

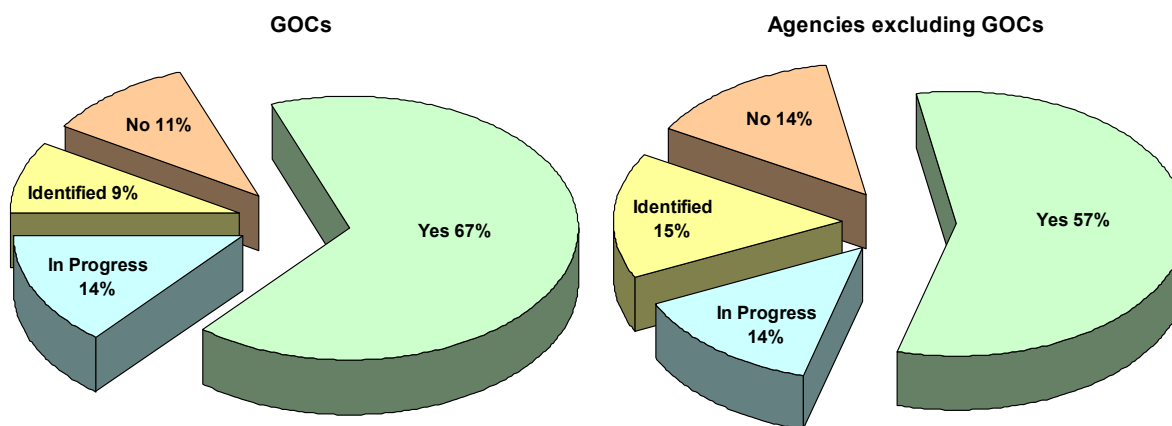
## Appendix 7 – Detailed results electronic audit – Government owned corporations<sup>1</sup>

Government owned corporations (GOCs) are Queensland Government owned trading enterprises which conduct activities and provide services in a commercially-orientated environment. GOCs are regulated under the *Government Owned Corporations Act 1993*. GOCs are specifically mentioned in the RTI Act and must comply with the requirements of the Act as they apply.

### Overall Performance

GOCs reported high levels of overall compliance with the requirements, with 67% of requirements reported as being met in full. In addition GOCs reported that they are in the process of implementing an additional 14% of the requirements.

Areas in which GOCs reported significantly better performance than agencies overall include policy development and oversight, adopting a push model to maximise disclosure, and staffing. Other strengths reported by the GOCs were privacy reforms (full implementation reported for 88% of questions), publication scheme implementation and engagement with applicants. Areas for development included administrative access, performance monitoring and improvement handling.



**Chart 7.1:** Proportion of responses to all questions for GOCs vs the remaining agencies.

### Response Rate

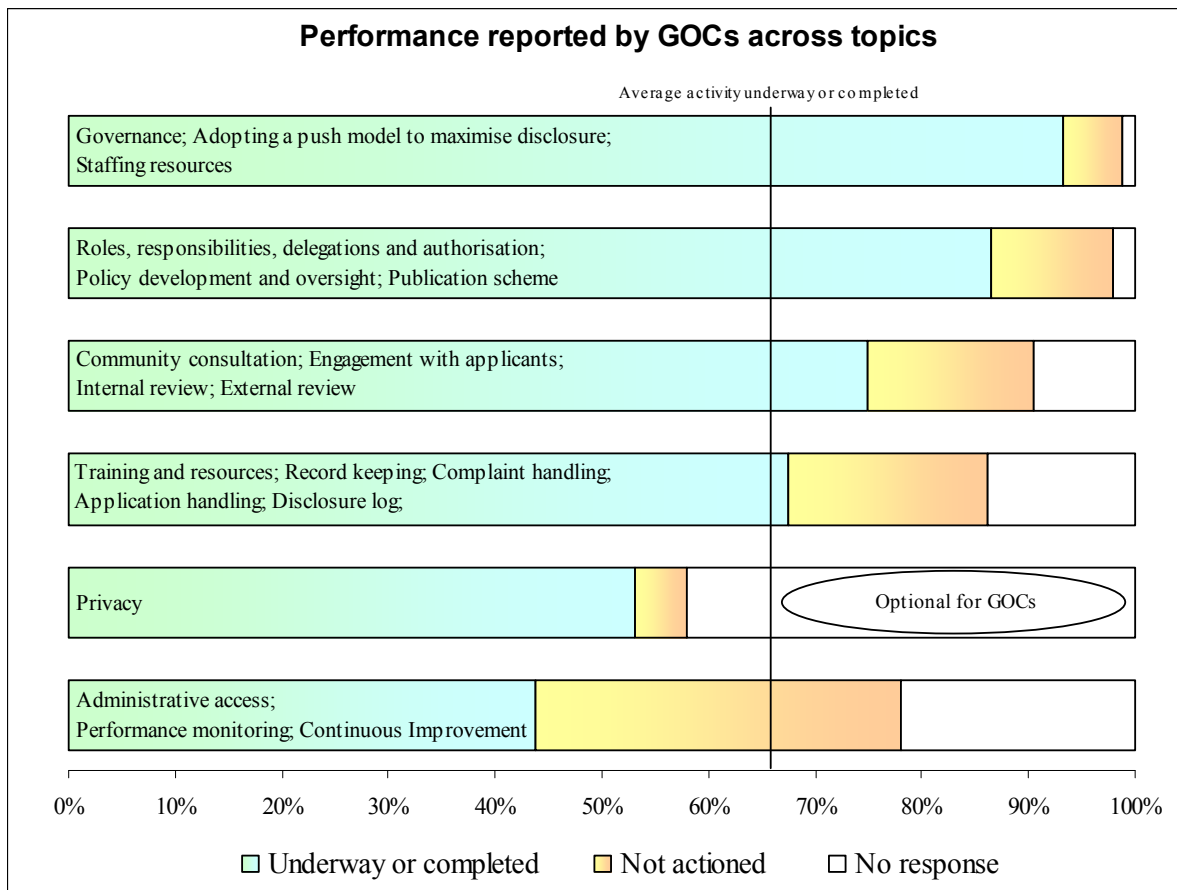
11 of the 13 Queensland GOCs reviewed provided a completed electronic audit, which is a response rate of 85%.

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

### Performance by Topic

In order to report performance, items were grouped into topics. Topics were made up of sets of like questions. For example, in the topic 'Application Handling' there were 19 questions about the way in which applications were handled. Details of the grouping of questions into topics are included in Appendix 9.

GOCs reported higher levels of full implementation across every topic, except record keeping, than agencies overall. Chart 7.2 shows the performance and non-responses of GOCs across topics.



**Chart 7.2:** Proportion of department responses of 'under way or completed' (ie 'yes' or 'in progress'), 'not actioned' (ie 'identified' and 'no') and 'no response' by topic.

There were five topics that had a significant level of reported full compliance across all agencies, as listed below. GOCs reported a significant level of full compliance in relation to seven additional topics. GOCs reported significantly higher levels of full compliance than agencies overall in the areas of adopting a push model to maximise disclosure; policy development and oversight; and staffing resources.

**Table 4.1 Areas of significant reported full compliance**

All Agencies	GOCs
	<b>Adopting a push model to maximise disclosure</b>
	Application handling
	Complaint handling
Engagement with applicants	Engagement with applicants
External review	External review
	Governance
	Internal review
	<b>Policy development and oversight</b>
Privacy	Privacy
Publication scheme	Publication scheme
Roles, responsibilities, delegations and authorisation	Roles, responsibilities, delegations and authorisation
	<b>Staffing resources</b>

GOCs reported significant levels of full compliance in the area of privacy (full implementation reported for 88% of questions). These questions were optional for GOCs, with a corresponding low response rate of between half to a third of responding GOCs for each question. This level of full compliance is notable given GOCs are not required to adopt the Privacy Principles.

The level of partial implementation by GOCs was comparable to agencies overall. However, GOCs showed significant differences from agencies in general when individual topics were compared. Table 7.2 below shows GOC progress compared to all agency progress in having implementation of obligations under way.

**Table 7.2 Areas of significant reported in progress**

All Agencies	GOCs
Community consultation	
	Governance
Policy development and oversight	
	Record keeping
	Training and resources

## 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
<b>1.</b>	<b>Open government</b>					
1.1	The agency has a culture open to the release of information.	73%	27%	0%	0%	100%
1.2	Agency policy frameworks describe how the community is to be included in development of policies affecting external operations.	36%	18%	18%	27%	100%
1.3	The agency has a mechanism for identifying the information that its industry stakeholders would find useful, for example, a consultation strategy.	64%	9%	18%	9%	100%
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.	55%	27%	9%	9%	100%
1.5	When developing RTI and IP policy, the agency conducts appropriate internal consultation, for example, with decision makers.	82%	18%	0%	0%	100%
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).	27%	18%	18%	36%	100%
1.7	Over time, the data is showing an increase in diversity in the type of person seeking information	38%	13%	0%	50%	73%

## 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
<b>2</b>	<b>The agency actively manages its responsibilities through good governance</b>					
2.1	<b>Department only question. GOCs, local government, and other agencies please disregard.</b> 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>	Not applicable				
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). <i>(This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question.)</i>	Not applicable				
2.3	RTI and IP reforms are managed or have been managed by governance mechanisms which provide for development (e.g. planning for implementation).	73%	27%	0%	0%	100%
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).	73%	27%	0%	0%	100%
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).	64%	18%	9%	9%	100%

## 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
<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.	73%	18%	9%	0%	100%
3.2	The agency has an external communications strategy to ensure consumers and stakeholders are aware of their RTI rights.	82%	0%	18%	0%	100%
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.	73%	18%	9%	0%	100%
3.4	The agency's RTI and IP policies and procedures as per 3.3 are fully implemented.	45%	36%	9%	9%	100%
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%	36%	9%	18%	100%
3.6	RTI and IP policies are complete and easy to understand.	64%	18%	9%	9%	100%
3.7	RTI and IP policies are reviewed on a regular basis.	73%	9%	9%	9%	100%
3.8	Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public.	100%	0%	0%	0%	91%
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.	90%	10%	0%	0%	91%
3.10	<p><b>Department only question. GOCs, local government, and other agencies please disregard.</b></p> <p>The agency maintains an Information Asset Register either independently or as part of an existing register (as required by Information Standard 44).</p> <p><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></p>	Not applicable				

## 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
<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.	82%	9%	9%	0%	100%
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	
	Total staff in unit or performing functions (staff) <sup>2</sup>	0%	55%	27%	18%	100%
	(FTE staff) <sup>2</sup>	0%	73%	9%	18%	100%
	On average <sup>2</sup>	2.0 staff in total in unit and 1.5 FTE				
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%	
	%RTI (of time) <sup>3</sup>	0%	67%	11%	22%	82%
	%IP (of time) <sup>3</sup>	0%	67%	0%	33%	82%
	On average <sup>3</sup>	33% of time (RTI) and 36% of time (IP)				
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. (This is not a requirement for GOCs, local governments or independent statutory authorities. These agencies are not required to respond to this question.)	Not applicable				
4.5	RTI and IP functions are independent of media and communications.	82%	0%	9%	9%	100%
4.6	RTI and IP functions report as closely as possible to the DG / CEO.	91%	0%	9%	0%	100%

<sup>2</sup> Note some responses have required interpretation to convert to consistent overall staff and FTE equivalent numbers.

<sup>3</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.



## 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
<b>4</b>	<b>Organisational structure and resourcing to the RTI and IP functions is appropriate (cont)</b>					
4.7	Agency administrative delegations have been updated to incorporate right to information handling and information privacy handling.	55%	36%	0%	9%	100%
4.8	There is a clear authorisation process for agency staff to assess and approve information for public release.	55%	36%	9%	0%	100%
4.9	The Principal Officer has appropriately delegated authority to deal with right to information and information privacy applications.	73%	27%	0%	0%	100%
4.10	Roles and responsibilities of the Principal Officer or the Principal Officer's delegates are clearly defined.	73%	27%	0%	0%	100%
4.11	There is a person who has responsibility for maintaining a system of recording, tracking and monitoring applications and reviews.	82%	9%	9%	0%	100%
4.12	Internal reviews are conducted by an officer different to the officer who made the reviewable decision.	73%	9%	9%	9%	100%
4.13	The officer conducting the internal review is more senior to the officer who made the reviewable decision.	80%	10%	10%	0%	91%
4.14	The agency can meet requirements to report on Freedom of Information, Right to Information and Information Privacy statistics	64%	18%	9%	9%	100%
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.)	36%	0%	9%	55%	100%

## 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
<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	1 or 2	3 to 10	over 10	
		30%	40%	30%	0%	91%
	On average	2 staff trained				
5.2	Agency staff are trained as to their level of authority to release information administratively.	64%	9%	9%	18%	100%
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.	55%	36%	0%	9%	100%
5.4	RTI/IP is mentioned in induction.	55%	36%	0%	9%	100%
5.5	Training for RTI/IP staff with respect to the RTI/IP function is effective.	73%	0%	18%	9%	100%
5.6	General staff training in RTI/IP is effective.	55%	27%	9%	9%	100%

## Section B - Accountability requirements <sup>4</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
1	Complaint handling procedures capture opportunities for improvement in RTI/IP implementation of reforms.	45%	18%	9%	27%	100%
2	Opportunities for improvement in RTI/IP implementation of reforms are recorded and actions on them are tracked.	36%	18%	9%	36%	100%
3	Opportunities for improvement are actioned and result in improvements to systems for the release of information or information privacy.	36%	18%	9%	36%	100%
4	The agency has internal systems and procedures for reviewing the effectiveness of the right to information and information privacy functions.	40%	20%	20%	20%	91%
5	Performance measurement for the RTI implementation across the agency is in place.	40%	10%	10%	40%	91%
6	Performance measurement for the RTI implementation across the agency is used.	33%	11%	11%	44%	82%
7	Performance measurement for the RTI implementation across the agency is useful.	33%	11%	11%	44%	82%
8	Performance measurement for the IP implementation across the agency is in place.	40%	10%	10%	40%	91%
9	Performance measurement for the IP implementation across the agency is used.	25%	13%	13%	50%	73%
10	Performance measurement for the IP implementation across the agency is useful.	25%	13%	13%	50%	73%
11	Review and reporting mechanisms are embedded at all levels of the organisation.	50%	10%	10%	30%	91%

<sup>4</sup> Sourced from the OIC survey of agencies and the recommendations of the Solomon report.

## 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
	Y	IP	Id	N	
<b>1. General</b>					
1.1 More information is in the public domain e.g. additional data sets are now available to the public.	82%	9%	9%	0%	100%
1.2 More information is available via the publication scheme than was previously available under the Statement of Affairs.	90%	10%	0%	0%	91%
<b>Department only question. GOCs, local government, and other agencies please disregard.</b> 1.3 Using the Information Asset Register as a guide, the agency has achieved maximum disclosure of publishable information assets. <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>	Not applicable				

## Section D - Compliance

### D.1 Detailed questions about active management of agency responsibilities <sup>5</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:	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
1. Active management of responsibilities – managing the process					
1.1 Searches					
Overall sufficiency of search e.g. the number of times sufficiency of search is an issue in internal or external review matters.	Low 71%	Medium 14%	High 14%	64%	
Additional documents located during external review.	Often 0%	Some-times 33%	Rarely 67%	55%	
Level of satisfaction by RTI Unit or decision maker with documentation received from other staff.	Low 0%	Medium 38%	High 63%	73%	
1.2 Transfer of information					
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 29%	IP 14%	Id 0%	N 57%	64%
1.3 Record Keeping					
Record keeping systems allow efficient location of records relevant to RTI and IP requests.	Y 64%	IP 36%	Id 0%	N 0%	100%
Accurate records exist to document the processing of requests.	Y 82%	IP 9%	Id 9%	N 0%	100%
2. Active management of responsibilities – assisting and advising the parties					
2.1 Negotiation					
Applicants are assisted through negotiation, either prior to making an application or once an application is made, to clarify and particularise their requests.	Y 80%	IP 10%	Id 0%	N 10%	91%

<sup>5</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.

## Section D - Compliance

### D.1 Detailed questions about active management of agency responsibilities <sup>6</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:	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
2.2 Communication					
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 70%	IP 0%	Id 10%	N 20%	91%
Open communication exists between the agency and the parties.	Y 90%	IP 0%	Id 10%	N 0%	91%
Level of satisfaction by the parties with the communication in general.	Low 0%	Medium 29%		High 71%	64%
The agency is responsive and open to requests for information.	Y 91%	IP 0%	Id 9%	N 0%	100%
2.3 Decision communication					
Decisions are made promptly and parties informed as soon as possible.	Y 100%	IP 0%	Id 0%	N 0%	82%
2.4 Timeliness					
Level of satisfaction by the parties with the communication about time issues.	Low 0%	Medium 29%		High 71%	64%

<sup>6</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.

## Section D - Compliance

### D.2 Requirements for Publication Schemes <sup>7</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:	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
	Y	IP	Id	N	
1. Seven classes of information are published (About us, Our services, Our finances, Our priorities, Our decisions, Our policies, Our lists).	91%	9%	0%	0%	100%
2. Information in the publication scheme is significant (key initiative and policy documents).	91%	9%	0%	0%	100%
3. Information in the publication scheme is appropriate (having regard to legislation, privacy principles and security issues).	91%	0%	9%	0%	100%
4. Information in the publication scheme is accurate.	82%	9%	9%	0%	100%
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).	73%	9%	9%	9%	100%
6. Schemes are readily accessible (e.g. a link on home page).	91%	0%	9%	0%	100%
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.)	82%	9%	9%	0%	100%
8. All documents referred to in the publication scheme are accessible centrally from the publication scheme.	73%	18%	9%	0%	100%
9. Documents linked to the publication scheme are no more than 3 mouse clicks away.	82%	9%	9%	0%	100%
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.	78%	11%	11%	0%	82%

<sup>7</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*.

## Section D - Compliance

### D.2 Requirements for Publication Schemes <sup>8</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:	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
	Y	IP	Id	N	
11. The publication scheme sets out the terms on which information is available including any applicable fees/charges.	82%	9%	9%	0%	100%
12. Charges for administrative release of documents are minimised.	82%	0%	9%	9%	100%
13. Alternative formats of documents are available.	82%	0%	9%	9%	100%
14. Web site design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).	82%	9%	9%	0%	100%
15. An agency officer has a responsibility to ensure the publication scheme is maintained and up-to-date.	82%	0%	18%	0%	100%
16. A complaints procedure is in place to enable people to make complaints when information is not available from the publication scheme.	73%	18%	9%	0%	100%
17. Quality of scheme from the agency's perspective.	Low 0%	Medium 50%	High 50%		91%
18. Changes to the publication scheme are formally approved. <sup>9</sup>	64%	9%	9%	18%	100%
19. Changes and approvals to the publication scheme are documented. <sup>9</sup>	45%	27%	9%	18%	100%
20. The documents describing changes to the publication scheme are kept as public records. <sup>9</sup>	55%	9%	18%	18%	100%

<sup>8</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>9</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.



## Section D - Compliance

### D.2 Requirements for Publication Schemes <sup>10</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:	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
	Y	IP	Id	N	
<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>11</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>	Not applicable				

<sup>10</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>11</sup> From QGEA Guideline *Implementing Information Governance*.

## Section D - Compliance

### D.3 Requirements for Disclosure Logs <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:	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
	Y	IP	Id	N	
1. Agency has a disclosure log.	64%	9%	18%	9%	100%
2. The disclosure log is readily accessible (e.g. within three mouse clicks from the home page).	67%	11%	22%	0%	82%
3. Web site design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich).	80%	0%	20%	0%	91%
4. Information released under the RTI Act is listed in the disclosure log unless there is a clear reason not to do so.	50%	25%	25%	0%	73%
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.	50%	25%	25%	0%	73%
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.	50%	20%	30%	0%	91%
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.	50%	20%	30%	0%	91%
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.	25%	25%	38%	13%	73%
9. Documents published to the disclosure log are accompanied by brief text with a summary and the context of the information.	50%	20%	30%	0%	91%
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.	33%	22%	33%	11%	82%

<sup>12</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*.

## Section D - Compliance

### D.3 Requirements for Disclosure Logs <sup>13</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:	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
	Y	IP	Id	N	
11. An agency officer has a responsibility to ensure the disclosure log is maintained and up-to-date and in accordance with ministerial guidelines.	60%	20%	20%	0%	91%
12. The disclosure log does NOT contain information that:-	Yes		No		
(a) - Is prevented by law from disclosure.	63%		38%		73%
(b) - May be defamatory.	63%		38%		73%
(c) - If released would breach the <i>Information Privacy Act 2009</i> .	63%		38%		73%
(d) - Contains or alludes to information received in confidence from a third party or which is protected by contract.	63%		38%		73%
(e) - Would otherwise cause substantial harm if disclosed.	63%		38%		73%
(f) - Is the personal information of the applicant.	63%		38%		73%
	Y	IP	Id	N	
13. Changes to the disclosure log are formally approved. <sup>14</sup>	30%	30%	20%	20%	91%
14. Changes and approvals to the disclosure log are documented. <sup>14</sup>	40%	20%	30%	10%	91%
15. Documents describing changes to the disclosure log are kept as public records. <sup>14</sup>	33%	33%	22%	11%	82%

<sup>13</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>14</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.

## Section D - Compliance

### D.3 Requirements for Disclosure Logs <sup>15</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:	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
	Y	IP	Id	N	
<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>16</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>	Not applicable				

<sup>15</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>16</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
	Y	IP	Id	N	
<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>	Not applicable				
2. Have any new administrative access schemes been introduced since the commencement of the RTI Act?	22%	11%	0%	67%	82%
3. Has any new information been introduced into existing administrative access schemes since the commencement of the RTI Act?	33%	11%	0%	56%	82%
4. Are there mechanisms in place to evaluate the viability of administrative access schemes (e.g. a review of information requests).	33%	22%	11%	33%	82%
5. Are there indicators that the administrative access schemes are used first.	50%	13%	0%	38%	73%
6. Publicly available administrative access schemes are readily accessible (e.g. button on home page).	50%	13%	0%	38%	73%
7. Multiple avenues of access are available (e.g. HTML, open formats or hard copy on request).	75%	13%	0%	13%	73%
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).	63%	13%	13%	13%	73%

## Section D - Compliance

### D.5 Receipt of applications <sup>17</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
	Y	IP	Id	N	
1. The agency uses the approved form, as per the RTI and IP Acts, for applications for information.	90%	0%	10%	0%	91%
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.	60%	20%	10%	10%	91%
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.	60%	20%	10%	10%	91%
4. The agency has procedures in place to issue charges estimates notices and the accompanying schedule of documents under the RTI Act.	60%	20%	10%	10%	91%
5. The agency tracks time frames for handling charges estimates notices and schedules of documents.	67%	22%	11%	0%	82%
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.	50%	20%	10%	20%	91%
7. The agency has a procedure to track timeframes for third party consultations.	50%	10%	20%	20%	91%
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.	50%	10%	20%	20%	91%
9. The agency has checked applicable fees and charges and ensured procedures are correct.	67%	22%	11%	0%	82%

<sup>17</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

## Section D - Compliance

### D.6 Deciding how to deal with applications <sup>18</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
	Y	IP	Id	N	
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.	60%	10%	20%	10%	91%
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.	60%	10%	20%	10%	91%
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.	70%	10%	20%	0%	91%
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.	70%	10%	20%	0%	91%

<sup>18</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

## Section D - Compliance

### D.7 Granting access to or amendment of documents <sup>19</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
	Y	IP	Id	N	
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.	70%	20%	10%	0%	91%
2. The agency routinely meets statutory timeframes.	67%	22%	11%	0%	82%
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.	60%	20%	10%	10%	91%
4. The agency has procedures for ensuring the information goes to the correct person, for example, correctly to an agent or parent.	60%	20%	10%	10%	91%
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.	60%	30%	10%	0%	91%

<sup>19</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.



## Section D - Compliance

### D.8 Internal and External Review <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
	Y	IP	Id	N	
1. Internal Review					
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.	60%	20%	10%	10%	91%
1.2 The agency uses the prescribed written notice for notifying the applicant of the result of the internal review, including provision of reasons.	80%	10%	10%	0%	91%
1.3 The agency has a procedure for tracking the timeframes for internal review decision making.	60%	20%	10%	10%	91%
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.	60%	20%	10%	10%	91%
1.5 Written notices of internal review decisions are provided to the applicants.	67%	22%	11%	0%	82%
2. External Review and Compliance Notices					
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.	60%	20%	10%	10%	91%
2.2 The agency understands that the onus is on the agency to show that the reviewable decision was justified.	80%	10%	10%	0%	91%
2.3 The agency understands and meets its obligations to assist the Information Commissioner.	80%	10%	10%	0%	91%
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%	11%	11%	0%	82%
2.5 The agency routinely meets set timeframes in external reviews.	63%	25%	13%	0%	73%

<sup>20</sup> Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009*.

## Section D - Compliance

### D.9 Detailed requirements for adoption of privacy principles <sup>21</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
	Y	IP	Id	N	
1. General					
1.1 Personal information handling practices have not raised concerns or resulted in the issue of any compliance notices.	86%	0%	0%	14%	64%
1.2 Collection of information is appropriate.	100%	0%	0%	0%	64%
1.3 Security safeguards are appropriate.	86%	14%	0%	0%	64%
1.4 Processes are in place to ensure personal information is as accurate as possible.	100%	0%	0%	0%	64%
1.5 The agency is open about its processes for collecting, using and disclosing personal information.	100%	0%	0%	0%	64%
1.6 The agency use and disclosure of information is appropriate.	100%	0%	0%	0%	64%
1.7 Privacy breaches and complaints are managed effectively.	100%	0%	0%	0%	64%
2. Collection					
2.1 The agency identifies why it is collecting personal information.	86%	14%	0%	0%	64%
2.2 The agency provides a collection notice <sup>22</sup> to individuals from whom personal information is being collected.	29%	29%	0%	43%	64%
2.3 The agency has determined how much and the kind of personal information it needs to collect.	86%	14%	0%	0%	64%
2.4 The amount of personal information collected is no more than is necessary and relevant for the purpose for which it is required.	86%	14%	0%	0%	64%
2.5 The agency collects personal information lawfully and fairly.	100%	0%	0%	0%	64%

<sup>21</sup> From Schedule 3 of the *Information Privacy Act 2009*.

<sup>22</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.

## Section D - Compliance

### D.9 Detailed requirements for adoption of privacy principles <sup>23</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
	Y	IP	Id	N	
2. Collection (cont)					
2.6 The agency has taken steps to ensure the information collected is accurate.	100%	0%	0%	0%	55%
3. Security					
3.1 Personal information held by the agency is protected against unauthorised access, use, modification or disclosure.	100%	0%	0%	0%	55%
3.2 Personal information held by the agency is protected against loss or misuse.	100%	0%	0%	0%	55%
3.3 The agency has adopted physical, technical and administrative safeguards to protect personal information.	100%	0%	0%	0%	55%
3.4 Security safeguards are appropriate given the sensitivity of the information.	100%	0%	0%	0%	55%
3.5 Processes are in place to record access to electronic records and datasets containing personal information.	83%	0%	17%	0%	55%
3.6 Processes are in place to ensure that disposal of personal information does not allow unauthorised access.	100%	0%	0%	0%	55%
4. Accuracy					
4.1 Processes are in place for people to amend their personal information if it is incorrect.	100%	0%	0%	0%	55%
4.2 Processes are in place to record when and where key personal information was collected, including when it was updated.	83%	0%	17%	0%	55%

<sup>23</sup> From Schedule 3 of the *Information Privacy Act 2009*.

## Section D - Compliance

### D.9 Detailed requirements for adoption of privacy principles <sup>24</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
	Y	IP	Id	N	
5. Openness					
5.1 The agency makes information available about its personal information policies and procedures.	100%	0%	0%	0%	45%
5.2 The agency tells people why it collects, how it uses and when it discloses their personal information at the time of collection.	100%	0%	0%	0%	45%
5.3 There is a person that members of the public can contact about privacy issues.	100%	0%	0%	0%	45%
5.4 The agency tells people how they can access and amend their personal information.	100%	0%	0%	0%	45%
5.5 The agency provides details to the public of the categories of personal information it holds.	60%	0%	0%	40%	45%
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.	100%	0%	0%	0%	45%
6.2 The agency discloses information only where the person was advised when it was collected unless an exception in IPP11 or NPP2 applies.	100%	0%	0%	0%	45%
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.	40%	20%	20%	20%	45%

<sup>24</sup> From Schedule 3 of the *Information Privacy Act 2009*.

## Section D - Compliance

### D.9 Detailed requirements for adoption of privacy principles <sup>25</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
	Y	IP	Id	N	
7. Breach and complaints					
7.1 There is a documented process for managing privacy breaches and privacy complaints.	100%	0%	0%	0%	45%
7.2 This process is documented and available to agency officers.	80%	20%	0%	0%	45%
7.3 This process, or a version of it, is available to the public.	75%	25%	0%	0%	36%
7.4 Privacy complaint handling is timely and the complainants are generally satisfied with the response given.	80%	0%	0%	20%	45%
7.5 There is a clear process for complaint handlers to advise agency officers when practices that need changing are identified.	80%	0%	20%	0%	45%
7.6 There is a clear process to action identified changes.	60%	20%	20%	0%	45%
7.7 Identified reforms to agency processes have been implemented.	40%	40%	20%	0%	45%
7.8 There are no recurrences of privacy breaches.	50%	0%	0%	50%	36%

<sup>25</sup> From Schedule 3 of the *Information Privacy Act 2009*.