

2013 Right to Information and Information Privacy Agency Electronic Audit

This document contains the percentage of responding agencies which provided each response to each of the questions in the 2013 Right to Information and Information Privacy Agency Electronic Audit.

1. Gateway questions

	Criteria Question	Yes	No
1.	Has this agency received any RTI or IP applications since 1 July 2010?	72%	28%
2.	Has this agency received any RTI or IP Internal Review applications since 1 July 2010?	39%	61%
3.	Has this agency received notice that any RTI or IP External Review applications have been made regarding a decision of your agency?	47%	53%
4.	Does this agency have a publication scheme?	75%	25%
5.	Does this agency have a disclosure log?	68%	32%
6.	Are there any documents included on the disclosure log? (If you answered "No" in the previous question please select "No" here)	32%	68%
7.	Does this agency have any administrative access schemes?	53%	47%
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?	69%	31%
9.	Does this agency have documented RTI and/or IP policies and procedures? (If you selected "No" in the previous question please select "No" here)	62%	38%

Right to Information and Information Privacy Agency Electronic Audit

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 (IP)	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 (Id)	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	Notes
1.	Open government					
1.1	The agency has a culture open to the release of information.	87%	8%	4%	1%	
1.2	Agency policy frameworks describe how the community is to be included in development of policies affecting external operations.	52%	12%	17%	19%	
1.3	The agency has a mechanism for identifying the information that its industry stakeholders would find useful, for example, a consultation strategy.	64%	8%	11%	17%	
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.	61%	12%	11%	16%	
1.5	When developing RTI and IP policy, the agency conducts appropriate internal consultation, for example, with decision makers.	79%	8%	9%	4%	
1.6	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).	60%	3%	6%	31%	
1.7	Over time, your agency has noticed an increase in diversity in the type of person seeking information.	28%	–		72%	Asked again even if response in 2010 AEA was 'Yes'.
2.	The agency actively manages its responsibilities through good governance					
2.1	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for development (e.g. planning for implementation).	67%	12%	13%	7%	

Right to Information and Information Privacy Agency Electronic Audit

	Criteria Question	Yes	IP	Id	No	Notes
2.	The agency actively manages its responsibilities through good governance (cont)					
2.2	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).	70%	11%	12%	6%	
2.3	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for review (e.g. mechanisms for reporting on achievements).	61%	10%	18%	11%	
2.4	Department only question. An SES level Information Champion is appointed, and active in the role. <i>(This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question.)</i>	76%	5%	14%	5%	
2.5	Department only question. A formal information governance body is established (as per QGEA guidelines). <i>(This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question.)</i>	90%	5%	5%	0%	
3.	The agency actively manages information					
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.	78%	6%	10%	6%	
3.2	The agency has an external communications strategy to ensure consumers and stakeholders are aware of their RTI rights.	71%	5%	12%	12%	
(Note: Agencies that do not have policies or procedures to give effect to the RTI and IP legislation (i.e. 'No' to Gateway question 8), or do have policies or procedures but have not documented them (i.e. 'No' to Gateway question 9) are skipped over Questions 3.3 to 3.7.)						
3.3	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.	75%	24%	1%	0%	
3.4	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).	82%	16%	2%	1%	
3.5	RTI and IP policies are complete and easy to understand.	78%	22%	1%	0%	
3.6	RTI and IP policies are reviewed on a regular basis.	84%	8%	7%	2%	
3.7	Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public.	95%	3%	1%	2%	

Right to Information and Information Privacy Agency Electronic Audit

	Criteria Question	Yes	IP	Id	No	Notes
3.	The agency actively manages information (cont)					
3.8	The agency has a system to ensure it meets its obligations when entering into contracts with suppliers who provide services involving personal information.	79%	7%	9%	5%	
3.9	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). <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>	86%	0%	10%	5%	
4.	Organisational structure and resourcing to the RTI and IP functions is appropriate					
		None	1	2 or 3	4 or more	
4.1	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	7%	30%	41%	21%	Asked again regardless of response in 2010 AEA.
	- Average number of staff in agency performing RTI/IP functions.	2.9				
4.2	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. <i>(Percentages must add to 100. If no time is spent on any function please enter "0".)</i>	None	10% or less	Over 10% to 50%	Over 50%	Asked again regardless of response in 2010 AEA.
	- RTI	11%	45%	25%	19%	
	- IP	19%	52%	25%	3%	
	- Other functions	17%	7%	13%	63%	
		RTI		IP		Other
	- Average % spent (of time)	26%		12%		62%
4.3	Resourcing to IP and RTI functions is appropriate.	69%	12%	11%	9%	Asked again even if response in 2010 AEA was 'Yes'.
4.4	Department only question. 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%	
4.5	RTI and IP functions are independent of media and communications.	94%	0%	3%	3%	
4.6	RTI and IP functions report as closely as possible to the DG / CEO.	88%	2%	4%	6%	
4.7	Agency administrative delegations have been updated to RTI handling and IP handling.	78%	6%	12%	4%	

Right to Information and Information Privacy Agency Electronic Audit

	Criteria Question	Yes	IP	Id	No	Notes
4.	Organisational structure and resourcing to the RTI and IP functions is appropriate					
4.8	There is a clear authorisation process for agency staff to assess and approve information for public release.	80%	6%	10%	3%	
4.9	The Principal Officer has appropriately delegated authority to deal with RTI and IP applications.	89%	3%	6%	2%	
4.10	Roles and responsibilities of the Principal Officer or the Principal Officer's delegates are clearly defined.	80%	8%	10%	2%	
4.11	There is a person who has responsibility for maintaining a system of recording, tracking and monitoring applications and reviews.	90%	2%	5%	3%	
4.12	Internal reviews are conducted by an officer different to the officer who made the reviewable decision.	82%	1%	6%	10%	
4.13	The officer conducting the internal review is not less senior to the officer who made the reviewable decision.	82%	1%	6%	11%	
4.14	The agency can meet requirements to report on RTI and IP statistics.	94%	1%	4%	2%	
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.)	61%	3%	5%	31%	
5.	Training					
		0	1	2	3	
5.1	Number of agency staff who attended RTI or IP training, or any training containing information about RTI or IP during the last 12 months.	37%	18%	10%	3%	Asked again regardless of response in 2010 AEA.
		4-10	11-29	30-49	50-99	
		8%	7%	3%	4%	
		100 or more				
		8%				
5.2	Agency staff are trained as to their level of authority to release information administratively.	63%	13%	13%	11%	
5.3	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.	57%	12%	21%	11%	
5.4	RTI/IP is mentioned in induction.	60%	10%	14%	16%	
5.5	Training for RTI/IP staff with respect to the RTI/IP function is effective.	69%	6%	14%	10%	
5.6	General staff training in RTI/IP is effective.	55%	17%	18%	10%	

Right to Information and Information Privacy Agency Electronic Audit

Section B - Accountability requirements ¹

(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 (IP)	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 (Id)	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	Notes
1	Complaint handling procedures capture opportunities for improvement in RTI/IP implementation of reforms.	51%	16%	19%	14%	Asked again even if response in 2010 AEA was 'Yes'.
2	Opportunities for improvement in RTI/IP implementation of reforms are recorded and actions on them are tracked.	43%	13%	21%	22%	
3	Opportunities for improvement are actioned and result in improvements to systems for the release of information or information privacy.	50%	10%	24%	17%	
4	The agency has internal systems and procedures for reviewing the effectiveness of the RTI and IP functions.	48%	9%	24%	19%	
5	Review and reporting mechanisms on the effectiveness of the RTI and IP functions are embedded at all levels of the organisation.	39%	9%	20%	33%	
6	Performance measurement for the RTI implementation across the agency is in place. <i>(If 'No' or 'Identified' skip B8 and B9)</i>	33%	14%	20%	33%	Asked again even if response in 2010 AEA was 'Yes'.
7	Performance measurement for the IP implementation across the agency is in place <i>(If 'No' or 'Identified' skip B10 and B11)</i>	32%	14%	19%	34%	Asked again even if response in 2010 AEA was 'Yes'.
8	Performance measurement for the RTI implementation across the agency is used.	67%	24%	3%	6%	
9	Performance measurement for the RTI implementation across the agency is useful	66%	22%	3%	8%	
10	Performance measurement for the IP implementation across the agency is used	63%	26%	6%	5%	
11	Performance measurement for the IP implementation across the agency is useful	62%	24%	5%	9%	

¹ Sourced from OIC survey of agencies and the recommendations of the Solomon report.

Right to Information and Information Privacy Agency Electronic Audit

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. 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).	63%	9%	7%	21%	Asked again even if response in 2010 AEA was 'Yes'.
2. More information is available via the publication scheme than was previously available under the Statement of Affairs.	70%	5%	5%	20%	
<p>Department only question.</p> <p>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>	24%	67%	5%	5%	

Right to Information and Information Privacy Agency Electronic Audit

Section D - Compliance

D.1 Detailed questions about active management of agency responsibilities²

(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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. Active management of responsibilities – managing the process					
1.1 Searches					
	Often	Some-times	Rarely		
1. Overall sufficiency of search (e.g. the number of times sufficiency of search is an issue in internal or external review matters). (Note: Sufficiency of search is whether or not the agency has taken all reasonable steps to locate all documents that fall within the terms of the access application.)	9%	17%	75%		Asked again regardless of response in 2010 AEA.
2. Additional documents located during external review.	2%	11%	87%		Asked again regardless of response in 2010 AEA.
	Low	Medium	High		
3. Level of satisfaction by RTI Unit or decision maker with documentation received from other staff.	5%	35%	60%		Asked again regardless of response in 2010 AEA.
1.2 Transfer of information					
	Yes	IP	Id	No	
1. The agency has procedures in place for transfer of personal information outside Australia only in accordance with s33 of the IP Act.	33%	5%	22%	40%	
1.3 Record Keeping					
1. Record keeping systems allow efficient location of records relevant to RTI and IP requests.	85%	7%	7%	1%	
2. Accurate records exist to document the processing of requests.	89%	3%	6%	1%	

²Sourced 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.

Right to Information and Information Privacy Agency Electronic Audit

Criteria question	Assessment				Notes
	Yes	IP	Id	No	
2. Active management of responsibilities – assisting and advising the parties					
2.1 Negotiation					
1. Applicants are assisted through negotiation, either prior to making an application or once an application is made, to clarify and particularise their requests.	85%	2%	6%	7%	
2.2 Communication					
1. 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.	80%	2%	8%	10%	
2. Open communication exists between the agency and the parties.	90%	2%	5%	4%	
3. The agency is responsive and open to requests for information.	96%	1%	3%	0%	
	Low	Medium	High		
4. Level of satisfaction by the parties with the communication in general.	4%	28%	68%		Asked again regardless of response in 2010 AEA.
2.3 Decision communication					
	Yes	IP	Id	No	
1. Decisions are made promptly and parties informed as soon as possible.	89%	5%	4%	2%	
2.4 Timeliness					
	Low	Medium	High		
1. Level of satisfaction by the parties with the communication about time issues.	4%	33%	63%		

Right to Information and Information Privacy Agency Electronic Audit

Section D - Compliance

D.2 Requirements for Publication Schemes³

(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: Agencies that do not have a publication scheme (i.e.'No' to Gateway question 4), are skipped over Section D2.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. Seven classes of information are published (About us, Our services, Our finances, Our priorities, Our decisions, Our policies, Our lists).	89%	10%	0%	1%	
2. Information in the publication scheme is significant (key initiative and policy documents).	87%	9%	1%	2%	
3. Information in the publication scheme is appropriate (having regard to legislation, privacy principles and security issues).	89%	8%	2%	1%	
4. Information in the publication scheme is accurate.	91%	9%	0%	1%	
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 (<i>Part 1, Schedule 4 Right to Information Act 2009</i>)).	93%	4%	0%	4%	
6. Schemes are readily accessible (e.g. a link on home page).	90%	4%	2%	4%	
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)	89%	5%	1%	4%	
8. All documents referred to in the publication scheme are accessible centrally from the publication scheme.	87%	6%	2%	4%	
9. Documents linked to the publication scheme are no more than 3 mouse clicks away.	83%	6%	4%	6%	
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.	73%	9%	9%	9%	

³From *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*.

Right to Information and Information Privacy Agency Electronic Audit

Criteria question	Assessment				Notes
	Yes	IP	Id	No	
11. The publication scheme sets out the terms on which information is available including any applicable fees/charges.	81%	11%	1%	6%	
12. Charges for administrative release of documents are minimised.	97%	1%	1%	1%	
13. Alternative formats of documents are available.	88%	1%	3%	8%	
14. Website design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).	83%	14%	1%	2%	
15. An agency officer has a responsibility to ensure the publication scheme is maintained and up to date.	87%	9%	3%	1%	
16. A complaints procedure is in place to enable people to make complaints when information is not available from the publication scheme.	84%	5%	6%	4%	
17. Changes to the publication scheme are formally approved. ⁴	78%	8%	6%	9%	
18. Changes and approvals to the publication scheme are documented. ⁵	75%	11%	7%	6%	
19. Documents describing changes to the publication scheme are kept as public records. ⁶	69%	9%	9%	14%	
<p>Department only question.</p> <p>20. The information governance body has considered the development of the elements* of the authorising and accountability environment for publication schemes.</p> <p>*These elements may include:</p> <ul style="list-style-type: none"> · Policies · Business processes (e.g. internal approval processes for publication in a publication scheme) · Procedures · Roles and responsibilities (e.g. who approves release) · Supporting tools and systems⁷. <p>For example, the meeting agenda or minutes indicate these issues have been considered. (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.)</p>	48%	38%	10%	5%	
	Low	Medium	High		
21. Quality of scheme from the agency's perspective.	6%	49%	45%		Asked again regardless of response in 2010 AEA.

⁴ 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.

⁵ 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.

⁶ 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.

⁷ From QGEA Guideline *Implementing Information Governance*.

Right to Information and Information Privacy Agency Electronic Audit

Section D - Compliance

D.3 Requirements for Disclosure Logs⁸

(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: Agencies that do not have a disclosure log (i.e. 'No' to Gateway question 5), are skipped over Section D3.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
You informed us earlier that your agency has a disclosure log. The following questions are in regards to this disclosure log.					
References to documents are limited to documents that do not contain the personal information of the applicant.					
1. The disclosure log is a readily accessible part of the agency's website (i.e. within three mouse clicks from the home page).	92%	3%	3%	2%	
2. Website design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).	90%	7%	2%	2%	
3. Documents released under the RTI Act are listed in the disclosure log unless there is a clear reason not to do so.	84%	6%	4%	5%	
4. 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.	73%	16%	6%	5%	New question – replacing the old D3.6 and D3.7 from the 2010 AEA.
5. 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.	66%	9%	9%	16%	
6. If documents are not included in a disclosure log, the details of the decision and reasons are documented in the agency's internal records.	78%	6%	9%	6%	
7. An agency officer has a responsibility to ensure the disclosure log is maintained and up to date and in accordance with ministerial guidelines.	89%	7%	2%	2%	

⁸ 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*.

Right to Information and Information Privacy Agency Electronic Audit

Criteria question	Assessment				Notes
	Yes	IP	Id	No	
8. Changes to the disclosure log are formally approved. ⁹	72%	9%	7%	12%	
9. Changes and approvals to the disclosure log are documented. ¹⁰	72%	9%	8%	12%	
10. Changes to the disclosure log are documented and kept as public records. ¹¹	70%	9%	7%	14%	
11. 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. <i>(Note: Not asked of agencies that do not have any documents on their disclosure log i.e. those that answered 'No' to Gateway question 6.)</i>	97%	0%	2%	2%	
12. Documents published to the disclosure log are accompanied by brief text with a summary and the context of the information. <i>(Note: Not asked of agencies that do not have any documents on their disclosure log i.e. those that answered 'No' to Gateway question 6.)</i>	83%	2%	3%	12%	
13. The agency has a system for checking that documents or information released on the disclosure log:-	Yes		No		D3.13 a to e each asked again regardless of response in 2010 AEA.
(a) - are not prevented by law from publication	96%		4%		
(b) - are not defamatory	96%		4%		
(c) - if included in the disclosure log would not unreasonably invade an individual's privacy	96%		4%		
(d) - 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	96%		4%		
(e) - would not otherwise cause substantial harm to an entity if disclosed.	96%		4%		

⁹ 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.

¹⁰ 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.

¹¹ 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.

Right to Information and Information Privacy Agency Electronic Audit

Criteria question	Assessment				Notes
	Yes	IP	Id	No	
<p>Department only question.</p> <p>14. The information governance body has considered the development of the elements* of the authorising and accountability environment for disclosure logs.</p> <p>*These elements may include:</p> <ul style="list-style-type: none"> · Policies · Business processes (e.g. internal approval processes for publication in a publication scheme) · Procedures · Roles and responsibilities (e.g. who approves release) · Supporting tools and systems¹². <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>	67%	10%	14%	10%	
<p>Department only question.</p> <p>15. 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> <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%	New question
	Yes		No		
<p>Department only question.</p> <p>16. 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> <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>					New question
(a) - a copy of any document that does not include personal information of the applicant that the department released in relation to the application	100%			0%	
(b) - the applicant's name	100%			0%	
(c) - the name of any entity benefiting from or using the document	95%			5%	

¹²From QGEA Guideline *Implementing Information Governance*.

Right to Information and Information Privacy Agency Electronic Audit

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.)

(Note: Agencies that do not have any administrative access schemes (i.e. 'No' to Gateway question 7), are skipped over Section D4.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. Have any new administrative access schemes been introduced since the commencement of the RTI Act?	39%	11%	9%	40%	
2. Has any new information been introduced into existing administrative access schemes since the commencement of the RTI Act?	34%	18%	6%	41%	
3. Are there mechanisms in place to evaluate the viability of administrative access schemes (e.g. a review of information requests)?	38%	22%	16%	23%	
4. Are there indicators that the administrative access schemes are used first?	71%	2%	13%	14%	
5. Publicly available administrative access schemes are readily accessible (e.g. button on home page).	59%	6%	16%	19%	
6. Multiple avenues of access (e.g. HTML, open formats or hard copy on request) are available from information obtained through an administrative access scheme.	75%	6%	9%	10%	
7. 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).	71%	16%	8%	5%	
Department only question. 8. 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>	94%	0%	6%	0%	

Right to Information and Information Privacy Agency Electronic Audit

Section D - Compliance

D.5 Receipt of applications¹³

(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: Agencies that have not received any RTI or IP applications since 1 July 2010 (i.e. 'No' to Gateway question 1), are skipped over Sections D5, D6 and D7.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. The agency uses the approved form, as per the RTI and IP Acts, for applications for information.	94%	2%	1%	2%	
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).	85%	4%	8%	3%	
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, 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.	85%	3%	8%	4%	
4. The agency has procedures in place to issue charges estimates notices and the accompanying schedule of documents under the RTI Act.	87%	4%	8%	1%	
5. The agency tracks time frames for handling charges estimates notices and schedules of documents.	85%	4%	9%	1%	
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).	78%	7%	10%	4%	
7. The agency has a procedure to track timeframes for third party consultations	80%	7%	11%	2%	
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).	70%	9%	12%	9%	
9. The agency has checked applicable fees and charges and ensured procedures are correct.	93%	1%	7%	0%	

¹³ Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

Right to Information and Information Privacy Agency Electronic Audit

D.6 Deciding how to deal with applications¹⁴

(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: Agencies that have not received any RTI or IP applications since 1 July 2010 (i.e. 'No' to Gateway question 1), are skipped over Sections D5, D6 and D7.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
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).	89%	3%	5%	3%	
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.	91%	3%	5%	1%	
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.	92%	3%	4%	1%	
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.	91%	2%	5%	1%	

¹⁴ Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

Right to Information and Information Privacy Agency Electronic Audit

Section D - Compliance

D.7 Granting access to or amendment of documents¹⁵

(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: Agencies that have not received any RTI or IP applications since 1 July 2010 (i.e. 'No' to Gateway question 1), are skipped over Sections D5, D6 and D7.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
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).	87%	7%	5%	1%	
2. The agency routinely meets statutory timeframes.	92%	4%	3%	1%	
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.	85%	6%	5%	4%	
4. The agency has procedures for ensuring the information goes to the correct person, for example, correctly to an agent or parent.	93%	2%	4%	1%	
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.	79%	7%	8%	6%	

¹⁵ Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

Right to Information and Information Privacy Agency Electronic Audit

D.8 Internal and External Review¹⁶

(Note to person coordinating responses - This section could be completed by the person within the agency responsible for handling RTI / IP 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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. Internal Review					
(Note: Agencies that have not received any RTI or IP Internal Review applications since 1 July 2010 (i.e.'No' to Gateway question 2), are skipped over Section D8.1.)					
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).	93%	5%	0%	1%	
1.2 The agency uses the prescribed written notice for notifying the applicant of the result of the internal review, including provision of reasons.	97%	3%	0%	0%	
1.3 The agency has a procedure for tracking the timeframes for internal review decision making.	96%	4%	0%	0%	
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.	96%	4%	0%	0%	
1.5 Written notices of internal review decisions are provided to the applicants.	99%	1%	0%	0%	
2. External Review and Compliance Notices					
(Note: Agencies that have not received notice that any RTI or IP External Review applications have been made regarding a decision of their agency (i.e.'No' to Gateway question 3), are skipped over Section D8.2.)					
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.	72%	3%	10%	14%	
2.2 The agency understands that the onus is on the agency to show that the reviewable decision was justified.	98%	1%	1%	0%	
2.3 The agency understands and meets its obligations to assist the Information Commissioner.	100%	0%	0%	0%	
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.	100%	0%	0%	0%	
2.5 The agency routinely meets set timeframes in external reviews.	98%	2%	0%	0%	

¹⁶ Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

Right to Information and Information Privacy Agency Electronic Audit

Section D - Compliance

D.9 Detailed requirements for adoption of privacy principles¹⁷

(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 therefore are skipped over Section D9.)

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 (IP)	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 (Id)	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				Notes
	Yes	IP	Id	No	
1. General					
1.1 Personal information handling practices have not raised concerns or resulted in the issue of any compliance notices.	70%	5%	5%	19%	Asked again even if response in 2010 AEA was 'Yes'.
1.2 Collection of personal information is appropriate.	85%	11%	3%	2%	
1.3 Security safeguards for personal information are appropriate.	81%	12%	5%	2%	
1.4 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).	77%	13%	7%	3%	
1.5 The agency is open about its processes for collecting, using and disclosing personal information.	87%	8%	3%	2%	
1.6 The agency use and disclosure of personal information is appropriate.	89%	7%	3%	1%	
1.7 Privacy breaches and complaints are managed effectively.	90%	4%	4%	2%	
2. Collection					
2.1 The agency identifies why it is collecting personal information.	83%	10%	5%	2%	
2.2 The agency provides a collection notice ¹⁸ to individuals from whom personal information is being collected.	68%	16%	9%	7%	
2.3 The agency has determined how much and the kind of personal information it needs to collect.	79%	11%	7%	2%	

¹⁷ From Schedule 3 of the *Information Privacy Act 2009*.

¹⁸ 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.

Right to Information and Information Privacy Agency Electronic Audit

Criteria question	Assessment				Notes
	Yes	IP	Id	No	
2. Collection (cont)					
2.4 The amount of personal information collected is no more than is necessary and relevant for the purpose for which it is required.	87%	7%	5%	1%	
2.5 The agency collects personal information lawfully and fairly.	90%	7%	2%	1%	
2.6 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).	80%	12%	5%	3%	
3. Security					
3.1 Personal information held by the agency is protected against unauthorised access, use, modification or disclosure.	89%	10%	1%	1%	
3.2 Personal information held by the agency is protected against loss or misuse.	89%	9%	2%	1%	
3.3 The agency has adopted physical, technical and administrative safeguards to protect personal information.	85%	12%	3%	1%	
3.4 Security safeguards are appropriate given the sensitivity of the information.	88%	9%	3%	1%	
3.5 Processes are in place to record access to electronic records and datasets containing personal information.	78%	11%	5%	5%	
3.6 Processes are in place to ensure that disposal of personal information does not allow unauthorised access.	89%	7%	3%	1%	
4. Accuracy					
4.1 Processes are in place for people to amend their personal information if it is incorrect.	84%	7%	4%	5%	
4.2 Processes are in place to record when and where key personal information was collected, including when it was updated.	76%	13%	5%	6%	
5. Openness					
5.1 The agency makes information available about its personal information policies and procedures.	77%	10%	10%	3%	
5.2 The agency tells people why it collects, how it uses and when it discloses their personal information at the time of collection.	79%	11%	6%	3%	
5.3 There is a person that members of the public can contact about privacy issues.	93%	1%	3%	3%	
5.4 The agency tells people how they can access and amend their personal information.	84%	4%	6%	6%	
5.5 The agency provides details to the public of the categories of personal information it holds.	65%	11%	9%	15%	
6. Use and disclosure					
6.1 The agency uses information only for the purpose for which it was collected, unless an exception in IPP10 or NPP2 applies.	90%	6%	3%	1%	

Right to Information and Information Privacy Agency Electronic Audit

Criteria question	Assessment				Notes
	Yes	IP	Id	No	
6. Use and disclosure (cont)					
6.2 The agency discloses information only where the person was advised when it was collected unless an exception in IPP11 or NPP2 applies.	86%	7%	5%	3%	
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.	68%	11%	13%	8%	
7. Breaches and complaints					
7.1 There is a documented process specifically for managing privacy breaches and privacy complaints. <i>(If 'Y' or 'IP' skip 7.2)</i>	49%	20%	17%	15%	Asked again even if response in 2010 AEA was 'Yes'.
7.2 There is a documented process for managing general complaints. <i>(If 'Id' or 'N' skip 7.3 and 7.4)</i>	67%	7%	15%	11%	New question
7.3 This process is documented and available to agency officers.	74%	20%	4%	2%	Asked again even if response in 2010 AEA was 'Yes'.
7.4 This process, or a version of it, is available to the public.	71%	20%	5%	4%	Asked again even if response in 2010 AEA was 'Yes'.
7.5 There is a clear process for privacy complaint handlers to advise agency officers when practices that need changing are identified.	71%	13%	10%	6%	
7.6 There is a clear process for agency officers to action changes to practices arising from complaints.	66%	16%	12%	6%	
	Yes		No		
7.7 In the last two years your agency has received privacy complaints. <i>(If 'N' skip 7.8 to 7.11)</i>	34%		66%		New question.
7.8 Privacy complaint handling is timely.	95%	3%	2%	0%	D9.7.8 and 7.9 were previously one question (D9.7.4 in 2010 AEA), so asked again in 2013.
7.9 Complainants are generally satisfied with the response given.	92%	3%	3%	2%	D9.7.8 and 7.9 were previously one question (D9.7.4 in 2010 AEA), so asked again in 2013.
	Yes		No		
7.10 In the last two years privacy complaint handlers have advised agency officers that practices need to change. <i>(If 'N' skip 7.11)</i>	63%		37%		New question
7.11 Approved reforms to agency processes identified by complaint handlers have been implemented.	68%	22%	8%	3%	Asked again even if response in 2010 AEA was 'Yes'.
	Yes		No		
7.12 There have been privacy breaches in the last two years. <i>(If 'N' skip 7.13)</i>	29%		71%		D9.7.12 and 7.13 previously one question, so asked again.
7.13 The same type of breach has occurred two or more times in the last two years.	14%		86%		D9.7.12 and 7.13 previously one question, so asked again.