uk

(By email)

4 December 2018

Our Ref: FOI6090

Dear

Freedom of Information : Right to know request

We refer to your request under the Freedom of Information Act 2000 ("the Act"), made on Tuesday 6th November 2018 regarding candidates for Approved Person roles for the period 2016, 2017 and 2018.

For full details of your request please refer to Annex A. (For ease of reference your request has been numbered).

We have now considered your request and we can confirm that we hold some information falling within scope. We do not hold information relevant to point 10.

With regard to the remainder points, the information we can disclose to you is set out in the table below.

Where the figure in each category is fewer than ten, we are unable to provide the information as to disclose this would lead to the identification of individuals and their personal data being disclosed. For this reason, we consider that section 40 (Personal Data) of the Act applies to this information. (Where this applies we have responded with "S40").

Point	2016	2017	2018 (to 29/11/2018)
1) Candidates who applied for an approved person role.	20,219	19,544	17,343
2) Female candidates who applied for an approved person role.	3,472	3,452	3,161
3) Candidates who undertook a second interview as part of that process.	[S40]	12	[S40]
4) Female candidates who undertook a second interview as part of that process.	[S40]	[S40]	[S40]

5) Candidates who were approved following an interview process.	77	169	145
6) Female candidates who were approved following an interview process.	14	47	42
7) Candidates who withdrew their application, or were refused.	981	608	544
8) Female candidates who withdrew their application, or were refused.	106	66	53
9) Number of current CF3 (chief executive) controlled-function holders who undertook a second interview as part of their approval process, OR had a referral in front of the Regulatory Transactions Committee.	[S40]	[S40]	[S40]

Please note that for points 2, 4, 6 and 8 the figures are based on searches for the following titles: "Mrs, Miss, Ms, Lady or Dame". Where a salutation was not provided or was ambiguous such as "Doctor, Professor, Reverend", we were unable to identify whether they were male or female and therefore profiles with those salutations have been omitted from those figures. It should therefore be noted that the figures in the table for points 2, 4, 6 and 8 could potentially be higher.

For more information on why section 40 (Personal Data) of the Act applies, please see Annex B below.

Your right to complain under the FoI Act

If you are unhappy with the decision made in relation to your request, you have the right to request an internal review. If you wish to exercise this right you should contact us within three months of the date of this response.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner at Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF. Telephone: 01625 545 700. Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team
Financial Conduct Authority

Annex A

Full Details of Request:

“Please provide figures for the following in 2016, 2017 and 2018:

1. The total number of candidates who applied for an approved person role
2. The total number of female candidates who applied for an approved person role
3. The total number of candidates who undertook a second interview as part of that process
4. The total number of female candidates who undertook a second interview as part of that process
5. The total number of candidates who were approved following an interview process
6. The total number of female candidates who were approved following an interview process
7. The total number of candidates who withdrew their application, or were refused
8. The total number of female candidates who withdrew their application, or were refused.
9. The number of current CF3 (chief executive) controlled-function holders who undertook a second interview as part of their approval process, OR had a referral in front of the Regulatory Transactions Committee
10. Please also provide the average number of panellists, and the gender balance, of the regulatory panels at first interview and second interview for those years.”

Annex B

- **Section 40 (Personal Information)**

To the extent that the information that we hold contains personal data about individuals, section 40(2)(b) of the Act provides that “[a]ny information to which a request for information relates is also exempt information if ... either the first or second condition below [see sections 40(3) and 40(4) of the Act] is satisfied”.

We have applied this exemption because the first condition (as stated in section 40(3) of the Act) is satisfied. The information you have requested comprises the personal data of individuals other than yourself which, if disclosed, would breach the requirement of the General Data Protection Regulations (“GDPR”) including the data protection principles of Article 5 and the Data Protection Act 2018 (“DPA”).

In particular, it would be a breach of the first data protection Principle as set out in Article 5 of the GDPR, to disclose such information, as it would not be necessary or fair to the individuals concerned, or lawful, where none of the conditions in Article 6(1) of the GDPR have been met. The individuals concerned have not given their consent for their personal details to be made public and the release of such information may be detrimental to the individuals themselves.