

2013 Electronic audit - List of questions by topic

The results of the analysis of the questions in the electronic audit have been reported in topics. Topics are groups of related questions. Topics do not match the arrangement of questions in electronic audit tool. The number of questions in each topic varies.

Table 1 Topic Summary

Topic	Number of Questions
Administrative access	8
Adopting a push model to maximise disclosure	3
Application handling	19
Community consultation	4
Complaint handling	5
Continuous improvement	5
Disclosure log	21
Engagement with applicants	5
External review	4
Governance	11
Internal review	5
Performance monitoring	10
Policy development and oversight	6
Privacy	36
Publication scheme	18
Record keeping	7
Roles, responsibilities, delegations and authorisation	13
Staffing resources	1
Training and resources	10
Total questions considered by topic:	191 ¹
Questions not included in reporting on topics	8
Total questions in electronic audit:	199

¹ 187 questions considered in topic reporting as 5 questions under disclosure log have been reported as a single question in the topic.

Question Number	Criteria Question
Administrative Access	
7	Does this agency have any administrative access schemes?
122	Have any new administrative access schemes been introduced since the commencement of the RTI Act?
132	Has any new information been introduced into existing administrative access schemes since the commencement of the RTI Act?
124	Are there mechanisms in place to evaluate the viability of administrative access schemes (e.g. a review of information requests)?
125	Are there indicators that the administrative access schemes are used first?
126	Publicly available administrative access schemes are readily accessible (e.g. button on home page).
127	Multiple avenues of access (e.g. HTML, open formats or hard copy on request) are available from information obtained through an administrative access scheme.
128	Website 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).
Adopting a push model to maximise disclosure	
63	More information has been placed in the public domain over the last two years (e.g. additional data sets are now available to the public).
64	More information is available via the publication scheme than was previously available under the Statement of Affairs.
65	Department only question. Using the Information Asset Register as a guide, the agency has achieved maximum disclosure of publishable information assets.
Application handling	
77	Decisions are made promptly and parties informed as soon as possible.
78	Level of satisfaction by the parties with the communication about time issues.
130	The agency uses the approved form, as per the RTI and IP Acts, for applications for information.
131	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).
132	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, an application which does not provide all the information required by the legislation, or seeking an extension of time for the decision. For example, RTI officers might have a standard approach to these matters.
133	The agency has procedures in place to issue charges estimates notices and the accompanying schedule of documents under the RTI Act.
134	The agency tracks time frames for handling charges estimates notices and schedules of documents.
135	The agency has procedures in place for dealing with third party consultation (e.g. a checklist of steps to be undertaken for each application).

Question Number	Criteria Question
Application handling (cont)	
136	The agency has a procedure to track timeframes for third party consultations.
137	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).
138	The agency has checked applicable fees and charges and ensured procedures are correct.
139	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).
140	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.
141	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.
142	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.
143	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).
144	The agency routinely meets statutory timeframes.
145	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.
146	The agency has procedures for ensuring the information goes to the correct person, for example, correctly to an agent or parent.
Community consultation	
11	Agency policy frameworks describe how the community is to be included in development of policies affecting external operations.
12	The agency has a mechanism for identifying the information that its industry stakeholders would find useful, for example, a consultation strategy.
13	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.
23	The agency has an external communications strategy to ensure consumers and stakeholders are aware of their RTI rights.
Complaint handling	
52	Complaint handling procedures capture opportunities for improvement in RTI/IP implementation of reforms.
94	A complaints procedure is in place to enable people to make complaints when information is not available from the publication scheme.
188	There is a documented process for managing general complaints.
194	Privacy complaint handling is timely.

Question Number	Criteria Question
Complaint handling (cont)	
195	Complainants are generally satisfied with the response given.
Continuous improvement	
53	Opportunities for improvement in RTI/IP implementation of reforms are recorded and actions on them are tracked.
54	Opportunities for improvement are actioned and result in improvements to systems for the release of information or information privacy.
191	There is a clear process for privacy complaint handlers to advise agency officers when practices that need changing are identified.
192	There is a clear process for agency officers to action changes to practices arising from complaints.
197	Approved reforms to agency processes identified by complaint handlers have been implemented.
Disclosure log	
5	Does this agency have a disclosure log?
6	Are there any documents included on the disclosure log?
100	The disclosure log is a readily accessible part of the agency's website (i.e. within three mouse clicks from the home page).
101	Website design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).
102	Documents released under the RTI Act are listed in the disclosure log unless there is a clear reason not to do so.
103	The agency has a process in place to ensure documents are listed on the agency's disclosure log as soon as practicable after the applicant accesses the document.
104	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.
105	If documents are not included in a disclosure log, the details of the decision and reasons are documented in the agency's internal records.
106	An agency officer has a responsibility to ensure the disclosure log is maintained and up to date and in accordance with ministerial guidelines.
110	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.
111	Documents published to the disclosure log are accompanied by brief text with a summary and the context of the information.

Question Number	Criteria Question
Disclosure log (cont)	
112 to 116	<p>The agency has a system for checking that documents or information released on the disclosure log –</p> <ul style="list-style-type: none"> - are not prevented by law from publication. - are not defamatory. - if included in the disclosure log would not unreasonably invade an individual's privacy. - are not or do not allow to be ascertained, information of a confidential nature that was communicated in confidence by a person other than the agency. - would not otherwise cause substantial harm to an entity if disclosed. <p>Note: Agencies supplied identical responses for all these questions and thus they have been reported as a single question within this topic.</p>
118	<p>Department only question.</p> <p>The department has a system for including in the disclosure log the details of the information sought by the applicant and the date of the application as soon as practicable after each valid application is made, except where specific information is required to be deleted.</p>
119 to 121	<p>Department only questions.</p> <p>The department has a system for including the following in the disclosure log as soon as practicable after the applicant has accessed the document, except where specific information is required to be deleted –</p> <ul style="list-style-type: none"> - a copy of any document that does not include personal information of the applicant that the department released in relation to the application. - the applicant's name. - the name of any entity benefiting from or using the document.
147	<p>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.</p>
Engagement with applicants	
72	<p>Applicants are assisted through negotiation, either prior to making an application or once an application is made, to clarify and particularise their requests.</p>
73	<p>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.</p>
74	<p>Open communication exists between the agency and the parties.</p>
75	<p>The agency is responsive and open to requests for information.</p>
76	<p>Level of satisfaction by the parties with the communication in general.</p>
External review	
153	<p>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.</p>
154	<p>The agency understands that the onus is on the agency to show that the reviewable decision was justified.</p>
155	<p>The agency understands and meets its obligations to assist the Information Commissioner.</p>

Question Number	Criteria Question
External review (cont)	
157	The agency routinely meets set timeframes in external reviews.
Governance	
10	The agency has a culture open to the release of information.
17	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for development (e.g. planning for implementation).
18	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).
19	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for review (e.g. mechanisms for reporting on achievements).
20	Department only question. An SES level Information Champion is appointed, and active in the role.
21	Department only question. A formal information governance body is established (as per QGEA guidelines).
22	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.
30	Department only question. The agency maintains an Information Asset Register either independently or as part of an existing register (as required by Information Standard 44).
98	Department only question. The information governance body has considered the development of the elements of the authorising and accountability environment for publication schemes.
117	Department only question. The information governance body has considered the development of the elements of the authorising and accountability environment for disclosure logs.
129	Department only question. Schemes generally conform to QGEA guidelines.
Internal Review	
148	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).
149	The agency uses the prescribed written notice for notifying the applicant of the result of the internal review, including provision of reasons.
150	The agency has a procedure for tracking the timeframes for internal review decision making.
151	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.
152	Written notices of internal review decisions are provided to the applicants.

Question Number	Criteria Question
Performance monitoring	
15	The agency tracks the type of person seeking information under the RTI Act or IP Act (e.g. individuals, companies, journalists, lobby / community groups, politicians, legal representatives, agents, prisoners or government agencies).
16	Over time, your agency has noticed an increase in diversity in the type of person seeking information.
55	The agency has internal systems and procedures for reviewing the effectiveness of the RTI and IP functions.
56	Review and reporting mechanisms on the effectiveness of the RTI and IP functions are embedded at all levels of the organisation.
57	Performance measurement for the RTI implementation across the agency is in place.
58	Performance measurement for the IP implementation across the agency is in place.
59	Performance measurement for the RTI implementation across the agency is used.
60	Performance measurement for the RTI implementation across the agency is useful.
61	Performance measurement for the IP implementation across the agency is used.
62	Performance measurement for the IP implementation across the agency is useful.
Policy development and oversight	
8	Does this agency have policies or procedures to give effect to the RTI and IP legislation, for example, as a standalone policy or as part of an information management framework?
9	Does this agency have documented RTI and/or IP policies and procedures?
14	When developing RTI and IP policy, the agency conducts appropriate internal consultation, for example, with decision makers.
24	You said earlier your agency has policies or procedures to give effect to the RTI and IP legislation, for example, as a standalone policy or as part of an information management framework. These policies are fully implemented.
26	RTI and IP policies are complete and easy to understand.
27	RTI and IP policies are reviewed on a regular basis.
Privacy	
28	Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public.
29	The agency has a system to ensure it meets its obligations when entering into contracts with suppliers who provide services involving personal information.
69	The agency has procedures in place for transfer of personal information outside Australia only in accordance with s33 of the IP Act.
156	The agency understands and accepts its obligations to take any action required by a compliance notice issued under s158 of the IP Act.
158	Personal information handling practices have not raised concerns or resulted in the issue of any compliance notices.

Question Number	Criteria Question
Privacy (cont)	
159	Collection of personal information is appropriate.
160	Security safeguards for personal information are appropriate.
161	Processes are in place to ensure personal information held by your agency is as accurate as possible (e.g. clients can update their details via the agency's website, by telephone or in person, your agency audits information for completeness and accuracy, where possible data is corrected automatically, clients are contacted when issues are found, duplicate and redundant records are removed or archived).
162	The agency is open about its processes for collecting, using and disclosing personal information.
163	The agency use and disclosure of personal information is appropriate.
164	Privacy breaches and complaints are managed effectively.
165	The agency identifies why it is collecting personal information.
166	The agency provides a collection notice to individuals from whom personal information is being collected.
167	The agency has determined how much and the kind of personal information it needs to collect.
168	The amount of personal information collected is no more than is necessary and relevant for the purpose for which it is required.
169	The agency collects personal information lawfully and fairly.
170	The agency has taken steps to ensure the information collected is accurate (e.g. collection forms are well designed and approved, questions are clear, staff are trained, procedures are consistent across the agency, help is available for clients that need it, source documentation is consulted where appropriate).
171	Personal information held by the agency is protected against unauthorised access, use, modification or disclosure.
172	Personal information held by the agency is protected against loss or misuse.
173	The agency has adopted physical, technical and administrative safeguards to protect personal information.
174	Security safeguards are appropriate given the sensitivity of the information.
175	Processes are in place to record access to electronic records and datasets containing personal information.
176	Processes are in place to ensure that disposal of personal information does not allow unauthorised access.
177	Processes are in place for people to amend their personal information if it is incorrect.
178	Processes are in place to record when and where key personal information was collected, including when it was updated.
179	The agency makes information available about its personal information policies and procedures.
180	The agency tells people why it collects, how it uses and when it discloses their personal information at the time of collection.

Question Number	Criteria Question
Privacy (cont)	
181	There is a person that members of the public can contact about privacy issues.
182	The agency tells people how they can access and amend their personal information.
183	The agency provides details to the public of the categories of personal information it holds.
184	The agency uses information only for the purpose for which it was collected, unless an exception in IPP10 or NPP2 applies.
185	The agency discloses information only where the person was advised when it was collected unless an exception in IPP11 or NPP2 applies.
186	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.
187	There is a documented process specifically for managing privacy breaches and privacy complaints.
198	There have been privacy breaches in the last two years.
199	The same type of breach has occurred two or more times in the last two years.
Publication scheme	
4	Does this agency have a publication scheme?
79	Seven classes of information are published (About us, Our services, Our finances, Our priorities, Our decisions, Our policies, Our lists).
80	Information in the publication scheme is significant (key initiative and policy documents).
81	Information in the publication scheme is appropriate (having regard to legislation, privacy principles and security issues).
82	Information in the publication scheme is accurate.
83	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 <i>Right to Information Act 2009</i>)).
84	Schemes are readily accessible (e.g. a link on home page).
85	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)
86	All documents referred to in the publication scheme are accessible centrally from the publication scheme.
87	Documents linked to the publication scheme are no more than 3 mouse clicks away.
88	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.
89	The publication scheme sets out the terms on which information is available including any applicable fees/charges.

Question Number	Criteria Question
Publication scheme (cont)	
90	Charges for administrative release of documents are minimised.
91	Alternative formats of documents are available.
92	Website design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).
93	An agency officer has a responsibility to ensure the publication scheme is maintained and up to date.
96	Changes and approvals to the publication scheme are documented.
99	Quality of scheme from the agency's perspective.
Record keeping	
66	Overall sufficiency of search (e.g. the number of times sufficiency of search is an issue in internal or external review matters).
67	Additional documents located during external review.
70	Record keeping systems allow efficient location of records relevant to RTI and IP requests.
71	Accurate records exist to document the processing of requests.
97	Documents describing changes to the publication scheme are kept as public records.
108	Documents describing changes to the publication scheme are kept as public records.
109	Changes to the disclosure log are documented and kept as public records.
Roles, responsibilities, delegations and authorisation	
34	Department only question. RTI and IP functions are independent of the Minister's office.
35	RTI and IP functions are independent of media and communications.
36	RTI and IP functions report as closely as possible to the DG / CEO.
37	RTI and IP functions report as closely as possible to the DG / CEO.
38	There is a clear authorisation process for agency staff to assess and approve information for public release.
39	The Principal Officer has appropriately delegated authority to deal with RTI and IP applications.
40	Roles and responsibilities of the Principal Officer or the Principal Officer's delegates are clearly defined.
41	There is a person who has responsibility for maintaining a system of recording, tracking and monitoring applications and reviews.
42	Internal reviews are conducted by an officer different to the officer who made the reviewable decision.
43	The officer conducting the internal review is more senior to the officer who made the reviewable decision.

Question Number	Criteria Question
Roles, responsibilities, delegations and authorisation (cont)	
68	Level of satisfaction by RTI Unit or decision maker with documentation received from other staff.
95	Changes to the publication scheme are formally approved.
107	Changes to the disclosure log are formally approved.
Staffing resources	
33	Resourcing to IP and RTI functions is appropriate.
Training and resources	
25	The agency's policies or procedures that give effect to the RTI and IP legislation, for example, as a standalone policy or as part of an information management framework, are readily available to all staff (e.g. easy to find on the agency's intranet).
44	The agency can meet requirements to report on RTI and IP statistics.
45	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.)
47	Agency staff are trained as to their level of authority to release information administratively.
48	The agency has procedures in place to ensure new/existing staff are given appropriate training/awareness raising in relation to RTI handling and IP obligations.
49	RTI/IP is mentioned in induction.
50	Training for RTI/IP staff with respect to the RTI/IP function is effective.
51	General staff training in RTI/IP is effective.
189	This process is documented and available to agency officers. (The process referred to in this and the next question relates to the agency process for managing privacy breaches and privacy complaints or if none general complaints)
190	This process, or a version of it, is available to the public.
Not included in topic analysis	
1	Has this agency received any RTI or IP applications since 1 July 2010?
2	Has this agency received any RTI or IP Internal Review applications since 1 July 2010?
3	Has this agency received notice that any RTI or IP External Review applications have been made regarding a decision of your agency?
31	The total number of staff performing RTI/IP functions in your agency, including: all staff in a dedicated RTI/IP unit, and all other staff performing RTI/IP functions. <ul style="list-style-type: none"> - Total number of staff - Average number of staff in agency performing functions -

Question Number	Criteria Question
Not included in topic analysis (cont)	
32	<p>Thinking only of the staff included in your answer to the previous question, please estimate the percentage of the total FTE time which is spent on RTI, IP and any other non-RTI/IP functions (Percentages must add to 100. If no time is spent on any function please enter "0".)</p> <ul style="list-style-type: none"> - RTI - IP - Other functions
46	Number of agency staff who attended RTI or IP training, or any training containing information about RTI or IP during the last 12 months.
193	In the last two years your agency has received privacy complaints.
196	In the last two years privacy complaint handlers have advised agency officers that practices need to change.