

**APPENDIX 3 – Detailed results electronic audit – all agencies <sup>1</sup>****Section A – Leadership**

**(Note to person coordinating responses - This section could be completed by the Information Champion, or executive within the agency responsible for information management.)**

Response options:	Use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>2</sup> Comments have been selected to illustrate the diversity of views
<b>1.</b>	<b>Open government</b>						
1.1	The agency has a culture open to the release of information.	73%	19%	6%	3%	100%	<p>C: Concerned with balancing confidentiality including of personal information with information release</p> <p>A: There is a practice of releasing information where possible that does not include personal information e.g. complainants detail</p> <p>A: Our Agency has identified the need to maintain security over information and release information as and when required. However, we do not have the physical and financial resources to implement the requirements of the new legislation. Hence the majority of our responses will be in an identified column</p> <p>A: Reinforced by policies and staff training</p> <p>A: Subject to limitations due to nature of agency</p> <p>A: Release of information is open and appropriate within the GOC business context</p> <p>A: As appropriate given the legislation, the purpose for which the Agency was established</p>

<sup>1</sup> Percentages in this report may not add up to exactly 100% due to rounding.

<sup>2</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>2</sup> Comments have been selected to illustrate the diversity of views
<b>1.</b>	<b>Open government (cont)</b>						
1.1	The agency has a culture open to the release of information. (cont)						<p>A: However, most of the information is confidential. Agency is bound by strict confidentiality requirements given its role</p> <p>A: There is commitment from the CEO and Executive Leadership Group for an open and transparent approach to Agency's decision making and operations</p> <p>A: Most Agency information (especially core business information is personal information) and is therefore restricted to those that the information relates to (consistent with IP Act). There are policies and procedures that support this. There is some work that needs to be done in relation to the release of administrative information and in particular that which is confidential</p> <p>A: Under FOI there was a blanket exemption. Now moving to be more open</p> <p>A: Even prior to the introduction of the RTI legislation in 2009, there had already been significant change to information publicly available from Department. This had been driven by previous Government reforms. In independent review referred to Department as an exemplar. Following introduction of RTI legislation, Department undertook a further scan to identify other material which could be publicly released. As a result, Department published a number of documents at the launch of the RTI Publication Scheme on 1 July 2009. In addition, Department has increased the frequency of reporting on performance with new monthly reports which also include additional measures. However, in some pockets of the department, there continues to be concerns that at times, officers are overly cautious regarding release of information. It is anticipated that this will be addressed to a great extent with the implementation of the proposed administrative release framework (public release policy and standards)</p> <p>A: General comment: The Agency's response to this questionnaire has been limited in some respects because it has had no RTI or IP applications since the RTI and IP legislation commenced last year. This is consistent with the previous position under the FOI regime, under which the Agency received only two FOI applications in a 15 year period. This is probably because the Agency's limited function necessarily requires the Agency to publish information about its reviews (including consultation papers and reports)</p>
1.2	Agency policy frameworks describe how the community is to be included in development of policies affecting external operations.	34%	23%	19%	24%	98%	<p>C: Agency does not provide services direct to the community</p> <p>C: Have Community Engagement Policy</p> <p>A: While Department ensures policy frame works are in place to improve community involvement in responding to certain matters, there are no mechanisms or policies in place which standardise consultation with the community, as part of the development of Agency policy or procedures</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>2</sup> Comments have been selected to illustrate the diversity of views
<b>1.</b>	<b>Open government (cont)</b>						
1.2	Agency policy frameworks describe how the community is to be included in development of policies affecting external operations. (cont)						<p>A: Agency is required under the Local Government Act 2009 to prepare a long term community plan which is developed in consultation with the community. Agency must also prepare community engagement policy about how agency engages with the community in relation to the community plan and any other matters relevant to establishing or reviewing the performance of its finances. The plan and policy are currently be written</p> <p>A: Not immediately obvious as to the relevance of this question to RTI and IP implementation</p> <p>A: A Draft Communication Strategy has been developed which outlines our commitment to providing our community with avenues to be informed and empowered within the democratic process</p>
1.3	The agency has a mechanism for identifying the information that its industry stakeholders would find useful, for example, a consultation strategy.	48%	21%	17%	15%	97%	<p>C: Development of community consultation policy / plan</p> <p>C: Consultation occurs with specific entities</p> <p>A: Advisory Groups have been established for key client groups but a formal policy has yet to be developed</p> <p>A: Not consistently across the agency</p> <p>A: Subject to limitations due to nature of agency</p> <p>A: Quarterly meetings - peak bodies/ Director-General Quarterly forums for non-government organisations</p> <p>A: The department undertook an Information Stock take exercise in 2009 through which business units were encouraged to develop stakeholder-relevant new publications. Phase 3 of the RTI implementation project includes developing a stakeholder consultation strategy. The implementation of Phase 3 has been deferred until the second half of 2010</p> <p>A: The relevance of this to a University is not clear</p> <p>A: Through Agency's extensive community engagement process stakeholder information needs are continually identified</p> <p>A: Key stakeholders represented on the board. Agency has a range of consultative frameworks, eg., expo, surveys</p> <p>A: Yes – regular meetings and liaison with industry bodies. Also through surveys</p>

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<b>1.</b>	<b>Open government (cont)</b>						
1.4	The agency has a mechanism for providing the information to industry stakeholders that the industry stakeholders have identified as being useful to them, for example, a procedure for publishing information that industry stakeholders have identified as being useful to them.	44%	25%	17%	15%	97%	<p>C: Community / Stakeholder Engagement Policy</p> <p>C: Where appropriate</p> <p>C: Channels:</p> <ul style="list-style-type: none"> <li>• Internet</li> <li>• Electronic</li> <li>• Newsletters</li> <li>• Statistical reports</li> <li>• Face to face</li> <li>• Client Focus Group / Customer Council</li> <li>• Forums</li> <li>• Annual report</li> <li>• Publication scheme</li> </ul> <p>A: Yes, for example our marketing team undertook a detailed review and analysis in early 2010 of an existing e-communication to Clients</p> <p>A: Agency meeting minutes already published on-line</p> <p>A: Information would be published as appropriate</p> <p>A: Negotiations with industry stakeholders has been useful in allowing Agency responses of documentation to be provided in the most useful format. A recent example was redefining budget documents as per the individual needs expressed by individual mining companies</p> <p>A: The relevance of this to a University is not clear</p> <p>A: On a case by case basis, information is brought to the Network meetings for group discussions, however it is not published</p> <p>A: Example: database for non-government organisations to access demographic data</p> <p>A: The Agency uses a Customer Relationship Management database to track and engage with stakeholders. Information is also made available through the Agency's website and other corporate publications</p> <p>A: Also Agency data is used by stakeholders, which suggests published information is useful</p>

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<b>1.</b>	<b>Open government (cont)</b>						
1.5	When developing RTI and IP policy, the agency conducts appropriate internal consultation, for example, with decision makers.	66%	16%	14%	3%	97%	<p>C: IP Only</p> <p>C: No formal policy exists</p> <p>A: Policy development manual includes steps for consulting internal stakeholders</p> <p>A: In the ongoing development of its RTI and IP regimes, Agency has, to date, engaged in internal consultation where considered appropriate (e.g. recourse to internal lawyers on the requirements of the RTI and IP Acts; consultation within Agency in relation to what personal information is collected by Agency)</p> <p>A: Forums for RTI and IP Decision Makers from across the state are held biannually. In addition the Administrative Law Team provides an advice and support function - analysis of the advice informs policy. Targeted consultation is also commonly undertaken (eg. with decision makers in specific facilities)</p> <p>A: Agency's recently adopted RTI/IP policy was sent to all internal staff for review and comment</p> <p>A: All policy and operational issues which impact on RTI or Privacy are referred to the RTI and Privacy Unit for comment. Each business unit has nominated Contact Officers for RTI and IP issues who attend training and quarterly network meetings convened by the Director of RTI and Privacy</p>
1.6	The agency tracks the type of person seeking information under the RTI Act or IP Act (for example, individuals, companies, journalists, lobby / community groups, politicians, legal representatives, agents, prisoners or government agencies).	41%	10%	11%	37%	95%	<p>C: No / few applications to date</p> <p>C: This information is captured via Excel / software</p> <p>C: As low number of RTI/IP applications, there is no justifiable need to track</p> <p>C: No formalised analysis or tracking of the type of applicant is currently carried out</p> <p>C: Agency is informally aware of types / parties who are interested</p> <p>A: All application information is available for identification of repeat applicants</p> <p>A: This is not seen as relevant. However, the overwhelming majority of applicants are seeking their own personal information</p> <p>A: Different strategies are being investigated and developed. Media applications have increased 175% since January 2010 and the information they are seeking has become very generalised</p> <p>A: Department does not actively track the type of applicant. However, a record is kept of all applications received which enables the applicant to be identified (eg. media, member of the public)</p> <p>A: Less than 50 applications per year. This information can be readily collected but is not tracked</p> <p>A: Our process is a little labour intensive to do this but we maintain logs and details of all requests</p>

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<b>1.</b>	<b>Open government (cont)</b>						
1.6	The agency tracks the type of person seeking information under the RTI Act or IP Act (for example, individuals, companies, journalists, lobby / community groups, politicians, legal representatives, agents, prisoners or government agencies. (cont)						<p>A: There is some tracking of applicants by category but more so by type of application (eg. own record, staff, etc). While this information is collected, there is limited analysis at this point in time. There is some monitoring of applications by parliamentarians and applicants who identify themselves as journalists. In addition, recently there has been monitoring of applications received from staff involved in a specific process</p> <p>A: Indirectly, as total number of applicants are clients wishing to seek access to their claim and decision. No formal tracking occurs</p> <p>A: Almost 70% of applicants are individuals</p>
1.7	Over time, the data is showing an increase in diversity in the type of person seeking information	24%	4%	5%	66%	83%	<p>C: Not applicable</p> <p>C: No / few applications to date</p> <p>C: No change in diversity</p> <p>C: Agency new</p> <p>A: This question does not really bear any relationship to the available answers</p> <p>A: Affected by limitations under the RTI Act</p> <p>A: Type of information being sought is becoming more diverse</p> <p>A: The current data base has limited reporting capabilities and does not capture this information</p> <p>A: Too early to tell, but early indications for 2010 are that there has been an increase of 100% in media applications from the previous year. Current figures are: Individuals 1133, Business Organisations 135, Insurance 101, Media 21, Opposition 4, Unions 2</p> <p>A: For regional decision makers, there has been no discernible change in the type of applicant (though regions reported a slight increase in the number of applications by staff). The most marked change for the centrally located decision makers is the increase in applications from parliamentarians and journalists. In 2009-10, there were 51 RTI applications from the media, compared with 25 FOI applications in previous year. In 2009-10, Department processed 48 RTI applications from Office of the Leader of the Opposition, compared with 4 FOI applications in 2008-09. The previous highest figure for applications lodged by Opposition – 30 in 2005-06. In the Intervening years, the numbers were much lower - no greater than 5 applications. There has also been a significant number of applications from staff involved in a single process. Up to 30 June 2010, there had been 469 applications of this type. These have been processed under the Information Privacy Act 2009, given they concern the personal information of the applicants.</p>

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<b>1.</b>	<b>Open government (cont)</b>						
1.7	Over time, the data is showing an increase in diversity in the type of person seeking information (cont)						<p>A: Applications usually relate to events eg. damage to property or personal injury</p> <p>A: The RTI and IP process is meant to be an avenue of last resort to access information. Therefore, the diversity of people making applications should be decreasing rather than increasing. Agency is currently unable to capture information as to the types of people who are seeking information not through the RTI/IP process (eg. Through administrative release, publication scheme, registers etc)</p> <p>A: All requests are individual and diverse. No trends</p> <p>A: Generally are licensees or their agents and home owners</p> <p>A: Limited applications received - only from media and Agency clients</p> <p>A: As a specialised agency the people seeking information and the type of information sought remains unchanged</p> <p>A: Because Agency information is so specific and generally personal in nature</p> <p>A: RTI applications July to December 2009 mainly individuals; January to July 2010 more companies, legal representatives. IP applications consistently individuals</p> <p>A: To date, there does not appear to be a diversity in applicants as compared to the FOI Act. However, there appears to be a shift from formal RTI and IPA processes to Administrative Access</p>

## Section A – Leadership

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<b>2</b>	<b>The agency actively manages its responsibilities through good governance</b>						
2.1	<p><b>Department only question. GOCs, local government, and other agencies please disregard.</b></p> <p>An SES level Information Champion is appointed, and active in the role. (This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question.)</p>	100%	0%	0%	0%	92%	<p>Information Champions:</p> <ul style="list-style-type: none"> <li>Deputy Director General, Corporate Services</li> <li>Executive Director, Ministerial, Information and Legal Services Branch</li> <li>Group Executive, Finance and ICT</li> <li>Assistant Director-General, Strategic Policy, Legal and Executive Services</li> <li>Director, Executive Support Services</li> </ul>
2.2	<p><b>Department only question. GOCs, local government, and other agencies please disregard.</b></p> <p>A formal information governance body is established (as per QGEA guidelines). (This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question.)</p>	83%	17%	0%	0%	92%	<p>A: Terms of Reference for existing Governance Board are being amended to include information governance</p> <p>A: Business Information Steering Committee (BISC)</p> <p>A: The Department's Information Steering Committee has assumed responsibility for information governance</p> <p>A: Information Management Committee (IMC) and Information Management Group (IMG). RTI/IP representation on IMG. Information Champion on the IMC</p>

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<b>2</b>	<b>The agency actively manages its responsibilities through good governance (cont)</b>						
2.2	<b>Department only question. GOCs, local government, and other agencies please disregard.</b> A formal information governance body is established (as per QGEA guidelines). (cont) (This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question.)						A: Department has an ICT Executive committee, but is also in the process of establishing an Information Management Steering Committee. The department is also formalising links between key areas in Department for RTI initiatives (RTI, records management policy, information management etc)
2.3	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for development (e.g. planning for implementation).	53%	21%	13%	13%	97%	C: Audit conducted A: The compliance project to date has concentrated on putting in place the proactive requirements of the RTI Act and IP Act e.g. The information that has gone onto the website. The additional aspects of a compliance program will include, for example, general staff training and other issues identified in the comments column in this questionnaire A: Rely on the Department
2.4	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for implementation and accountability (e.g. identifying who is responsible for implementing actions and by when).	57%	19%	13%	11%	97%	C: RTI/IP officer appointed A: Implementation Plans in place and now monitored by Information Steering Committee A: For IP Act implementation Agency has a working group and has conducted a privacy audit. Recommendations have been developed together with implementation timelines and this has been approved by senior management. For RTI reforms new precedents are being developed together with new policies and procedures A: A project plan was developed for the implementation of the RTI Act. This plan included changing over to new form, communication (such as updating website) and training of staff (for example, briefing customer service staff and updating induction information. For the implementation of the Privacy Principles within the Privacy Act, an action plan has been developed, a Group Manager and project team appointed to manage delivery of this plan and regular reports submitted to Executive Leadership Group at meetings and via email
2.5	RTI and IP reforms are managed or have been managed by governance mechanisms which provide governance mechanisms for review (e.g. mechanisms for reporting on achievements).	46%	19%	21%	15%	97%	A: Reporting criteria is being established and report format agreed

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<b>3</b>	<b>The agency actively manages information</b>						
3.1	An explicit statement of commitment to RTI and IP is readily available within the agency, for example, in a policy document or as a policy statement on the agency's website.	56%	22%	16%	6%	99%	C: In: <ul style="list-style-type: none"> <li>• Website</li> <li>• Communication Plans</li> <li>• Corporate Plan</li> <li>• RTI Policy</li> <li>• Privacy Policy</li> <li>• Information Management Policy</li> <li>• Other policy</li> </ul> C: Dissemination: <ul style="list-style-type: none"> <li>• Website</li> <li>• Intranet</li> <li>• Posters</li> </ul> C: Under development / awaiting approval C: IP only

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	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>4</sup> Comments have been selected to illustrate the diversity of views
<b>3</b>	<b>The agency actively manages information (cont)</b>						
3.1	An explicit statement of commitment to RTI and IP is readily available within the agency, for example, in a policy document or as a policy statement on the agency's website. (cont)						A: Rely on the Department's policies A: Agency's website provides information about RTI and IP. However, this currently provides a factual summary of the Acts and information about how to apply rather than outlining Agency's commitment. However, a policy is currently being developed for this purpose and it is anticipated that this will be considered by Agency in August 2010
3.2	The agency has an external communications strategy to ensure consumers and stakeholders are aware of their RTI rights.	48%	16%	19%	16%	99%	C: Website C: Publication scheme A: The Agency is not resourced to do this A: Although there is not a written external communications strategy, Agency provides information on its website about RTI rights. Also, customer service staff have been briefed to provide information to customers A: Operates under Regulation
3.3	The agency's RTI and IP policies and procedures give effect to the legislation, for example, as a standalone policy or as part of an information management framework.	42%	29%	22%	7%	98%	C: Under development C: RTI / IP policies are in place within legislative guidelines C: Procedures in place but are yet to be formally documented A: Procedures have been established. The RTI and IP Acts provide sufficient information A: Procedures do give effect to the legislation and are yet to be formally documented A: No formal RTI Policy A: Rely on the Department's policies A: Influenced by limited application to the Agency A: The RTI/IP policy relates directly to the Acts for which they are relevant. Further work is to be done to ensure Records and Information Management within the organisation are consistent with this policy and associated procedures A: The application of RTI and IP policies is considered both intrinsically and as they impact more broadly. For example, the Administrative Law Team is leading the development of policy regarding the public release of information by Department
3.4	The agency's RTI and IP policies and procedures as per 3.3 are fully implemented.	31%	31%	21%	16%	99%	C: IP policies and procedures fully implemented C: Policy / procedures under development C: Processes in place but policy not yet documented A: However continual improvement, review and training is ongoing

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<b>3</b>	<b>The agency actively manages information (cont)</b>						
3.4	The agency's RTI and IP policies and procedures as per 3.3 are fully implemented. (cont)						A: The policies has been enacted. RTI policies and procedures are in place. Agency has conducted a comprehensive privacy appraisal at business unit levels to identify issues with privacy compliance
3.5	The agency's RTI and IP policies as per 3.3 are readily available to all staff e.g. easy to find on the agency's intranet.	36%	27%	21%	16%	97%	C: On internet C: On intranet C: Will be once finalised A: Don't have an intranet A: Included in the Handbook of Agency Policies and Procedures A: Not documented A: The 2010 - 2011 Operational Plan includes as a priority the improvement of communication with a key performance measure the development of an engagement plan which in turn, includes a task specifically focused on the intranet pages re RTI and privacy
3.6	RTI and IP policies are complete and easy to understand.	39%	26%	24%	11%	98%	C: Being drafted A: Drafted in accordance with plain language drafting principles with pictures and diagrams where appropriate A: The policies are easy to understand in relation to our obligations and the delegation of responsibility within the organisation. Some work may be required to reinforce all officer's responsibilities under the RTI and IP Acts A: "No "policy" but information is available on website"
3.7	RTI and IP policies are reviewed on a regular basis.	41%	20%	26%	13%	96%	C: Reviewed: <ul style="list-style-type: none"> <li>• Annually</li> <li>• Every 3 years</li> <li>• As required by legislation</li> </ul> C: Not yet developed C: As per policy A: The policies are subject to regular and ad hoc review
3.8	Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public.	63%	17%	16%	4%	97%	C: Under development A: To extent privacy applies to Agency A: Agency's RTI/IP policy defines personal information and ensures this applies to both staff and external customers

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<b>3</b>	<b>The agency actively manages information (cont)</b>						
3.8	Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public. (cont)						A: The Agency's Shared Service Provider manages personnel records according to their Information Security Policy
3.9	The agency has a system to ensure it meets its obligations when entering into contracts with suppliers who provide services involving personal information.	55%	20%	19%	7%	99%	C: Standard clause in contracts C: In progress C: Regular advice and training provided A: A system is in place as Legal consider this in all contracts however this is difficult because service providers are reluctant to take on privacy responsibilities A: Will still further refine our approach to this A: Previous arrangements had been completed on an adhoc basis. Formal template is currently being developed to ensure a consistent approach
3.10	<b>Department only question. GOCs, local government, and other agencies please disregard.</b> The agency maintains an Information Asset Register either independently or as part of an existing register (as required by Information Standard 44). <i>(This is a requirement for departments. It is not a requirement for local government, GOCs or other agencies, and they are not required to respond to this question.)</i>	42%	58%	0%	0%	92%	C: Exists C: The Department is progressing the implementation of IS 44 requirements A: Due to resource constraints and the scale of the activity, it is anticipated that the collection of information assets within Department will be implemented iteratively, over several years A: Information published on the RTI Publication Scheme is registered on a spreadsheet and updated on a monthly basis. This process is managed by each division. The WOD Information Asset Register is currently being developed

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<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate</b>						
4.1	Resourcing to IP and RTI functions is appropriate.	59%	15%	16%	9%	97%	<p>C: Additional resources are approved</p> <p>A: Once the initial policy work is completed and systems bedded down resource pressures will ease</p> <p>A: This is an additional task to be undertaken by existing resources</p> <p>A: Agency has arrangements in place with supporting external bodies to provide support to the review and response processes. No discussion as yet to whether this will be fully resourced internally</p> <p>A: Appropriate within the constraints of Agency's current budget</p> <p>A: Some regions commonly need to seek extensions to timeframes for processing applications. The diversity of individual roles of decision makers may also be a factor for some regions. This is not the case for all regions</p> <p>A: Resources are insufficient to deal with fluctuations in applications received</p>

<sup>5</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>5</sup> Comments have been selected to illustrate the diversity of views
<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate (cont)</b>						
4.2	The number of staff members in the RTI/IP Unit or performing RTI/IP functions (might be a percentage of one person's time).	none	1 or less	over 1 up to 3	over 3		C: No dedicated RTI / IP Unit
	Total staff in unit or performing functions (staff) <sup>6</sup>	9%	42%	35%	14%	9%	On average 2.6 staff
	(FTE staff) <sup>6</sup>	9%	62%	16%	13%	9%	On average 2.5 staff
4.3	If the RTI/IP staff undertake other functions, estimate the percentage of time spent by the unit on RTI and IP functions.	none	10% or less	over 10% to 50%	over 50%		C: IP is currently higher C: No dedicated RTI / IP staff C: No other functions are undertaken A: The time spent on RTI/IP functions has generally related to training, compliance, reporting and auditing requirements. At times, this has taken up substantial periods of time
	%RTI (of time) <sup>7</sup>	7%	47%	23%	24%	77%	On average 31%
	%IP (of time) <sup>7</sup>	9%	57%	21%	13%	72%	On average 21%
4.4	<b>Department only question. GOCs, local government, and other agencies please disregard.</b> RTI and IP functions are independent of the Minister's office. <i>(This is not a requirement for GOCs, local governments or independent statutory authorities. These agencies are not required to respond to this question.)</i>	100%	0%	0%	0%	92%	

<sup>6</sup> Note some responses have required interpretation to convert to consistent overall staff and FTE equivalent numbers.

<sup>7</sup> Note responses have been read as percentages with 1 taken as 100% unless inconsistent with given staff number. Some agency responses sum to over 100% and may refer to different staff for RTI and IP functions. Agency responses of 100% have been included in the calculation though inconsistent with the question.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>5</sup> Comments have been selected to illustrate the diversity of views
<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate (cont)</b>						
4.5	RTI and IP functions are independent of media and communications.	87%	3%	4%	6%	94%	C: Separate from media and communications C: Managed by legal section A: As much as possible given that regional managers have privacy and RTI duties as well as a little media work A: Corporate Communications is responsible for the Agency's external website including maintenance of the Agency's Publication Scheme and Disclosure Log on the website A: The Manager Governance and Public Relations is also the key RTI/IP Officer in Agency
4.6	RTI and IP functions report as closely as possible to the DG / CEO.	80%	3%	7%	10%	97%	C: Report to: <ul style="list-style-type: none"> <li>• CEO</li> <li>• Commissioner</li> <li>• Executive Director</li> <li>• Deputy / Assistant Director-General</li> <li>• Chief Financial Officer</li> <li>• Company Secretary</li> <li>• Senior Executive</li> <li>• Executive Leadership Team</li> <li>• Legal Counsel</li> <li>• Three / four levels below DG/CEO</li> </ul> A: Four levels of management away, but working OK
4.7	Agency administrative delegations have been updated to incorporate right to information handling and information privacy handling.	57%	18%	14%	10%	98%	A: Informal delegation of RTI/IP responsibility at this stage. Delegations Manual due for review this year A: Written delegations are in place, authorised by the CEO A: RTI, IP and Admin Access responsibility assigned through policy. Need to document sub delegations relating to Admin Access



	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>5</sup> Comments have been selected to illustrate the diversity of views
<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate (cont)</b>						
4.8	There is a clear authorisation process for agency staff to assess and approve information for public release.	65%	16%	14%	4%	98%	<p>C: Policy developed / under development</p> <p>A: CEO is the only staff member authorised to approve info for public release</p> <p>A: Yes - with respect to RTI and IP applications. However, decisions with respect to inclusion of material on the Agency's Publication Scheme are made on a case specific basis by Corporate Communications in consultation with the RTI Officer and relevant internal stakeholders</p> <p>A: The release processes under RTI and IP are documented. Administrative access processes need to be clarified</p> <p>A: All web work requests have an option to include information on RTI Site</p> <p>A: Appropriate advice and support available from managers</p> <p>A: Improved administrative release process is currently being researched</p> <p>A: A Publications Scheme Approval Policy and Approval to Publish form has been developed for the public release of information on the internet including the publication scheme material</p> <p>A: All staff are aware, through communications, training and the RTI/IP policy, of the responsible officer delegated to authorise information releases</p>
4.9	The Principal Officer has appropriately delegated authority to deal with right to information and information privacy applications.	74%	13%	8%	6%	97%	<p>C: In policy</p> <p>C: Approved delegations</p> <p>A: No specific authority on what to release/what not to release is in place</p> <p>A: Delegation rests with Chairperson</p> <p>A: Technically Agency seems to fall through the cracks of the legislation. Our assumption is that the CEO is the Principal Officer</p> <p>A: No delegation - only small number of applications received</p>
4.10	Roles and responsibilities of the Principal Officer or the Principal Officer's delegates are clearly defined.	68%	17%	10%	6%	97%	<p>C: Through policies and procedures</p> <p>C: Position descriptions reviewed / updated</p> <p>A: Finer details are yet to be finalised</p> <p>A: Clear understanding of the role of decision making and internal review officers</p> <p>A: Delegations clear but to be documented</p> <p>A: Broad statement re roles/responsibilities is included in the delegation instrument. A document formerly used to set out roles and responsibilities for FOI decision-makers is being updated to reflect the changes as a result of the introduction of RTI and IP regimes</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>5</sup> Comments have been selected to illustrate the diversity of views
<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate (cont)</b>						
4.11	There is a person who has responsibility for maintaining a system of recording, tracking and monitoring applications and reviews.	81%	9%	7%	4%	98%	C: No or few applications C: In progress C: Responsibility of: <ul style="list-style-type: none"> <li>• RTI and Privacy Officer (decision maker)</li> <li>• Director, RTI and Privacy</li> <li>• Manager Governance and Public Relations</li> <li>• Secretary to the Board</li> <li>• Risk and Compliance Advisor</li> </ul>
4.12	Internal reviews are conducted by an officer different to the officer who made the reviewable decision.	67%	8%	10%	15%	95%	C: No applications / reviews to date C: Reviews conducted by: <ul style="list-style-type: none"> <li>• CEO</li> <li>• Chair of Board</li> <li>• Corporate Lawyer</li> <li>• Legal Services Manager</li> <li>• Senior Legal Officer</li> <li>• Executive Director (Operations)</li> <li>• Senior Executive</li> <li>• Through audit</li> </ul> C: Due to decision maker level, there is no internal review opportunity A: As no delegation - No internal reviews
4.13	The officer conducting the internal review is more senior to the officer who made the reviewable decision.	72%	6%	10%	13%	93%	C: Not applicable C: No applications / reviews to date C: Always 'not less senior than'
4.14	The agency can meet requirements to report on Freedom of Information, Right to Information and Information Privacy statistics	82%	7%	8%	3%	99%	C: Have current software / system C: The Department is currently in the process of developing a case management tool to track and monitor requests A: Not completely - still some work to put in place appropriate record keeping. Data can be derived but requires manual effort A: Can meet the requirement but looking at ways of streamlining and automating this

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>5</sup> Comments have been selected to illustrate the diversity of views
<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate (cont)</b>						
4.14	The agency can meet requirements to report on Freedom of Information, Right to Information and Information Privacy statistics (cont)						A: Agency currently tracks information using excel, but Agency is investigating implementing the RTI program developed by DTMR that has a capability of reporting on all the RTI/IP statistical requirements
4.15	The agency uses redaction technologies to assist in its decision making processes.  (NB "Redaction technology" allows an original hard-copy document to be scanned, and then text to be electronically blocked out of the scanned copy - for example, personal information can be removed.)	39%	6%	10%	45%	99%	C: Limited number of RTI/IP applications so there is no financial justification for implementing such technologies C: Technologies used: <ul style="list-style-type: none"> <li>• Adobe Acrobat</li> <li>• Redact for text redaction</li> <li>• Microsoft Windows Movie Maker for editing CCTV and video</li> <li>• Audio Editor for editing audio recordings</li> <li>• Electronic documents records management software</li> </ul> C: Manual processes: <ul style="list-style-type: none"> <li>• Redacting tape</li> <li>• 'Post-it' notes</li> <li>• Hard copy is scanned and manually blocked out and rescanned</li> </ul> C: Considering technology needs for redaction A: Limited application of RTI Act to Agency and nature of most applications not justify expenditure A: The RTI and Privacy Unit uses a range of technologies for assisting the decision making process A: Processes will be refined inline with best practice, resource availability and need

## Section A – Leadership

(Note to person coordinating responses - This section could be completed by the Information Champion, or executive within the agency responsible for information management.)

Response options:	Use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>8</sup> Comments have been selected to illustrate the diversity of views
<b>5</b>	<b>Training</b>						
5.1	Number of agency staff who attended RTI or IP training, or any training containing information about RTI or IP during the year.	None 24%	1 or 2 26%	3 to 10 19%	over 10 30%	93%	<p>C: On-line training for all staff</p> <p>C: Mandatory for all staff</p> <p>C: RTI staff attended external / specialist training</p> <p>C: Executives received detailed training</p> <p>A: No training offered locally this year. A staff member attended last year, but is no longer employed by us</p> <p>A: Are not aware of any training being offered</p> <p>A: RTI staff attended specialist training. In-house mandatory IP training for all staff</p> <p>A: An Information Access Officer network has been created throughout the Department. Department has used a train the trainer model and run network training sessions, from across the state. These officers have then conducted localised training to achieve a wide coverage of awareness. These web conferences are available to all staff on the Department's intranet. Another 120 officers have received further training. Systemically, training is also included in HP Training and Record Keeping Awareness Training. It is also included in induction training</p> <p>A: Seminars were held for all staff across the Department</p>

<sup>8</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>8</sup> Comments have been selected to illustrate the diversity of views
<b>5</b>	<b>Training (cont)</b>						
5.1	Number of agency staff who attended RTI or IP training, or any training containing information about RTI or IP during the year. (cont)						<p>A: Informal discussion and consultation occurred between the RTI Officer, Responsible senior manager and other agency staff involved in RTI and IP compliance</p> <p>A: The Legal and Commercial Services group have provided 'awareness' training to key internal stakeholder groups with post implementation training currently being developed and expected to be rolled out from August 2010</p> <p>A: The RTI/IP Manager meets with teams periodically to discuss issues and updates</p> <p>A: Agency uses a combination of face-face training, online training and awareness mechanisms. A newsletter setting out the requirements of privacy compliance has been distributed to all staff through the internal email system</p>
5.2	Agency staff are trained as to their level of authority to release information administratively.	42%	18%	25%	14%	98%	<p>C: Informal training only</p> <p>C: Training being investigated / developed / scheduled</p> <p>C: Process set out in current corporate standard</p> <p>A: Restrained by secrecy provisions in legislation and the nature of the agency</p> <p>A: No specific training undertaken. The primary mechanism for administrative release of information is the Agency's Publication Scheme together with other publications controlled by the Corporate Communications group. Generic staff obligations with respect to release of information are addressed in the RTI procedure</p> <p>A: Issues have been identified with the draft Administrative Access Policy - no protection for the decision maker if information is released administratively and not under the RTI or IP legislation</p> <p>A: COs trained Information on the internet. Other access decisions are generally devolved to heads of business units</p> <p>A: Training needs have been identified and staff will be trained as courses become available</p> <p>A: Some staff have received the required training however as RTI and IP becomes everyone's business there are more staff requiring training (i.e. Those connected to Information Management within Agency)</p> <p>A: No administrative access scheme</p> <p>A: Admin release to be included in Review Officers training program</p> <p>A: Agency has not yet determined the full extent of information to be released administratively. Staff will be trained as appropriate</p> <p>A: RTI and IP staff will provide advice to departments to release documents when possible and a great deal of information is published on our website, but no formalised training is in place regarding particular levels of authority to release</p> <p>A: No specific training on what to release / what not to release has been conducted</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>8</sup> Comments have been selected to illustrate the diversity of views
<b>5</b>	<b>Training (cont)</b>						
5.3	The agency has procedures in place to ensure new/existing staff are given appropriate training/awareness raising in relation to right to information handling and information privacy obligations.	41%	21%	26%	12%	99%	<p>C: Under review / development</p> <p>C: Induction training</p> <p>C: On-line training</p> <p>A: Annual orientation</p> <p>A: Monthly RTI / IP training programs</p> <p>A: Limited application to Agency; an awareness about proper dealing with all information</p> <p>A: RTI Officer and RTI Review Officer attend external training. RTI, HR and Procurement procedures address employee obligations with respect to the release of information and information privacy</p> <p>A: It is now a requirement of Agency recruitment processes to ensure awareness and obligations of new staff under this policy. Extra training modules have been purchased to cater for staff turnover</p> <p>A: On the job training</p> <p>A: Through recordkeeping and information security training</p> <p>A: Existing staff are aware of obligations</p> <p>A: Most regions and head office hold regular awareness sessions – most reported great success in attending staff / executive meetings to present on RTI/IP</p> <p>A: Manuals are progressively being updated to provide for training and awareness</p> <p>A: Team Leader / Managers nominate appropriate staff for sessions</p> <p>A: No specific training on what to release / what not to release has been conducted</p>
5.4	RTI/IP is mentioned in induction.	44%	22%	18%	16%	98%	<p>C: Information Privacy covered</p> <p>C: In records management training</p> <p>A: In certain areas</p> <p>A: 30-40 mins</p> <p>A: Induction program and position descriptions being rewritten / developed</p> <p>A: The induction covers general confidentiality obligations. RTI and IP obligations are covered for relevant staff</p> <p>A: RTI/IP forms part of the online induction program</p> <p>A: 15 minute session delivered by the RTI and Privacy Unit at each of the face-to-face corporate orientations</p> <p>A: To be inserted in to Welcome Forum Participant Notes</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>8</sup> Comments have been selected to illustrate the diversity of views
<b>5</b>	<b>Training (cont)</b>						
5.4	RTI/IP is mentioned in induction. (cont)						<p>A: Recently IP has been added to the Agency's Induction Kit and it has also been requested to be included in the face-to-face induction process</p> <p>A: The Board does not have staff. All staff providing secretariat and administrative support to the Board are advised in relation to RTI/IP at induction</p> <p>A: Induction by Department</p> <p>A: Changes arising from procedural review will be incorporated into our code of conduct which is covered at induction in detail</p> <p>A: Some regions reported excellent levels of inclusion in induction programs (eg. RTI/IP information is included on a USB stick of orientation information for new staff in one region). Others advised a preference for later coverage of RTI/IP information, citing information overload at induction</p> <p>A: Agency intends to include its privacy statement in its induction kit and incorporate RTI/IP information in induction sessions</p> <p>A: Monthly training is provided</p> <p>A: An online training package has been developed for all staff. Completion of this package will become part of the induction process</p> <p>A: Privacy statement on collection of employee data</p>
5.5	Training for RTI/IP staff with respect to the RTI/IP function is effective.	52%	17%	23%	9%	97%	<p>C: Training conducted by:</p> <ul style="list-style-type: none"> <li>• OIC</li> <li>• Crown Law</li> <li>• Megan Carter</li> <li>• Clayton Utz</li> <li>• E-learning</li> <li>• Department</li> </ul> <p>A: No training current</p> <p>A: To be monitored</p> <p>A: Majority of staff have formal training; supervisors are highly experienced decision makers and provide quality informal training to new decision makers</p> <p>A: The e-learning module has proven to be effective for those with access to systems. Training for outdoor staff will contain the same content and messages however, will be delivered face-to-face. Communications recently sent through Agency have been well received and understood according to feedback. Where identified the responsible officer attends small group meetings to discuss and further train Agency staff in processes associated with both Acts</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>8</sup> Comments have been selected to illustrate the diversity of views
<b>5</b>	<b>Training (cont)</b>						
5.5	Training for RTI/IP staff with respect to the RTI/IP function is effective. (cont)						<p>A: One measure of effectiveness is the level of internal and external reviews of agency decisions. In the current reporting period: - IR applications as percentage of initial applications was 1% - External review applications as a percentage of initial applications was under 1%. A range of strategies are used to train decision makers including: - weekly meetings with each decision maker, - senior decision makers mentoring junior decision makers, - in house workshops run by the Director on aspects of RTI/IP decision making, - targeted round table discussions on a regular basis. External training is provided by the OIC</p> <p>A: However, the RTI Review Officer is to undertake further training</p> <p>A: Results of general training identified - specific training sessions to be held for relevant staff i.e. enforcement officers, currently in progress</p> <p>A: For the small amount of activity in the organisation, limited training is sufficient</p> <p>A: Training already undertaken is effective, but more is needed</p> <p>A: Staff access OIC training for decision makers. Additional staff need to complete this training</p>
5.6	General staff training in RTI/IP is effective.	41%	21%	26%	11%	96%	<p>C: Ongoing training</p> <p>A: No training current</p> <p>A: Induction and half day</p> <p>A: Training is often tailored for specific business groups needs</p> <p>A: Ongoing monitoring is occurring and training has been quite effective</p> <p>A: Online privacy training – over 3000 staff completed mandatory training with pass rate of 96%. An online RTI module which will be available is in development</p> <p>A: Training being developed in interactive style</p> <p>A: Feedback at this stage suggests the training mechanisms have been successful internally. Feedback from outside staff has yet to be assessed</p> <p>A: The Board does not have staff</p> <p>A: E-Learning training available</p> <p>A: Do not have a training programme in place</p> <p>A: More awareness training needed for general staff</p> <p>A: Awareness raised but further training to be arranged</p> <p>A: Awareness sessions are held - there is need to hold more and/or attend staff/executive meetings to reinforce the RTI/IP message. Handout with key messages for all staff re RTI/IP has been developed and receives positive feedback</p> <p>A: Agency has taken steps to obtain additional training to supplement existing training</p>



	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>8</sup> Comments have been selected to illustrate the diversity of views
<b>5</b>	<b>Training (cont)</b>						
5.6	General staff training in RTI/IP is effective. (cont)						<p>A: Basic information provided about RTI IP and Agency's processes at induction and at key team meetings. However, this could be developed and improved</p> <p>A: No specific training for operational staff has been conducted</p> <p>A: Feedback indicates that face-to-face privacy awareness training is effective. The effectiveness of online Privacy training is to be assessed</p> <p>A: Annual compliance training on privacy</p>

**Section B - Accountability requirements <sup>9</sup>**

**(Note to person coordinating responses - This section could be completed by the Information Champion, or executive within the agency responsible for information management.)**

Response options:	Use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>10</sup> Comments have been selected to illustrate the diversity of views
1	Complaint handling procedures capture opportunities for improvement in RTI/IP implementation of reforms.	41%	19%	22%	18%	95%	C: Not applicable C: No complaints received C: General complaints system / register in place C: Complaint handling procedures are under review / development A: Small agency receives very few complaints and very few requests for information under RTI and IP Acts A: These are covered in CMS and Privacy Plan, but are to be expanded A: Example: arrangements in place for complaints which include a small element of privacy (e.g. incorrect recording of personal information) to be referred correctly to have issue addressed A: Complaints Management Administrative Standard AS.16.005 (does not specifically address RTI or IP) A: Includes reporting requirements A: In addition the website includes complaint/feedback page

<sup>9</sup> Sourced from the OIC survey of agencies and the recommendations of the Solomon report.

<sup>10</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>10</sup> Comments have been selected to illustrate the diversity of views
<b>Accountability Requirements (cont)</b>							
1	Complaint handling procedures capture opportunities for improvement in RTI/IP implementation of reforms. (cont)						<p>A: Complaint procedure is being updated to include recourse for client re RTI / IP</p> <p>A: Agency RTI / IP web page contains procedures for lodging complaints about inability to access information in its publication scheme</p> <p>A: Department rarely experiences RTI/IP complaints, however this may be because complaints are unreported or otherwise unknown. This gap area is being assessed and will form an operational target for the 2010/11 year</p> <p>A: No formalised procedure for capturing RTI / IP issues via complaints. This would be dealt with on a case by case basis</p> <p>A: Complaint handling processes identify systemic and structural issues which contributed to the incident</p>
2	Opportunities for improvement in RTI/IP implementation of reforms are recorded and actions on them are tracked.	30%	14%	28%	28%	94%	<p>C: Not applicable</p> <p>C: No applications</p> <p>C: To be incorporated in policy and procedures</p> <p>A: Opportunities for enhanced proactive disclosure of information will be identified and tracked through periodic policy reviews</p> <p>A: There have been no issues raised to date, however as issues are identified they will be considered for adoption for improvement</p> <p>A: Complaints Management Register</p> <p>A: Internal Audit recommendations are tracked</p> <p>A: Opportunities for improvement in processing are recorded. New technology being investigated will allow for improved tracking and review</p> <p>A: RTI/IP receives and records communication related to opportunities for improvement. Actions are tracked</p> <p>A: Excel spreadsheet: RTI/IP Reform Implementation Tracking Log maintained</p> <p>A: Improvements generally made at time</p> <p>A: Yes through internal audit review and general management processes</p> <p>A: At Portfolio Office Level</p> <p>A: Implementation tracking included as part of project management process</p> <p>A: The implementation of RTI and IP processes in our organisation is still relatively new. As this matures, it is expected that the processes outlined in this section will be progressively implemented</p> <p>A: Number of requests received negates need to track request types</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>10</sup> Comments have been selected to illustrate the diversity of views
<b>Accountability Requirements (cont)</b>							
3	Opportunities for improvement are actioned and result in improvements to systems for the release of information or information privacy.	33%	17%	28%	22%	94%	<p>C: No applications</p> <p>A: Consistent with standard practice, periodic reviews of systems and procedures will deliver system improvements</p> <p>A: Continuous improvement practiced</p> <p>A: There have been no issues raised to date, however as issues are identified they will be considered for adoption for improvement</p> <p>A: Opportunities for improvement have not yet been identified</p> <p>A: Currently in progress. New technology being investigated will allow for improved tracking and review</p> <p>A: Focus is more on information privacy</p> <p>A: The RTI and Privacy Coordinator has responsibility for actioning improvements</p> <p>A: Given the low volume of requests opportunities for improvement are identified during normal process</p>
4	The agency has internal systems and procedures for reviewing the effectiveness of the right to information and information privacy functions.	32%	17%	29%	23%	94%	<p>C: Review planned</p> <p>C: Implementation underway</p> <p>C: Weekly reporting</p> <p>C: Annual review</p> <p>C: Question not understood</p> <p>C: Review by:</p> <ul style="list-style-type: none"> <li>• Board</li> <li>• Internal Audit</li> <li>• RTI staff</li> </ul> <p>A: Influenced by limited application to Agency</p> <p>A: Director's Performance Effectiveness Plan. RTI and Privacy staff Performance Effectiveness Plans</p> <p>A: Yes - auditing of systems and processes. Communication within all areas and Directorates assists in identification of system risks</p> <p>A: Regularly reviewed</p> <p>A: Included in the operational plan targets</p> <p>A: Will be included in compliance program</p> <p>A: Whilst management oversee the effectiveness of the functions, there are formalised systems of procedures for review</p>

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>10</sup> Comments have been selected to illustrate the diversity of views
	<b>Accountability Requirements (cont)</b>						
4	The agency has internal systems and procedures for reviewing the effectiveness of the right to information and information privacy functions. (cont)						A: Quality Management System. Weekly, monthly and annual reporting in place. Reporting to be revised A: Informal review following conclusion of applications
5	Performance measurement for the RTI implementation across the agency is in place.	23%	13%	29%	35%	94%	C: Not applicable C: Question unclear C: Under investigation and development C: Implementation complete C: RTI / IP implementation is a performance measure C: No formal performance measurement used C: Very small number of applications received A: Quarterly performance is monitored A: Response times for individual applications are tracked A: A general performance measure only, namely organisational commitment to legal compliance A: Monitoring does occur in practice A: Most issues are being managed A: Basic information is reported to management regarding processing applications A: A question about RTI/IP is included in our Compliance Survey A: Database records compliant with key milestones in application processing. Also records any internal and external reviews A: New software will provide for enhanced recording and performance reporting capability A: KPI and critical success factors defined during project management plan. Progress, closure and post-implementation review reports track achievement
6	Performance measurement for the RTI implementation across the agency is used.	20%	10%	31%	38%	92%	C: Question unclear C: Under development A: All statutory timeframes have been met with no deemed decisions.
7	Performance measurement for the RTI implementation across the agency is useful.	21%	12%	31%	36%	88%	C: Not applicable C: Currently undergoing development C: Cannot assess as not yet in place A: Volume too low to be of value currently

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>10</sup> Comments have been selected to illustrate the diversity of views
<b>Accountability Requirements (cont)</b>							
7	Performance measurement for the RTI implementation across the agency is useful. (cont)						A: None in place at present A: This issue will be included in future policies and procedures A: Needs to be reviewed for how this can be used to support improvement of our internal processes A: Only so far as to ensure compliance with timeframes in the legislation
8	Performance measurement for the IP implementation across the agency is in place.	21%	12%	34%	34%	94%	C: Implementation complete C: Low volume of requests A: A general performance measure is in place - through organisational commitment to legal compliance. No specific IP measure is in place A: Performance measurement process to be developed during 2010-11. Monitoring does occur in practice, but no formal performance measurement process is in place A: Yes - widespread communication and training has been undertaken by all staff. Implementation of systems has begun A: RTI / IP implementation is a performance measure of the Manager Legal and Commercial Services A: IP outcomes are tracked. No formal performance indicators used due to very small number of applications received A: Included in the operational plan targets - also opportunity to progress this through the RTI/IP decision makers network A: Included in KPIs
9	Performance measurement for the IP implementation across the agency is used.	18%	11%	33%	38%	91%	C: Not applicable A: This issue will be included in future policies and procedures A: Volume too low to be of value A: It is proposed to include a review of the RTI and Privacy functions in the Audit process
10	Performance measurement for the IP implementation across the agency is useful.	19%	11%	34%	36%	88%	C: Not applicable A: Under development A: This issue will be included in future policies and procedures. Aim will be that weaknesses can be identified and improved A: Only so far as to ensure compliance with timeframes in the legislation A: Given the low volume of requests opportunities for improvement are identified during normal process

	Criteria Question	Yes	IP	Id	No	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>10</sup> Comments have been selected to illustrate the diversity of views
	<b>Accountability Requirements (cont)</b>						
10	Performance measurement for the IP implementation across the agency is useful. (cont)						A: It is proposed to include a review of the RTI and Privacy functions in Audit process
11	Review and reporting mechanisms are embedded at all levels of the organisation.	30%	15%	28%	28%	93%	C: No / low number of applications C: Only one person involved across all issues C: Question not understood / ambiguous C: Under development A: None in place at present A: Not a whole of organisation activity A: Used by local RTI staff, regular reporting to Executive and General managers and periodically to Board and Audit Committee A: All staff are aware of their obligations and delegations associated with IP

### Section C - Maximum Disclosure

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)

Response options:	Use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
							Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>11</sup> Comments have been selected to illustrate the diversity of views
<b>1. General</b>							
1.1 More information is in the public domain e.g. Additional data sets are now available to the public.	57%	11%	12%	20%	95%		C: Not applicable C: Information already available on website A: Yes- Publication Scheme and Disclosure Log A: More documents are open to inspection as per LG Act and Regulations. Community consultation on various issues A: As new information is identified or produced it is made routinely available from Agency's website and Customer Service Centres A: Policy has always been to disclose A: Agency Publication Scheme has organised the release processes to make them more efficient A: While more information is in the public domain there is a need to review other information objects and assess their suitability to be made publicly available - part of Stage 2 project

<sup>11</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.



Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
<b>1. General (cont)</b>						
1.1 More information is in the public domain e.g. Additional data sets are now available to the public. (cont)						<p>A: Work on data set classification is underway</p> <p>A: No baseline exists because of the Machinery-of-Government changes and consequent reconfiguration and merging of web sites. However, publishing data sets has been promoted through a variety of means, eg. Through the stock take and the training and information sessions. The monthly BOM reporting process provides a mechanism for promoting new publications and the Information Asset Register project will provide further opportunities to review the access status of current data sets. There is certainly more information published to the internet but the number of data sets is not necessarily indicative of the culture of openness; the quality and relevance of the information is also important</p> <p>A: Even prior to the introduction of the RTI legislation in 2009, there had already been significant change to information publicly available from Department. This had been driven by earlier Government's reforms. An interstate review referred to Department as an exemplar. Following introduction of RTI legislation, Department undertook a further scan to identify other material which could be publicly released. As a result, Department published a number of documents at the launch of the RTI Publication Scheme on 1 July 2009. In addition, Department has increased the frequency of reporting on performance with new monthly reports which also include additional measures</p> <p>A: Recently established. Due to the youth of the organisation, there have not been any data published previously</p> <p>A: Information is more identifiable and accessible</p>
1.2 More information is available via the publication scheme than was previously available under the Statement of Affairs.	56%	10%	13%	21%	92%	<p>C: Not applicable</p> <p>C: The same / similar amount of information is available</p> <p>C: Unsure / unknown</p> <p>A: Information is more identifiable and accessible</p> <p>A: Unsure of application to Agency</p> <p>A: Prior to the implementation of RTI, Agency operated a range of administrative access schemes which made a wide range of information publicly available. Agency's website already provided access to a large amount of policy and procedural information about the Agency. Agency 's Publication Scheme has organised the release processes to make them more efficient</p> <p>A: Statement of Affairs not produced for Agency</p> <p>A: It is anticipated that the finalised publication scheme will contain more information than the statement of affairs</p>

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
<b>1. General (cont)</b>						
<p><b>Department only question. GOCs, local government, and other agencies please disregard.</b></p> <p>1.3 Using the Information Asset Register as a guide, the agency has achieved maximum disclosure of publishable information assets.</p> <p><i>(This is a requirement for departments. It is not a requirement for GOCs, local governments or other agencies, and they are not required to respond to this question.)</i></p>	8%	75%	8%	8%	92%	<p>Optional Comments (for example, implementation plans)</p> <p>Comment types:</p> <p>C – common comment theme representing a general trend;</p> <p>A – comment by a specific agency representing their individual assessment.<sup>11</sup> Comments have been selected to illustrate the diversity of views</p> <p>A: This will be identified once further work is undertaken by the ICT Branch around departmental datasets and systems</p> <p>A: The department has existing procedures in place to update the departmental publication scheme and disclosure log and will look to using the asset register as a guide. An audit review on RTI implementation is also scheduled for 2010/11 (quarter 4)</p> <p>A: The Department is progressing maximum disclosure of publishable assets in line with IS44</p> <p>A: The Information Asset Register is maintained by the Strategy and Policy Management team within Information Technology Services, for the purposes of ICT baseline reporting to Whole-of-Government. The repository is an IBM System Architect database, maintained centrally, but accessible to all Department staff through a browser interface. It is published on the Department intranet. The department has commenced a project on the Implementation of Information Asset Custodianship (IS44). One of the project objectives will be to review the Information Asset Register and its information assets in relation to access status. It is expected that an "RTI status" field can be added to the System Architect repository to allow measurement and reporting of disclosure and publishing status of each asset</p> <p>A: The department is in the process of implementing the various elements of IS44. This will be linked to the broader Department IM Governance Framework, currently in draft, and the associated activities. The Information Management Governance Unit of the department, in conjunction with designated IM governance leaders, will be progressing IS44 as part of the unit's 2010-12 program of work. In particular: Principle 1 - Information asset custodianship readiness identify the agency's information assets (as part of the IS2 Baseline Process) ensure an information asset register is established and maintained assign role(s) for the management of the agency's information asset register. Principle 2 - Information asset custodianship policy and assigned responsibility develop and implement an agency information asset custodianship policy which is consistent with government ICT directions, legislative and regulatory obligations and relevant standards assign information asset custodians for administration and management of information assets held in the care of the agency provide training for assigned information asset custodians reflecting their roles and responsibilities. Due to resource constraints and the scale of the activity, it is anticipated that the collection of information assets within Department will be implemented iteratively, over several years</p>

## Section D - Compliance

### D.1 Detailed questions about active management of agency responsibilities <sup>12</sup>

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment				Optional Comments
				Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>1. Active management of responsibilities – managing the process</b>					
<b>1.1 Searches</b>					
Overall sufficiency of search e.g. The number of times sufficiency of search is an issue in internal or external review matters.	Low 75%	Medium 12%	High 13%	77%	C: Not applicable C: No applications / reviews at this time C: No sufficiency of search issues to date A: As principal officer is decision maker, there is no right of internal review A: Although this has been raised a couple of times on large and complex applications, generally applicants are satisfied with search. Additional documents have been identified on some internal review applications A: Sufficiency of search issues are periodically raised in external reviews

<sup>12</sup> Sourced from *FOI Standards and Measures*, produced by the Office of the Information Commissioner, Western Australia, as a result of an FOI practitioners workshop, unless indicated differently.

<sup>13</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment				Optional Comments
					Answer Rate Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>1.1 Searches (cont)</b>					
Overall sufficiency of search e.g. The number of times sufficiency of search is an issue in internal or external review matters. (cont)					A: Sufficiency of search data is not collected however a review of recent files indicates that it is not a usual ground for review. Current case management system does not allow for this data to be recorded. Sufficiency of search is often raised as an issue at review without any real grounds being put forward by applicants who do not accept that documents of the type they are requesting don't exist rather than the agency not being able to locate documents A: Of the five internal reviews received, three related to sufficiency of search matters. In two of these sufficiency of search reviews the original decision was upheld A: Searches are conducted in a proper manner A: While we believe the proportion to be low as against the total number of applications received by the department (information systems do not allow for tracking of this information), this issue has been identified as one needing attention. A session was held on "suff of search" at workshop for regions in 2010 - further resources to be developed to reduce incidence A: Problems identified include: - too narrow date range in applications. - documents applied for under IP but were actually identified as RTI A: Applicants generally very specific about what documents they require so this is rarely an issue
Additional documents located during external review.	Often 2%	Some- times 17%	Rarely 81%	65%	C: Not applicable C: No applications / reviews at this time C: Never A: Unsure
Level of satisfaction by RTI Unit or decision maker with documentation received from other staff.	Low 5%	Medium 37%	High 58%	79%	C: Not applicable C: No applications A: At times due to information management systems, rather than people, searches against request have been hampered and delayed A: The searching process has generally been somewhat informal to date. This has resulted in some requests requiring follow up searches to make sure all relevant documents were captured A: Thorough recordkeeping A: Usually very good response from relevant departments. However, ongoing training and awareness issue regarding the fact that Agency must provide ALL documents under RTI/IP

Criteria question	Assessment					Optional Comments
	Answer Rate					Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>1.1 Searches (cont)</b>						
Level of satisfaction by RTI Unit or decision maker with documentation received from other staff. (cont)						A: Generally, this is good. However, it is recognised that constant reinforcement of the messages re searches is required - achieved through awareness sessions and handout for staff re responsibilities under RTI/IP A: RTI training has been improved regarding RTI search requirements and procedures A: Further training required for staff regarding what documents need to be located during a search (e.g. what is a document) A: RTI training undertaken by all staff within agency
<b>1.2 Transfer of information</b>						
If relevant, the agency has procedures in place for transfer of personal information outside Australia only in accordance with s33 of the IP Act. (Note: Not required for local government until 1 July 2010)	Y 20%	IP 14%	Id 21%	N 45%	82%	C: Not relevant / applicable C: Not occurred C: Policy / guidelines being developed A: This hasn't been an issue to date, but it is on the program of work A: Fact Sheet developed for communication to the executive, business units and COs as well as being placed on the intranet on the privacy resources page. Approval to Publish process has reference to publication of photos and a mandatory consent before publication to the internet A: Consent obtained A: It is a requirement that Agency officers make people aware of Section 33 where information may be added to Agency's website or information is likely to be transferred out of the country. Permission must be sought under Section 33 A: Don't understand this question A: Information of website now vetted for Personal information A: Agreements with contracted service providers overseas include terms which comply with section 33
<b>1.3 Record Keeping</b>						
Record keeping systems allow efficient location of records relevant to RTI and IP requests.	Y 68%	IP 20%	Id 9%	N 3%	98%	C: No requests / applications C: Electronic documents management system implemented C: Implementation of electronic documents management system planned / in progress A: Knowledge management system currently being reviewed A: Efficiency will be improved with better use of new systems

Criteria question	Assessment					Optional Comments
						Answer Rate Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>1.3 Record Keeping (cont)</b>						
Record keeping systems allow efficient location of records relevant to RTI and IP requests. (cont)						A: Information management within Agency continues to improve with staff trained in appropriate software usage A: There is always a doubt over hand written notes becoming a "record" in the electronic documents management system A: If required A: Recordkeeping consolidation project ongoing A: Due to MoG changes, one record keeping system is being developed across Department A: Electronic documents management system is utilised to manage departmental records effectively. Searches are easily conducted of the records management system A: Upgrade to current system will be released later this year. Will have improved searching A: Reasonable but can improve a lot more A: Currently developing our retention and disposal schedule in consultation with Queensland State Archives A: For the most part, this occurs. Department is currently implementing an electronic documents management system which should provide greater efficiencies. Difficulties arise when individual officers do not send documents for inclusion in department recordkeeping systems. The Strategic Records Management Team is increasing awareness through the Records Officers Network in the department A: Agency systems allow effective searches to take place. Ongoing training of staff necessary for registering documents in Agency's document management system A: RTI and privacy case files kept A: Further communication and awareness planned for registering email and Word documentation A: Record-keeping systems are generally adequate but could be improved, particularly in relation to electronic documents. In addition to Records and Archives Management Services (RAMS), records may be held at the Faculty and School levels. This can create problems from a sufficiency of search perspective
Accurate records exist to document the processing of requests.	Y 79%	IP 7%	Id 8%	N 6%	97%	C: No requests / applications A: If required A: Mostly, some older documents were lost during cyclone. Not stored electronically A: New records management system being implemented A: Electronic and paper files kept

Criteria question	Assessment					Optional Comments
	Answer Rate					Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>1.3 Record Keeping (cont)</b>						
Accurate records exist to document the processing of requests. (cont)						<p>A: Agency systems monitor requests against the timelines stipulated in the relevant Acts</p> <p>A: The RTI/IP procedures have supporting 'forms' and 'templates' such as the Section 185 Reporting Form which documents processing of requests and tracks dates, payment of fees and charges and responses. Internal Search Request Forms are retained for the purposes of 'sufficiency of search'</p> <p>A: Through electronic documents and records management system and workflow system and internal case data base</p> <p>A: Reasonable but can improve a lot more</p> <p>A: Accurate records exist but these will be refined during the RTI Reforms Stage 2 project</p> <p>A: Dedicated hardcopy and electronic files are retained for each access request. Each request is assigned a unique reference number. Agency uses case management system. Relevant documents (searches, acknowledgements, decisions) are saved to both the electronic and hardcopy files</p>
<b>2.1 Negotiation</b>						
Applicants are assisted through negotiation, either prior to making an application or once an application is made, to clarify and particularise their requests.	Y 79%	IP 6%	Id 4%	N 11%	89%	<p>C: Not applicable</p> <p>C: No requests / applications</p> <p>A: The Manager, Administrative Law Services always assists applicants to clarify/particularise their requests, whether it be by telephone, email, or written correspondence. Applicants appreciate this assistance</p> <p>A: Open communication with applicants is occurring</p> <p>A: The RTI/IP Officer contacts all applicants, regardless of whether on the approved form or not, to clarify requests and to outline the process</p> <p>A: Applicants are assisted at the time the application is made</p> <p>A: RTI/IP procedures encourage early consultation with applicants</p> <p>A: Often there is extensive liaison with applicants to assist them with their needs</p> <p>A: Clarification processes are used to refine application requirements</p> <p>A: RTI/IP staff will regularly discuss the scope of the application with the applicant to clarify what documents they are seeking access to, particularly with large and complex applications</p>

Criteria question	Assessment					Optional Comments
	Answer Rate					Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>2.1 Negotiation (cont)</b>						
Applicants are assisted through negotiation, either prior to making an application or once an application is made, to clarify and particularise their requests. (cont)						A: Many applicants will discuss request with Agency staff or the RTI/Privacy contact officer prior to and during their application A: Applicants are assisted with both the formal requirements of access applications, and the scope of their requests
<b>2.2 Communication</b>						
For every application received, the agency considers calling the applicant as soon as practicable on receipt of the application to clarify the applicant's information request and explore options for providing the information.	Y 69%	IP 8%	Id 9%	N 13%	88%	C: Not applicable C: No requests / applications C: Included in procedure C: Where necessary A: Most cases contacted in writing however have had one where phone call sufficed A: Clarification and acknowledgement occurs by email rather than by phone A: This is not possible in the case of applications received by offenders in custody A: Consideration is given at the time of initially assessing the application, however contact is only made when deemed appropriate A: Clarification is obtained through correspondence A: Email contact A: Applicants are contacted when required or if it's possible, i.e. prisoners can't receive calls A: Agency does sent out acknowledgement letters A: Contact usually be letter or email A: The Agency receives very few applications. Applications received, are generally quite articulate A: Often staff will make contact, especially if the scope is large or complex. Contact is via telephone wherever possible. However, simpler applications may not require telephone contact to clarify A: This is considered but rarely required as applicants are generally very specific about what info they require A: Usually no need A: Only if there is a query in relation to the application



Criteria question	Assessment					Optional Comments
						Answer Rate Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>2.2 Communication (cont)</b>						
For every application received, the agency considers calling the applicant as soon as practicable on receipt of the application to clarify the applicant's information request and explore options for providing the information. (cont)						A: There is no policy which requires all applicants be contacted. Where information can be released through an alternative process, an applicant may be contacted to advise of this. However, except in cases where it is clearly appropriate that the information be released administratively, this process is delayed until relevant documents have been received to ensure that exempt matter (e.g. personal information of third parties) is not included
Open communication exists between the agency and the parties.	Y 85%	IP 5%	Id 7%	N 2%	88%	C: Not applicable C: No requests / applications A: Applicants are encouraged to contact the RTI and IP coordinator if they have any queries or require further information. However, in line with the Public Records Act, substantive communications which deal with business processes are either made in writing or file-noted A: No applications received to date - agency adopts open communication on all issues A: Staff keep applicants up to date with progress and ensure they are aware of the timeframes for processing A: All decision, submissions and consultants reports published routinely A: Where possible a close contact is maintained with the applicant/s
Level of satisfaction by the parties with the communication in general.	Low 2%	Medium 25%	High 74%		75%	C: Not applicable C: No requests / applications C: No complaints C: Not known / measured A: This is a guess. There is no system in place of measuring satisfaction A: Feedback has been limited due to the very few requests received. Applicants appear to be satisfied A: Rarely get feedback A: Generally high levels of satisfaction with the handling of the applications. There have been some cases where the applicant has expressed concerns about handling procedures but in general most applicants are satisfied A: Managing expectations is always an issue A: The unit has received positive feedback from clients on a number of occasions A: From the Agency perspective, the level of communication is satisfactory. Applicants have not been surveyed in respect of their level of satisfaction. However, there have not been any complaints. It is proposed to include feedback processes for future applications

Criteria question	Assessment					Optional Comments
						Answer Rate  Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>2.2 Communication (cont)</b>						
The agency is responsive and open to requests for information.	Y 94%	IP 4%	Id 2%	N 0%	95%	C: Have never received a request A: Committed to being open and responsive when/if requests for information are received A: We will provide pre-application advice and if documents are available without going through RTI, will advise customer how to access information A: Very high client focus which is demonstrated by its client satisfaction results A: This is the intention and RTI and Privacy is transparent on our website A: Not measurable as no applications have been received A: Requests for information come into the agency via a range of entry points: the office of the Minister, Corporate Communications, Director-General's office, client service areas and regional offices. The request can often be part of a broader issue and will be responded to in accordance with standard business practice. The internet site promotes access paths for departmental information. RTI application as a last resort. RTI decision makers are trained and aware of alternative access paths. RTI and IP requests are processed in accordance with the timelines in the Acts. RTI and Privacy Unit promotes access paths through a mail-out to legal firms who lodge the overwhelming majority of access applications. Training and information is provided to business units. CO Network established. RTI Communication Strategy. RTI principles at community access points and in foyer entry points, etc. Training and support program. Administrative Release Guide in development. Recruitment and Selection Administrative Release Policy developed. Information Access Guide published on internet. BOM standing item on publication scheme
<b>2.3 Decision communication</b>						
Decisions are made promptly and parties informed as soon as possible.	Y 88%	IP 6%	Id 5%	N 1%	88%	C: Not applicable C: No applications received C: Within statutory time frames A: Provision of information on time will depend on amount and complexity of information required A: Timeframes are generally met and consultation / negotiation with applicants occurs where timeframes are not able to be met (size of applications is key factor - some applications have over 10 boxes of documents for consideration) A: Decisions are made within statutory timeframes, but resource issues can sometimes cause delays. Extensions are sometimes requested due to resource shortages A: Agency attempts at all times to meet the timelines (at the very latest) stipulated in the Acts

Criteria question	Assessment				Optional Comments
					Answer Rate Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>13</sup> Comments have been selected to illustrate the diversity of views
<b>2.3 Decision communication (cont)</b>					
Decisions are made promptly and parties informed as soon as possible. (cont)					A: All timelines are met or extensions negotiated with applicant A: Department makes every effort to meet timeframes for decisions. Some areas received unprecedented numbers of RTI/IP applications this year, making it difficult to comply with this requirement. However, in almost all cases, applicants were kept informed A: Applications are processed as promptly as resources allow A: Decisions are made within the statutory timeframe. Where an applicant requires documents more urgently, the requests are expedited where possible; e.g. An IPA application for 7,000 + documents was processed within 15 calendar days
<b>2.4 Timeliness</b>					
Level of satisfaction by the parties with the communication about time issues.	Low 1%	Medium 25%	High 74%	75%	C: No applicable C: Not measured / haven't surveyed C: No decisions made out of timeframes C: No complaints A: Cannot satisfy all applicants with timeframes A: No deemed decisions or backlog exists A: Agency is pro-active particularly when seeking extensions to time limits A: Get occasional enquiries, often about timeframes - some applicants expect immediate response in handling documents or think that the decision maker has the documents on hand and will give them to the applicant as soon as an application is lodged A: Again, not having surveyed clients, we cannot be sure but again, where time has been an issue, Department makes every effort to keep the applicant informed. Anecdotally, this appears to be appreciated A: There seems to be a misconception with the public that asking for documents under RTI or IP they will receive them within a few days. In our experience they don't consider that 3rd parties should be consulted A: Staff will keep applicants informed of progress and likely timeframes. Whilst sometimes when we request an extension, this is not always well received, applicants are contacted as early as possible in the process to make them aware of the issues A: The unit has received positive feedback from clients on a number of occasions. Many clients contact the unit instead of approaching other areas of Agency because of their previous positive experiences

## Section D - Compliance

### D.2 Requirements for Publication Schemes <sup>14</sup>

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
							Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
1. Seven classes of information are published (About us, Our services, Our finances, Our priorities, Our decisions, Our policies, Our lists).	69%	17%	9%	5%	97%		A: Included in Annual Report of the Foundation A: Information is found generally within the new website proposed A: Our lists and decisions not directly linked at this time however area available A: All headings are evident however some areas more complete than others. Continually under development A: This information will be incorporated into the Board's Publication Scheme which is being drafted A: The Agency is an excluded entity for the purposes of section 21 as it is a prescribed entity as defined in section 16 A: A 'Managing the Publication Scheme' procedure has been developed to ensure compliance with all legislative/guideline requirements A: Most of these requirements are satisfied A: Nothing published to date

<sup>14</sup> From *Ministerial Guidelines, Operation of Publication Schemes and Disclosure Logs* issued pursuant to section 21(3) and section 78(2) of the *Right to Information Act 2009*.

<sup>15</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
1. Seven classes of information are published (About us, Our services, Our finances, Our priorities, Our decisions, Our policies, Our lists). (cont)						<p>A: Seven classes are identified on Agency's website, with three still under development</p> <p>A: Information is available, but not collated as per the Ministerial Guidelines. This will be completed asap</p> <p>A: These categories appear on our website. More information is undergoing our internal approval process for publication</p> <p>A: Note: Agency is an organisation focused on delivering services and support to parent organisations only</p> <p>A: Not linked under publication scheme major change to agency's records system incorporating these requirements due in December 2010</p> <p>A: Currently 6 classes published (not Our lists)</p> <p>A: Policy area under development</p>
2. Information in the publication scheme is significant (key initiative and policy documents).	69%	16%	12%	3%	97%	<p>A: This continues to be a work in progress - suspect some of the information is not that significant</p> <p>A: Agency key strategic documents and policies are available</p> <p>A: Comply currently with some classes but not all</p> <p>A: As yet no policy documents or decisions have been published</p> <p>A: More to be added</p> <p>A: Website publication scheme includes key documents and services</p> <p>A: Evaluation of appropriateness conducted by decision maker and content owner and then approved by Agency's General Manager. Stage 2 project will expand on info currently available - some significant info is missing from Agency's publication scheme as it is not up to date and needs to be revised before publishing</p>
3. Information in the publication scheme is appropriate (having regard to legislation, privacy principles and security issues).	73%	13%	11%	2%	97%	<p>A: The Approval to Publish process which allows for the monitoring of appropriateness and decisions on what is published are located at SES level</p> <p>A: For classes currently disclosed these comply</p> <p>A: More is needed</p> <p>A: Publication scheme provides information, with links to further detail as required</p> <p>A: Evaluation of appropriateness conducted by decision maker and content owner and then approved by Agency's General Manager. Approval process for publishing in place</p>

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views						
<b>Requirements for Publication Schemes (cont)</b>						
4. Information in the publication scheme is accurate.	72%	17%	9%	2%	97%	C: Reviewed biannually A: The Approval to Publish process ensures review and monitoring of information published is accurate A: Accurate at the time of publishing and is continuously monitored A: Publication scheme reviewed recently and includes links to current information A: In-accurate or out of date info is not published or withdrawn
5. Significant documents are not excluded by irrelevant factors e.g. embarrassment to the agency, misunderstanding by the applicant, mischievous conduct by the applicant or the seniority of an author (Part 1, Schedule 4 Right to Information Act 2009).	70%	11%	9%	10%	96%	A: For classes disclosed A: i.e. They are not excluded for those reasons A: The department follows the Ministerial Guidelines and Publications Scheme Approval Policy. The Part 1, Schedule 4 RTI factors do not impact on the publication scheme obligations - they only relate to decisions made in relation to access applications lodged by applicants A: Agency takes a proactive approach to information release under IP principles and LG Act provisions A: Procedures reviewed by consultant and approved by managers before being listed in publication scheme A: Evaluation and recommendation about whether a document should or should not be published is performed by decision maker and then approved by RTA General Manager (CEO)
6. Schemes are readily accessible (e.g. A link on home page).	73%	12%	10%	5%	96%	C: Link on home page C: Two clicks from home page A: The Publication Scheme is currently accessible through the Governance page of Agency website A: Link under About RTA, RTI section on homepage
7. Direct links to documents suitable for online publication are provided. (Documents might be unsuitable for online publication if they are too large, or not in a suitable format.)	71%	12%	11%	5%	96%	A: Statement informing public that all documents listed in publication scheme are available to them A: Where information is unavailable online, contact numbers are provided to access information A: Some documents appear in PDF parts to cater for large volumes A: Some limited documentation is available but more work to complete publication scheme needed before we publish more

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
7. Direct links to documents suitable for online publication are provided. (Documents might be unsuitable for online publication if they are too large, or not in a suitable format.) (cont)						A: Where documents are published links have been provided to the majority A: Documents can be accessed by requests
8. All documents referred to in the publication scheme are accessible centrally from the publication scheme.	63%	15%	13%	9%	96%	A: Large documents are by request due to network size limits A: Publication scheme has documents and links, but existing publications at the time of implementation have not been linked to the publication scheme because of the volume (some 10,000 pages) and have some difficulty in distinguishing between publication scheme documents and general web content A: Documents are open for inspection after contacting Agency A: As we will cease to exist on 30 June 2010, this will be something the new organisation will need to consider A: What does this mean exactly - all documents can be obtained by either downloading them or requesting them from a central location on the internet A: Some documents are not available for download but are available on request or via inspection A: Some will remain in hardcopy only
9. Documents linked to the publication scheme are no more than 3 mouse clicks away.	64%	14%	13%	9%	95%	A: In some cases a document may be linked within another document available through the publication scheme A: All direct links in publication scheme A: Generally, however there are some publications which are further down than three clicks
10. If a direct link to a document is impractical, e.g. due to the size of the document, a summary of the document is provided and access arrangements are described.	57%	12%	20%	10%	89%	C: Not applicable C: All documents have direct links to date but will comply if direct link impractical A: Document audit to be conducted to ensure Publication Scheme contains full or abridged version of all publically available information A: In most cases the title of the document is self explanatory. Access arrangements are provided
11. The publication scheme sets out the terms on which information is available including any applicable fees/charges.	57%	15%	17%	10%	96%	C: No fees charged A: Fee information not included. Links to Qld Government Right to Information website A: Information about access is available but no description of applicable fees/charges

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
11. The publication scheme sets out the terms on which information is available including any applicable fees/charges. (cont)						<p>A: The whole-of-department charging scheme for accessing documents under s.20 of the RTI Act has been approved. Section 20 requires that departments make copies of each of its policy documents available for inspection and purchase by the public. There is no charge for access to policy documents by inspection only. The charges for hard copies and digital copies of policy documents are now linked to the current copy room charges</p> <p>A: The Agency is an excluded entity for the purposes of section 21 as it is a prescribed entity as defined in section 16</p> <p>A: Downloading from the web site is free and any other fees on application to Agency</p> <p>A: Most of the links and information provided within the Publication Scheme are available without charge online, but additional information about charges for documents should be provided</p> <p>A: Includes terms on which info is available and states that fees/charges may/may not be payable but is not explicit about what the fees/charges are. This is generally contained in the application form or explained during acknowledgement of applications</p>
12. Charges for administrative release of documents are minimised.	81%	5%	9%	6%	94%	<p>C: No fees charged</p> <p>A: Yes - costs cover printing/materials only</p> <p>A: No charge unless there is significant cost to Agency</p> <p>A: Agency has agreed fees and charges in place for documents, which reflect the cost of production. Photocopying charges are also agreed by Agency</p> <p>A: Only payable if total more than \$75</p> <p>A: In accordance with the policy</p>
13. Alternative formats of documents are available.	68%	7%	11%	14%	95%	<p>C: On request</p> <p>A: Depends on the document, in some cases alternative formats are not available</p> <p>A: Documents are generally provided in one format only</p> <p>A: Complies as far as possible with Queensland Government's Consistent User Experience Standard (CUE) (Version 1.06, 2004). This standard applies to all Queensland Government websites and aims to deliver a consistent user experience to our customers. However, historical Department documents have not always been provided in formats other than PDF. The Web Services Team will be attempting to address this at a later date</p> <p>A: PDF only</p>



Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
13. Alternative formats of documents are available. (cont)						A: Often documents are available electronically on CD or in hard copy A: At present, documents are available in the form in which they appear on the Agency Website (e.g. PDF, doc, xls.) It is not proposed to make the documents available in other formats A: Not been an issue
14. Web site design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).	64%	23%	9%	3%	96%	C: Website under construction or redevelopment A: Website is old and its redevelopment is a priority once funds become available A: Positive Feedback received on web design from Office of Information Commissioner A: Because of resourcing issues, the Publication Scheme is reviewed on a 6 monthly basis A: Reviewed annually / biannually / monthly
15. An agency officer has a responsibility to ensure the publication scheme is maintained and up-to-date.	70%	14%	14%	3%	95%	Responsible officer: <ul style="list-style-type: none"> <li>• Communications</li> <li>• Corporate Records</li> <li>• RTI and Privacy Coordinator</li> <li>• Dedicated administrator for website</li> <li>• Coordinator Recordkeeping</li> <li>• RTI / IP Staff liaise with Marketing and Communication</li> <li>• Manager, RTI</li> <li>• Project Officer/Paralegal</li> <li>• Secretary to Board</li> <li>• RTI / IP Officer</li> <li>• Dedicated Senior Project Officer – RTI and Privacy</li> <li>• PA, LAR based on input from directors</li> <li>• Business Policy Coordinator</li> </ul>
16. A complaints procedure is in place to enable people to make complaints when information is not available from the publication scheme.	58%	15%	15%	11%	96%	C: General complaints procedure available but no RTI / publication scheme specific procedure A: A complaints system is under development. The Agency's website advises members of the public to refer specific RTI queries or requests to the Agency's RTI Officer

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
16. A complaints procedure is in place to enable people to make complaints when information is not available from the publication scheme. (cont)						A: Contact details are available but may require more information A: As part of the Publication Scheme, there is a notice advising the public to contact us if the information is not readily available. We'll help determine if Agency holds and can release the information. They are also advised that they may be required to make an RTI request to access it A: Any complaints about the quality of the information on the publication scheme would be dealt with under the general complaints policy. However, it is proposed to include a feedback link on the Publication Scheme to capture comments, both positive and negative
17. Quality of scheme from the agency's perspective.	Low 10%	Medium 50%	High 40%		90%	C: Not applicable C: In development A: Unconvinced that data is much sought after. Also, policy redevelopment is needed A: Low simply because we have not completed the task A: While information rich, the publication scheme needs to be reorganised so that it has a more user-friendly interface A: Would benefit from whole-of-government standards apart from those in the Ministerial Guidelines which merely require publications to be classified under the seven headings and be: - significant, - accurate, - up-to-date A: Currently contains minimum information required A: Parts of the scheme are still to be populated A: All essential information is available via Agency's website, but it could be reviewed and more information made available A: Scheme needs to be expanded when information is updated A: Not yet developed and implemented - options for approach to compliance being developed and presented to CEO. A: Currently incomplete
18. Changes to the publication scheme are formally approved. <sup>16</sup>	51%	16%	19%	14%	95%	A: All content approved by Commissioner A: Changes to significant documents made available though the Publication Scheme, are reviewed and supplied by relevant functional groups within the agency A: The publication scheme and any future changes will be approved by the Board

<sup>16</sup> Email advice from Queensland State Archives to the Department of Premier and Cabinet, dated 27 October 2009, regarding whether or not a publication scheme should be maintained as a public record.

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
18. Changes to the publication scheme are formally approved. <sup>17</sup> (cont)						A: Procedure requires leadership team consultation and unit manager approval A: Changes are authorised by the RTI and IP staff, and website updated by Marketing and Communications, but no formal mechanism exists to approve changes A: Major changes are approved by the CEO A: The content of the Publication Scheme was approved by the former Agency Secretary and General Counsel. Substantive changes are approved by the Executive Director (Operations). Non-substantive changes (e.g. Spelling mistakes, grammatical issues etc) are approved the Right to Information and Privacy Coordinator A: Agency approved documents are provided in the Publication Scheme or those requested through the CEO and/or his delegates
19. Changes and approvals to the publication scheme are documented. <sup>17</sup>	47%	16%	21%	16%	95%	C: Website / electronic document records management software tracks changes and has approval system in place A: BN to Commissioner, requests through Director ES to SM and C A: BOM process Approval to Publish process A: No formal documentation, other than website tracking, has been developed. Agency will include this process A: Any changes and approval to the publication scheme will be recorded in the Board's Minutes as well as in an excel spreadsheet: RTI/IP Reform Implementation Tracking Log A: Email request for approval and unit manager approval recorded in electronic records management system A: Changes to the publication scheme are made to update information or add new information. This is not currently formally documented A: Substantive changes are documented by way of a formal minute. Non-substantive changes are documented in email communications between the RTI and Privacy Office and the Office of Marketing and Communications
20. The documents describing changes to the publication scheme are kept as public records . <sup>17</sup>	43%	19%	22%	16%	94%	C: Website / electronic records management system A: The latest version is published online, but a summary of changes is not kept as a public records A: Agency maintains a Publications Scheme file which records any changes to the Scheme

<sup>17</sup> Email advice from Queensland State Archives to the Department of Premier and Cabinet, dated 27 October 2009, regarding whether or not a publication scheme should be maintained as a public record.

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>15</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Publication Schemes (cont)</b>						
20. The documents describing changes to the publication scheme are kept as public records. <sup>18</sup>						A: GOC's kept "out of the loop" compared to Departments A: In progress. A process about how changes to the scheme will be approved will be developed with the scheme A: There is a full roll-back auditing history on System allowing the department to roll-back to any point in time on the web
<p><b>Department only question. GOCs, local government, and other agencies please disregard.</b></p> <p>21. The information governance body has considered the development of the elements of the authorising and accountability environment, which may include:</p> <ul style="list-style-type: none"> <li>• policies</li> <li>• business processes (e.g. internal approval processes for release upon request or publication in a publication scheme)</li> <li>• procedures</li> <li>• roles and responsibilities (e.g. who approves release)</li> <li>• supporting tools and systems.<sup>19</sup></li> </ul> <p>For example, the meeting agenda or minutes indicate these issues have been considered.</p> <p><i>(This is a requirement for departments. It is not a requirement for GOCs, local governments or other agencies, and they are not required to respond to this question.)</i></p>	92%	8%	0%	0%	92%	<p>A: Board of Management Information Management Committee and Information Management Group In 2009, the department undertook an Information Stock take which partly aimed at promoting the publication scheme. The stock take asked business units to: - identify current information holdings; - identify new information holdings; - review Administrative and Statutory Access Schemes; - look at research requests; and - stakeholder mapping</p> <p>A: The policies and procedures have been approved by the Director-General and communicated to the department by the Information Champion. Further reviews of these policies and procedures will be considered by the information governance body. Internal Audit review also planned for the 4th quarter of 2010/11 to assess implementation</p> <p>A: The department is in the process of implementing the various elements of IS44. This will be linked to the broader IM Governance Framework, currently in draft, and the associated activities. The Information Management Governance Unit of the department, in conjunction with designated IM governance leaders, will be progressing IS44 as part of the unit's 2010-12 program of work. In particular: Principle 1 - Information asset custodianship readiness identify the agency's information assets (as part of the IS2 Baseline Process) ensure an information asset register is established and maintained assign role(s) for the management of the agency's information asset register Principle 2 - Information asset custodianship policy and assigned responsibility develop and implement an agency information asset custodianship policy which is consistent with government ICT directions, legislative and regulatory obligations and relevant standards assign information asset custodians for administration and management of information assets held in the care of the agency provide training for assigned information asset custodians reflecting their roles and responsibilities. Due to resource constraints and the scale of the activity, it is anticipated that the collection of information assets within the Department will be implemented iteratively, over several years</p>

<sup>18</sup> Email advice from Queensland State Archives to the Department of Premier and Cabinet, dated 27 October 2009, regarding whether or not a publication scheme should be maintained as a public record.

<sup>19</sup> From QGEA Guideline *Implementing Information Governance*.

**Section D - Compliance****D.3 Requirements for Disclosure Logs** <sup>20</sup>

**(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)**

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
1. Agency has a disclosure log.	62%	8%	12%	18%	96%	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>21</sup> Comments have been selected to illustrate the diversity of views	

<sup>20</sup> From *Ministerial Guidelines, Operation of Publication Schemes and Disclosure Logs* issued pursuant to section 21(3) and section 78(2) of the *Right to Information Act 2009*.

<sup>21</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment						Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>21</sup> Comments have been selected to illustrate the diversity of views	
<b>Requirements for Disclosure Logs (cont)</b>							
2. The disclosure log is readily accessible (e.g. within three mouse clicks from the home page).	60%	10%	13%	18%	94%	C: Two clicks from home page	
3. Web site design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).	68%	14%	10%	7%	96%	C: Website under development	
4. Information released under the RTI Act is listed in the disclosure log unless there is a clear reason not to do so.	55%	15%	13%	17%	85%	C: Not applicable C: No applications to date A: An assessment is made at the conclusion of each RTI application re: suitability for inclusion in disclosure log A: Where documents contain no personal information and where the file size allows, documents are included in the disclosure log. However, workload pressures sometimes result in delays to the disclosure log being updated, particularly if this requires further 'marking up' to remove further information such as personal information A: All information released by RTA under RTI contained some personal information and therefore has not been disclosed in disclosure log A: Internal system records each decision to publish/not publish A: Disclosure log entries are made in accordance with the requirements of the RTI Act, Ministerial Guidelines and the OIC Guidelines. Any RTI applications not considered suitable for publishing to the disclosure log are recorded, and the reason for their not being included noted on the file, entered onto the CMS data base as well as in the weekly report to the Director-General. The disclosure log approvals process is in place. A: Ongoing improvement of disclosure log addition process A: Policy provides for consideration of publication on disclosure log, but overwhelming majority of applications are personal. To date no information published in disclosure log. Info will be published as appropriate	
5. The disclosure log has an appropriate list of documents, for example, by comparison with the number of applications for non-personal information that have been granted.	48%	13%	16%	23%	83%	C: Not applicable A: Since review of disclosure log process, number has increased; however majority of applications do contain highly personal information A: Documents that have been requested under previous RTI applications related to confidential and sensitive information A: Disclosure log contains appropriate information, but there is potential to improve the log and access to documents	

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>21</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Disclosure Logs (cont)</b>						
5. The disclosure log has an appropriate list of documents, for example, by comparison with the number of applications for non-personal information that have been granted. (cont)						A: A lot of RTI applications are compliance related, and therefore purely contain personal information of residents, other than the applicant A: Public is advised that documents are available on request
6. The agency has a process in place to ensure documents are listed on the agency's disclosure log not sooner than 24 hours after the applicant accesses the document.	42%	17%	20%	22%	93%	C: Not applicable A: Whilst this is part of Agency's procedure, it is often challenging to meet the recommended timeframes for the disclosure log, (see p21 regarding resourcing issues) A: Decision maker responsible for ensuring documents are published A: Should this read 'not longer than 24 hours'?
7. The agency has a process in place to ensure documents are listed on the agency's disclosure log no later than 5 business days after the applicant accesses the document.	41%	16%	23%	20%	93%	C: No applications A: Usually after 2 business days are allowed for postage for local applicants. For others it is 4 business days A: No information disclosed so timing not been an issue. Will ensure IT protocols include this
8. Where an applicant has not accessed a document within the access period, and where it is appropriate to do so, the agency provides access details to the document (including any applicable charges) in the agency's disclosure log.	32%	13%	26%	30%	83%	C: Not applicable C: This has not yet occurred, but processes are in place C: Not required to date A: Do not include applicable charges in the log itself A: Have never charged access fees A: N/A – this has not happened. Info is generally released rather than made available for access A: Documents that have been requested under previous RTI applications related to confidential and sensitive information A: Agency's procedures involve providing copies of documents with the decision notice, therefore, this situation has not occurred. If a decision was issued allowing applicant to come in to view documents, this information would be published on the disclosure log
9. Documents published to the disclosure log are accompanied by brief text with a summary and the context of the information.	44%	11%	19%	26%	85%	C: Not applicable C: No documents in disclosure log A: Agency does not upload the documents themselves to the website, but provides a summary and details re how to obtain a copy

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>21</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Disclosure Logs (cont)</b>						
9. Documents published to the disclosure log are accompanied by brief text with a summary and the context of the information. (cont)						A: Very brief text is provided, but does not provide a summary or context of information. This would be challenging given the current levels of resources and timeframes A: Not applicable - no documents yet listed in disclosure log because all info released is personal
10. If documents are not included in a disclosure log, the details of the decision and reasons are documented in the agency's internal records.	49%	13%	21%	18%	86%	C: No applications to date A: Each application records the decision whether or not to include on the Disclosure Log A: A decision is made as to whether to include on the disclosure log, but this is not formally documented. This will be reviewed from July 2010 A: All documents are published unless they contain information excluded eg. commercial in confidence, Information Privacy etc A: Agency has created a register to record details of the decision and reasons why documents are not included in a disclosure log A: Details are documented in the Department status report as well as on electronic and official hard copy files A: Documented in monthly report to Commissioner
11. An agency officer has a responsibility to ensure the disclosure log is maintained and up-to-date and in accordance with ministerial guidelines.	65%	6%	16%	13%	91%	C: No applications C: Do not have a disclosure log Responsible Officer: <ul style="list-style-type: none"> <li>• RTI Manager / co-ordinator (common)</li> <li>• Duty of Business Policy Coordinator</li> <li>• Subject to approval by Commissioner</li> <li>• RTI/IP Officer</li> <li>• Decision maker</li> <li>• The Secretary to the Board</li> <li>• Corporate Records</li> </ul>



Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
<b>Requirements for Disclosure Logs (cont)</b>						
12. The disclosure log does NOT contain information that:-						C: No disclosure log / not populated A: Question not understood
(a) - Is prevented by law from disclosure.	Yes 68%		No 32%		74%	
(b) - May be defamatory.	Yes 68%		No 32%		74%	
(c) -If released would breach the <i>Information Privacy Act 2009</i> .	Yes 68%		No 31%		74%	
(d) - Contains or alludes to information received in confidence from a third party or which is protected by contract.	Yes 68%		No 32%		74%	
(e) - Would otherwise cause substantial harm if disclosed.	Yes 68%		No 31%		73%	
(f) - Is the personal information of the applicant.	Yes 68%		No 32%		74%	
13. Changes to the disclosure log are formally approved. <sup>22</sup>	44%	15%	20%	22%	86%	C: No disclosures A: No changes have been made as the Agency's disclosure log has not been populated. Any changes will be made following consultation between the RTI Officer and the Corporate Communications function of the agency A: A recommendation is given by RTI and Privacy Unit Manager with final approval being given by the RTI Champion. A: By Commissioner A: Any future changes to the disclosure log will be approved by the Board A: GOC's kept "out of the loop" compared to Departments A: Disclosure log is updated by RTI IP officers. Decision makers can update the information without formal approval process A: Changes to the Disclosure Log are formally approved by the Executive Director (Operations)

<sup>22</sup> Email advice from Queensland State Archives to the Department of Premier and Cabinet, dated 27 October 2009, regarding whether or not a disclosure log should be maintained as a public record.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
<b>Requirements for Disclosure Logs (cont)</b>							
14. Changes and approvals to the disclosure log are documented. <sup>23</sup>	41%	18%	18%	23%	86%	C: Website / documents records management software provides version control C: No applications A: Document only in the form of notification to IT A: BN to Commissioner and written response A: Approver and date is currently being added to disclosure log A: Changes to the disclosure log will be recorded in the Board's Minutes and in the excel spreadsheet: RTI/IP Reform Implementation Tracking Log	
15. Documents describing changes to the disclosure log are kept as public records. <sup>23</sup>	41%	15%	18%	25%	85%	C: Website / documents records management software provides version control C: No applications A: Documents describing changes to the Disclosure Log are placed on the Disclosure Log file	

<sup>23</sup> Email advice from Queensland State Archives to the Department of Premier and Cabinet, dated 27 October 2009, regarding whether or not a disclosure log should be maintained as a public record.

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>21</sup> Comments have been selected to illustrate the diversity of views
<b>Requirements for Disclosure Logs (cont)</b>						
<p><b>Department only question. GOCs, local government, and other agencies please disregard.</b></p> <p>16. The information governance body has considered the development of the elements of the authorising and accountability environment, which may include:</p> <ul style="list-style-type: none"> <li>• policies</li> <li>• business processes (e.g. internal approval processes for release upon request or publication in a publication scheme)</li> <li>• procedures</li> <li>• roles and responsibilities (e.g. who approves release)</li> <li>• supporting tools and systems.<sup>24</sup></li> </ul> <p>For example, the meeting agenda or minutes indicate these issues have been considered.</p> <p><i>(This is a requirement for departments. This is not a requirement for GOCs, local governments or other agencies and they are not required to respond to this question.)</i></p>	100%	0%	0%	0%	85%	<p>A: A departmental information management framework has been developed and includes some of the governance elements referred to. In place, also an Internal Audit is planned for the 4th quarter of 2010/11</p> <p>A: The department is in the process of implementing the various elements of IS44. This will be linked to the broader IM Governance Framework, currently in draft, and the associated activities. The Information Management Governance Unit of the department, in conjunction with designated IM governance leaders, will be progressing IS44 as part of the unit's 2010-12 program of work. In particular: Principle 1 - Information asset custodianship readiness identify the agency's information assets (as part of the IS2 Baseline Process) ensure an information asset register is established and maintained assign role(s) for the management of the agency's information asset register Principle 2 - Information asset custodianship policy and assigned responsibility develop and implement an agency information asset custodianship policy which is consistent with government ICT directions, legislative and regulatory obligations and relevant standards assign information asset custodians for administration and management of information assets held in the care of the agency provide training for assigned information asset custodians reflecting their roles and responsibilities due to resource constraints and the scale of the activity, it is anticipated that the collection of information assets within the Department will be implemented iteratively, over several years</p>

<sup>24</sup> From QGEA Guideline *Implementing Information Governance*.

## Section D - Compliance

### D.4 Administrative Access Schemes

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
							Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>25</sup> Comments have been selected to illustrate the diversity of views
<b>Department only question. GOCs, local government, and other agencies please disregard.</b> 1. Schemes generally conform to QGEA guidelines. <i>(This is a requirement for departments. This is not a requirement for GOCs, local governments or other agencies and they are not required to respond to this question.)</i>	50%	50%	0%	0%	92%	A: The RTI Unit regularly encourages administrative access as a part of its general business. Administrative access is also promoted through the use of departmental publication scheme and disclosure log. An overarching administrative access policy is being considered by the Information governance body A: Generally the department conforms to the QGEA Guidelines. Training has been provided in relation to ex ante classifications and consideration is being given to the best way to implement that policy. Information Assets Register project is to include RTI objectives A: Administrative Access processes exist in practice, however the Administrative Access Scheme will be formally developed during 2010-11 A: Some separate schemes are still maintained by various parts of the Department due to the MoG changes. A draft Admin Release policy has been written - no protection for the decision maker if information is released administratively and not under the RTI or IP legislation. Needs to be aligned with a whole of Department approach	

<sup>25</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
<b>Administrative Access Schemes (cont)</b>						Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>25</sup> Comments have been selected to illustrate the diversity of views
2. Have any new administrative access schemes been introduced since the commencement of the RTI Act?	15%	13%	18%	54%	85%	A: Limited by nature of agency A: The Agency continues to release information though its website and publication scheme and to administratively release information in the ordinary course of business A: Since enactment of the legislation, an Administration Access Scheme has been developed and is available on the staff intranet A: Not considered necessary
3. Has any new information been introduced into existing administrative access schemes since the commencement of the RTI Act?	19%	11%	16%	55%	83%	A: Publication Scheme gives access to more information outside the legislation A: Not considered necessary A: The previous Administrative Release of Information Policy for accessing investigation information by employers and injured parties had to be rescinded because of the significant privacy issues raised upon commencement of the IP Act. New information that has been included in administrative release includes personal information of individuals under the Privacy Guide and particular selection and recruitment documents
4. Are there mechanisms in place to evaluate the viability of administrative access schemes (e.g. A review of information requests).	18%	12%	23%	47%	83%	A: Still too early to put in place A: Ways to identify what information is requested are under investigation A: Note: there is no public interaction
5. Are there indicators that the administrative access schemes are used first.	34%	9%	14%	42%	81%	C: No / low formal applications indicate it is occurring A: Regular enquiries referred from other program areas before applications made; and reduced number of RTI/IP requests suggests this is occurring A: No formal RTI or IP access requests have been received to date. Accordingly, the Agency considers that stakeholder requirements for information access are being substantially met by existing administrative access arrangements A: Especially for personal information A: No administrative access scheme A: Agency has only received one RTI Access Application since the RTI Act commenced. This would indicate the administrative access schemes are used first and are highly effective, given that the number of access requests received since the RTI Act commenced is less than has been received in previous years under the FOI regime

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>25</sup> Comments have been selected to illustrate the diversity of views
<b>Administrative Access Schemes (cont)</b>						
6. Publicly available administrative access schemes are readily accessible (e.g. Button on home page).	32%	9%	17%	42%	82%	C: Information available but not specified as part of a formally described "administrative access scheme" A: We routinely make information available, and it is available from the relevant sections of our website. There is no link called 'administrative access scheme' as one is not required A: Unclear what is required by this question. Admin access policy and all publicly available documents are available on website and are readily accessible A: Knowledge base on internet site under development - will provide easier access to all available documents
7. Multiple avenues of access are available (e.g. HTML, open formats or hard copy on request).	50%	8%	16%	26%	83%	A: Depending on the information/document A: Documents are usually supplied in format requested A: Applicant can either view releasable originals at any Agency office, have a hard copy posted to them or have an electronic copy sent to them A: Currently, documents are only available in the format in which they appear in the access scheme
8. If appropriate, web site design is user friendly and compliant with the Consistent User Experience CUE standard (e.g. well organised, reviewed quarterly and up to date, information rich).	50%	17%	18%	15%	79%	A: Web site is to be updated when funds are available A: The Agency seeks to ensure consistency with the standard where appropriate. However, the Agency is not a government department A: No administrative access scheme

**Section D - Compliance****D.5 Receipt of applications** <sup>26</sup>

**(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)**

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
							Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>27</sup> Comments have been selected to illustrate the diversity of views
1. The agency uses the approved form, as per the RTI and IP Acts, for applications for information.	78%	3%	10%	10%	95%		C: No applications received C: The form is available, but applications will be accepted in a variety of forms as long as there is substantial compliance with the requirements of the form (e.g. where applicant has literacy issues and some applicants are resistant to completing the form). A: Approved forms are used and are available from the Agency website A: Matter for applicants - substantial compliance sufficient A: However have been directed by the premiers department that this is not necessary
2. The agency has a procedure for obtaining evidence of the identity of the applicant within 10 business days e.g. A checklist of steps to be undertaken for each application.	55%	14%	19%	12%	95%		A: Only one person is responsible for whole of RTI/IP process, therefore can keep abreast of issues A: Business rules and procedure exists. A case management database is used which guides compliance A: Procedures for non staff members to access IP Act details will require 100 point id information check

<sup>26</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

<sup>27</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
						Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>27</sup> Comments have been selected to illustrate the diversity of views
<b>Receipt of Applications (cont)</b>						
2. The agency has a procedure for obtaining evidence of the identity of the applicant within 10 business days e.g. A checklist of steps to be undertaken for each application. (cont)						A: Included in RTI procedures and checklist A: Decision makers and customer service staff are aware of the ID requirements and RTI/IP staff ensure that if it is not supplied with the application, this is requested
3. The agency has procedures in place for dealing with problems with the application, including proof of identity, a change of Act under which the application has been made or seeking an extension of time for the decision. For example, RTI officers might have a standard approach to these matters.	53%	14%	20%	13%	95%	C: No applications received A: Seek advice from our solicitor or FOI department of Department locally A: Request advice from Crown Law
4. The agency has procedures in place to issue charges estimates notices and the accompanying schedule of documents under the RTI Act.	57%	14%	16%	14%	95%	C: No applications received A: CEN and document schedule template used A: Provide information at no extra cost currently A: The Agency is not a corporate entity and any money received would have to be accounted for within Department
5. The agency tracks time frames for handling charges estimates notices and schedules of documents.	61%	12%	18%	9%	94%	C: No applications received A: RTI/IP decision-makers are responsible for tracking timeframes for their allocated files A: Currently time is only tracked for document searches. RTI officer time can be tracked in software application but this has not been done to date. This will be included in the new procedure and will be implemented for 2010/11 applications
6. The agency has procedures in place for dealing with third party consultation e.g. A checklist of steps to be undertaken for each application.	51%	14%	20%	15%	95%	
7. The agency has a procedure to track timeframes for third party consultations.	52%	14%	20%	14%	95%	C: No applications received A: Responsibility of decision-maker
8. The agency has procedures in place for transferring an application to another agency e.g. A checklist of steps to be undertaken for each application.	44%	14%	24%	18%	94%	C: No applications received A: Irrelevant to this Agency A: Agency has not needed to use this provision. It would be done in accordance with the Act on a case by case basis. This will be included in the written procedures which are being developed



Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>27</sup> Comments have been selected to illustrate the diversity of views
<b>Receipt of Applications (cont)</b>						
9. The agency has checked applicable fees and charges and ensured procedures are correct.	63%	12%	14%	11%	95%	C: No applications received A: Agency has waived charges A: Fees and charges to be reviewed annually but not yet tested A: Agency maintains a list of contacts for notification re changes to fees/charges. These are also recorded in the departments Fees and Charges Register. An information sheet is also sent out to key contacts immediately to advise of any changes in fees/charges

**D.6 Deciding how to deal with applications** <sup>28</sup>

**(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)**

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
						Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>29</sup> Comments have been selected to illustrate the diversity of views
1. The agency has procedures for deciding whether or not an application is outside the scope of the Act e.g. consideration of questions of scope are file noted.	59%	15%	15%	11%	97%	A: All processes are conducted in compliance with the Act and will be incorporated into new policy and procedure documentation A: Should not the Act be sufficient?
2. The agency has procedures for ensuring applicants are notified if their application is outside the scope of the Act, within 10 business days and in the prescribed form, including reasons for the decision.	58%	15%	13%	14%	97%	
3. If access or amendment is refused, the agency has steps to ensure the decision is according to the legislation, particularly balancing public interest factors under the RTI Act and applied by IP Act.	65%	13%	11%	11%	97%	C: Not happened to date A: All processes are conducted in compliance with the Act and will be incorporated into new policy and procedure documentation. Currently utilising a public interest factors checklist on all applications
4. If access or amendment is refused, the agency has steps to ensure that the notification is in the prescribed form, and that notification is made within time and with reasons for the decision.	64%	15%	11%	11%	97%	C: Under development

<sup>28</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

<sup>29</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

**Section D - Compliance****D.7 Granting access to or amendment of documents**<sup>30</sup>

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
							Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>31</sup> Comments have been selected to illustrate the diversity of views
1. The agency has procedures to provide access to information in the requested format and within time e.g. A checklist of steps to be undertaken for each application.	56%	13%	16%	15%	97%	A: Procedures are defined by way of role definition as opposed to documented written procedures	
2. The agency routinely meets statutory timeframes.	79%	6%	10%	5%	90%	C: No applications C: Extensions are negotiated	
3. If access is not given in the requested format or it is deferred, the agency has procedures for recording the reasons for the difference in formats or the deferral, and that no additional charges are levied.	53%	13%	18%	16%	95%	A: Currently, Agency only provides hard copies of documents A: It is confirmed with every applicant what format they prefer and Agency has always provided releasable documents if the applicant's preferred format	
4. The agency has procedures for ensuring the information goes to the correct person, for example, correctly to an agent or parent.	62%	11%	16%	12%	95%	A: Documents sent registered post, or direct to the email address on the application form	

<sup>30</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

<sup>31</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>31</sup> Comments have been selected to illustrate the diversity of views
<b>1. Granting access to or amendment of documents (cont)</b>						
5. The agency has procedures for ensuring that applications under the RTI Act are considered for inclusion in the disclosure log in accordance with the RTI Act.	56%	12%	17%	16%	95%	C: No documents to disclose in disclosure log A: Some challenges with disclosure log, but this does form part of the current procedure followed by decision makers, and will be part of the written procedure A: At this time our disclosure log does not contain any requested information

## D.8 Internal and External Review <sup>32</sup>

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
						Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>33</sup> Comments have been selected to illustrate the diversity of views
<b>1. Internal Review</b>						
1.1 The agency has a procedure for tracking the timeframes for internal review applications e.g. A checklist of steps to be undertaken for each application.	50%	17%	19%	15%	94%	C: No internal reviews to date A: As principal officer is decision maker, there is no right of internal review A: No internal review available - Decision Maker is CEO A: Informal process i.e. each request for information is known and timeframes known
1.2 The agency uses the prescribed written notice for notifying the applicant of the result of the internal review, including provision of reasons.	56%	12%	19%	13%	90%	C: No internal reviews to date A: Depending on the nature of the internal review request, the format of the internal review decision notice varies. The letter outlines the process for the review, and reasons for decision
1.3 The agency has a procedure for tracking the timeframes for internal review decision making.	51%	14%	20%	15%	93%	A: Part of RTI/IP application checklist, RTI and IP Procedural Guidelines
1.4 The agency has a process in place to ensure internal review decisions are notified to the applicant within 20 business days from receipt of application.	53%	14%	20%	13%	93%	C: No internal reviews A: RTI and IP standard operating procedures. Application accompanied by formal minute to decision-maker advising of timeframe for decision

<sup>32</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

<sup>33</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>33</sup> Comments have been selected to illustrate the diversity of views						
<b>1. Internal Review (cont)</b>						
1.5 Written notices of internal review decisions are provided to the applicants.	61%	11%	16%	11%	87%	C: No internal reviews to date A: Templates used
<b>2. External Review and Compliance Notices</b>						
2.1 The agency has a procedure to seek more time from the Information Commissioner to process the application if a deemed decision is being externally reviewed.	39%	13%	23%	24%	94%	C: Situation has never occurred C: Formal procedure not warranted due to infrequency A: This occurs, but it is not a documented procedure
2.2 The agency understands that the onus is on the agency to show that the reviewable decision was justified.	79%	4%	10%	7%	95%	C: Not applicable
2.3 The agency understands and meets its obligations to assist the Information Commissioner.	77%	6%	11%	6%	94%	C: The agency understands / accepts this obligation C: Responds promptly and works with OIC A: Extensive liaison has occurred to date with OIC staff
2.4 The agency understands and accepts its obligations to take any action required by a compliance notice issued under s158 of the IP Act.	78%	4%	11%	6%	95%	C: The agency understands / accepts this obligation
2.5 The agency routinely meets set timeframes in external reviews.	66%	9%	14%	11%	79%	C: No external reviews to date C: The agency understands this obligation but has not had a decision externally reviewed A: Further resources are being investigated. Increased processes, decreased timeframes and an increase in applications received has made this extremely difficult. Approx. 50-75% of timeframes would be met

## Section D - Compliance

### D.9 Detailed requirements for adoption of privacy principles <sup>34</sup>

**(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling Right to Information / Information Privacy matters.)**

(Note: Government Owned Corporations are not required to adopt the Privacy Principles, and need not complete this section. Local governments are not required to adopt the Privacy Principles until 1 July 2010.)

Response options:	Unless otherwise indicated, use this response option when:
Yes	A system, policy, strategy or process has been implemented in full across the agency.
In progress	Management has decided on a particular course of action and implementation has commenced or is complete in part but not all of the agency.
Identified	Management has identified this as an issue, but has not yet commenced to address the issue.
No	There are no strategies in place, and no immediate plans to pursue them.

Criteria question	Assessment					Answer Rate	Optional Comments
	Y	IP	Id	N			
							Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>35</sup> Comments have been selected to illustrate the diversity of views
<b>1. General</b>							
1.1 Personal information handling practices have not raised concerns or resulted in the issue of any compliance notices.	70%	7%	8%	15%	94%		C: No compliance notices
1.2 Collection of information is appropriate.	74%	15%	7%	3%	95%		A: Personal Information collection practices recently audited and improvements being implemented
1.3 Security safeguards are appropriate.	69%	20%	7%	3%	95%		C: Under review / audit A: Information Security Policy in place and access to personal information is restricted through network controls. This will be further enhanced with electronic documents records management software implementation

<sup>34</sup> From Schedule 3 of the *Information Privacy Act 2009*.

<sup>35</sup> These comments represent the views of individual agencies and may not reflect whole of Government attitudes. Identifiable details have been removed and comments may be shortened or only an extract may be quoted.

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>35</sup> Comments have been selected to illustrate the diversity of views						
<b>1. General (cont)</b>						
1.3 Security safeguards are appropriate. (cont)						A: Security in place for Agency systems and buildings. However, this is being reviewed as part of the Privacy Action Plan to ensure compliance with IPPs A: Expect further improvements may be identified with further review
1.4 Processes are in place to ensure personal information is as accurate as possible.	70%	19%	7%	4%	95%	A: HR personal information is provided by the individual and assumed to be correct, as is personal information supplied by contractors. Personal information is not generally obtained from third parties
1.5 The agency is open about its processes for collecting, using and disclosing personal information.	76%	14%	7%	3%	95%	C: Privacy Policy under review A: Operates under regulation
1.6 The agency use and disclosure of information is appropriate.	77%	14%	7%	2%	95%	A: Currently refining processes in line with IP Act
1.7 Privacy breaches and complaints are managed effectively.	77%	7%	12%	4%	89%	C: None to date
<b>2. Collection</b>						
2.1 The agency identifies why it is collecting personal information.	72%	16%	9%	3%	95%	A: Collection notices are being added for forms, but review of procedures across various departments is needed to identify any areas where collection notices are not being issued. This is a particular issue when information is collected over the phone
2.2 The agency provides a collection notice <sup>36</sup> to individuals from whom personal information is being collected.	55%	21%	14%	10%	94%	A: Forms are being reviewed to ensure that IPP 2 notices are adequate
2.3 The agency has determined how much and the kind of personal information it needs to collect.	68%	17%	12%	3%	95%	A: We do not consider this type of activity to be one with a finite and static outcome. Rather, we consider ongoing evaluation of our collection needs to be critical for identifying gaps in our collection practices A: Agency Privacy Management policy indicates that only necessary information is to be collected
2.4 The amount of personal information collected is no more than is necessary and relevant for the purpose for which it is required.	74%	16%	9%	1%	95%	A: On the whole, only necessary personal information is collected, but further staff awareness raising is needed to ensure compliance

<sup>36</sup> Note that the term 'collection notice' does not appear in the *Information Privacy Act 2009*. It is a generic term encompassing the obligation to make individuals generally aware of the facts listed in IPP 2.



Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>35</sup> Comments have been selected to illustrate the diversity of views
<b>2. Collection (cont)</b>						
2.5 The agency collects personal information lawfully and fairly.	82%	11%	6%	1%	95%	
2.6 The agency has taken steps to ensure the information collected is accurate.	72%	11%	10%	6%	95%	A: HR personal information is provided by the individual and assumed to be correct as is personal information supplied by contractors. Personal information is not generally obtained from third parties A: Customer service procedures in place to ensure accurate information collected and maintained
<b>3. Security</b>						
3.1 Personal information held by the agency is protected against unauthorised access, use, modification or disclosure.	80%	11%	7%	1%	95%	C: Under review C: Security measures are in place
3.2 Personal information held by the agency is protected against loss or misuse.	78%	13%	7%	1%	95%	A: Currently undertaking policy development around storage of information on portable storage equipment
3.3 The agency has adopted physical, technical and administrative safeguards to protect personal information.	75%	16%	7%	2%	95%	A: Secure physical perimeter and security cards; password protection on computers; 2-tier security for remote access; limited access to electronic records based on "need to know"; information security guidelines and training etc A: Improvement can and will be made
3.4 Security safeguards are appropriate given the sensitivity of the information.	77%	11%	10%	2%	95%	
3.5 Processes are in place to record access to electronic records and datasets containing personal information.	67%	14%	14%	5%	95%	C: Electronic audit trails in software
3.6 Processes are in place to ensure that disposal of personal information does not allow unauthorised access.	74%	13%	9%	3%	95%	A: Secure destruction bins and shredders are provided

Criteria question	Assessment					Optional Comments
	Y	IP	Id	N	Answer Rate	Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>35</sup> Comments have been selected to illustrate the diversity of views
<b>4. Accuracy</b>						
4.1 Processes are in place for people to amend their personal information if it is incorrect.	78%	9%	9%	3%	95%	A: Formal applications to amend personal information would be dealt with by RTI/IP officers. Routine requests such as changes of address are dealt with by the appropriate staff in accordance with necessary confirmation of identification A: In addition to the formal mechanism provided under the IP Act, the Department also supports administrative amendment of personal information for factual errors, such as incorrect contact details, change of name, etc. Case-by-case assessment is undertaken regarding less straightforward amendment requests - e.g. changes to personal information recorded in a complaint investigation. Often, referral to the process under the IP Act is the most appropriate option, particularly to ensure the individual a right of review
4.2 Processes are in place to record when and where key personal information was collected, including when it was updated.	61%	16%	16%	8%	95%	A: Each area of the Agency that collects and updates personal information has a record of when the information was collected and/or when it was updated A: No systemic process in place due to the wide variety of personal information that is collected and the purposes for which that information is collected - this is handled at a local level as appropriate A: A definition of 'key' personal information was not provided. There is no requirement in the PPs or elsewhere in the IP Act regarding processes for recording date and place of collection and/or date of amendment
<b>5. Openness</b>						
5.1 The agency makes information available about its personal information policies and procedures.	62%	18%	14%	6%	94%	C: Privacy Plan or website
5.2 The agency tells people why it collects, how it uses and when it discloses their personal information at the time of collection.	67%	17%	12%	5%	94%	A: Privacy notices - oral (including recorded phone messages), forms, brochures, signs
5.3 There is a person that members of the public can contact about privacy issues.	86%	4%	6%	3%	94%	C: RTI / Privacy unit officer
5.4 The agency tells people how they can access and amend their personal information.	73%	11%	11%	5%	95%	C: On website / Privacy Plan
5.5 The agency provides details to the public of the categories of personal information it holds.	51%	10%	21%	18%	94%	C: In Privacy Plan / publication scheme C: The Agency does hold personal information for staff only A: Not considered necessary for the personal information held

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>35</sup> Comments have been selected to illustrate the diversity of views
<b>6. Use and disclosure</b>						
6.1 The agency uses information only for the purpose for which it was collected, unless an exception in IPP10 or NPP2 applies.	80%	11%	7%	2%	93%	C: Not applicable A: Department employees are provided with relevant resources and training to ensure awareness of obligations; however we do not have the ability to test for full compliance in all day-to-day collection practices
6.2 The agency discloses information only where the person was advised when it was collected unless an exception in IPP11 or NPP2 applies.	74%	12%	9%	4%	91%	C: Not applicable A: Further training regarding disclosure of personal information to be provided to staff. Will be addressed in future policy and procedures A: In the process of ascertaining the types of personal information collected by agency A: A comprehensive privacy appraisal indicates that disclosure processes generally comply with IPP 11
6.3 The agency has procedures in place to ensure that use or disclosure of personal information under IPP10, IPP11 or NPP2 is noted on the personal information where required.	56%	15%	20%	9%	93%	C: Not applicable A: The use of notations is inconsistent across business units. Policy and procedures to be implemented to ensure that notations to be included A: The Department has audit trails over personal information contained within its information management systems. System captures the reason for use or access to information however compliance by system users is problematic. Department is addressing the compliance issue through training and audit A: There are a number of niche procedures in place, which are activated depending on the nature of the disclosure. For example, disclosure of personal information to law enforcement requires notation of the disclosure on the person's record. Similarly, disclosure of an employee's salary information to their banking institution requires explicit employee consent and notation of the disclosure on the employee's record
<b>7. Breach and complaints</b>						
7.1 There is a documented process for managing privacy breaches and privacy complaints.	44%	21%	26%	10%	94%	C: Managed as per general complaints handling policy A: None received and considering general nature of information, none expected
7.2 This process is documented and available to agency officers.	44%	22%	24%	10%	92%	A: Department provides this information in a variety of formats, including brochures for staff, intranet privacy pages, privacy training and face-to-face or telephone interactions
7.3 This process, or a version of it, is available to the public.	38%	23%	26%	13%	92%	C: Is or to be included in Privacy Plan A: N/A - No interaction with the public

Criteria question	Assessment				Answer Rate	Optional Comments
	Y	IP	Id	N		
						Optional Comments (for example, implementation plans) Comment types: C – common comment theme representing a general trend; A – comment by a specific agency representing their individual assessment. <sup>35</sup> Comments have been selected to illustrate the diversity of views
<b>7. Breach and complaints (cont)</b>						
7.4 Privacy complaint handling is timely and the complainants are generally satisfied with the response given.	57%	13%	18%	11%	79%	C: No complaints received to date A: This question implies that the concepts of timeliness and complainant satisfaction with the outcome of a complaint must be assessed together. In our experience, despite timeliness a complainant may still be unhappy (e.g. if the complaint was found to be unsubstantiated). Similarly, in our experience, despite complainant satisfaction with the outcome, timeliness may still be a key operational issue (e.g. where it takes a protracted amount of time to determine that a complaint is substantiated and redress owed). Under the key policies described in 7.1, there is a requirement for all complaint handling to be timely. The current review of privacy complaints management in the context of the Non-consumer complaints policy is expected to assist the Agency in generating best outcomes regarding timeliness and complainant satisfaction
7.5 There is a clear process for complaint handlers to advise agency officers when practices that need changing are identified.	47%	19%	24%	10%	92%	C: No complaints received to date A: All relevant Department policies that may govern the handling of a privacy complaint require identification and mitigation of operational and systemic issues brought to light because of a complaint. The current review of privacy complaints management in the context of the Non-Consumer complaints policy is expected to assist the Department in generating best outcomes regarding changing of deficient practices
7.6 There is a clear process to action identified changes.	43%	18%	28%	10%	91%	C: To be developed
7.7 Identified reforms to agency processes have been implemented.	37%	25%	23%	15%	84%	C: No breaches or complaints to date
7.8 There are no recurrences of privacy breaches.	58%	10%	15%	17%	81%	C: No breaches to date A: Agency rarely experiences privacy breaches, however this may be because the actual breach events are unreported or otherwise unknown. This gap area is being assessed and will form an operational target for the 2010/11 year A: There have been some recurrences of breaches by different officers. Education strategies are being developed