1. Gateway questions

The electronic audit instrument did not canvas comments in regards to the gateway questions.

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**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** |
| --- | --- |
| **1.** | **Open government** |
| 1.1 | The agency has a culture open to the release of information. |
|  | [Agency] complies with the Department’s Open data Strategy 2015-2019.  [Agency] core business information is personal information and therefore release of information is in accordance with the IP Act. [Agency] policies and procedures support this.  [Agency] manages [function].  As a commercial entity [Agency] has an obligation to protect commercially sensitive information while always seeking to ensure that the public interest is served. [Agency] proactively releases information to the public relating to our policies, operations.  Case by case consideration due to the nature of information sought to be released. [Agency] is bound by strict confidentiality requirements.  Council is currently in the process of improving data displayed on its website.  Drafting admin access policy.  In its role as a regulatory authority under the [Act reference], the agency is required to maintain a register of [agency-specific register] and to make this register available for inspection by the public.  No policy however process if formalised under the Act and implemented accordingly.  Open culture applies to the release of personal information to its subjects.  Open Data Strategy is in development. Much of [Agency] data is commercial in confidence.  Organisational consideration Council adopting Qld Government Open Data initiative.  Please note that [function] are exempt under the RTI Act [Act reference].  Please note that the Right to Information Act does not currently apply to [Agency].  RTI&P comms strategy, RTI&P training and support program, schedule for review of resources i.e. guides, fact sheets, policies, procedures. RTI&P is a 6 month standing item on Board of Management agenda. Director, RTI&P is a guest at Assistant DG and DDG exec management meetings.  Subject to student privacy.  This is encouraged where possible.  Through the Administrative Access Scheme.  Where appropriate.  Yes through Administrative release, publications and searches on website and using pro-disclosure bias when processing applications. |
| 1.2 | Agency policy frameworks describe how the community is to be included in development of policies affecting external operations. |
|  | [Agency] currently has no community service obligations.  [Agency] undertakes a range of community engagement strategies and activities as appropriate. The Communication Services Branch performs this role. In addition, policy and legislation functions routinely include community or stakeholder consultation processes.  Adopted Community Engagement Policy.  Community Consultation Processes are being codified.  Complaints policy and procedure, requiring [Agency] to receive, record, respond to and report on feedback. Identifies opportunities for improvement. All [Agency] web pages have a ‘Was this information useful’ facility for the provision of feedback.  Councillors are elected represent the view of community and policy on community engagement for local laws and other policies.  Council's Community Engagement Policy.  External and Community stakeholders on Advisory Council.  Given the rights of our stakeholders under the [Act reference], many external operations are legislated. We do however leverage [agency]'s Frameworks in conjunction with our own.  I note that all policies are to be approved during an open Council meeting. Need to consider whether that satisfies this question.  In accordance with government Higher Education policy development.  N/A. (2 agencies)  New Policy Framework adopted by Council - supporting documents inc. community and stakeholder engagement requirements under development.  No but due to nature of information sought under RTI. [Agency] is bound by strict confidentiality requirements.  Not applicable, do not have external operations.  Policy Framework completed in December 2015.  RTI policy is currently being considered as the agency is now permanent.  The agency's privacy policy does not contemplate that members of the public would be involved in the development of such policies.  This applies to service levels and Council's planning around asset management.  Through [Agency] Board members industry stakeholders.  Under review, Draft Strategic Communications Engagement Plan.  Where applicable. (2 agencies)  [web address] |
| 1.3 | The agency has a mechanism for identifying the information that its industry stakeholders would find useful, for example, a consultation strategy. |
|  | [Agency] has an Open Data Portal. [Office] has a stakeholder engagement strategy which includes reporting. Various business units within [Agency] have internal mechanisms i.e. client surveys, court networks, online complaint suggestions.  Adopted Community Engagement Policy and Guidelines.  As per A.1.1. (A1.1 - In its role as a regulatory authority under the [Act reference], the agency is required to maintain a register of [agency-specific register] and to make this register available for inspection by the public.)  Community Engagement Policy and above.  Community Engagement Statement on website.  Consumer and Community Engagement Strategy. Draft Version.  Drafting admin access policy.  Except State Gov. Requested data.  Informal.  [Agency] has established an Industry Reference Group with nominees of [agency] and [agency] to consult with private [business]. Website has a [name of webpage]'s page containing tools and resources. Also seek feedback through forums such as [name of forum] Forum.  N/A.  RTI policy is currently being considered as the agency is now permanent.  Sector consultation through [name of forum] in place. Reps from peak. |
| 1.3 | The agency has a mechanism for identifying the information that its industry stakeholders would find useful, for example, a consultation strategy. (cont) |
|  | The [Agency] works with stakeholders on any relevant information sought/ identified by the [Agency] as useful.  This is part of the [Agency] Open Data Strategy.  This process is led by the [business unit] who are responsible for development of Product Strategies.  Website analysis.  Website and Community Engagement Policy and Strategy.  Yes. Regular meetings and liaison with industry bodies. Also through surveys. |
| 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. |
|  | [Agency] seeks information from industry through its internal processes and ensures that we continue to respond to the needs of our industry stakeholders.  [Agency] works with stakeholders on any relevant information sought.  Annual Report.  As per A1.1. (A1.1 - In its role as a regulatory authority under the [Act reference], the agency is required to maintain a register of [agency-specific register] and to make this register available for inspection by the public.)  As per response to question 1.3. (A1.3 - [Agency] has established an Industry Reference Group with nominees of [agency] and [agency] to consult with private [business]. Website has a [name of webpage]'s page containing tools and resources. Also seek feedback through forums such as [name of forum] Forum.)  Business units within [Agency] have ongoing consultation with stakeholders i.e. client satisfaction surveys, newsletters, Twitter feeds, various IT networks and other electronic mechanisms.  Community Newsletter issued quarterly.  Drafting admin access policy.  Except State Gov. Requested data.  Have industry participation in provision of courses.  Informal.  N/A.  Not relevant.  Not seen as applicable to University sector.  RTI policy is currently being considered as the agency is now permanent.  See 1.2 above. (A1.2 - New Policy Framework adopted by Council - supporting documents inc. community and stakeholder engagement requirements under development.)  See comments for 1.3. (A1.3 - Sector consultation through [name of forum] in place. Reps from peak.)  This is part of the [Agency] Open Data Strategy and is an established process through the Open Data portal.  Through electronic, written and face to face channels e.g. website, [name of seminars] publication seminars.  Website analysis. |
| 1.5 | When developing RTI and IP policy, the agency conducts appropriate internal consultation, for example, with decision makers. |
|  | Appointed internal branch champions.  As the IP Act does not apply to [agency] and the RTI Act only has limited application, [agency] does not have a RTI and IP Policy. [agency] has a Privacy policy to meet its Privacy Act obligations.  Currently still using overarching policies from [agency].  For decisions yes. Do not have a RTI Policy.  [agency] outsources its RTI and IP coordination to the [agency].  Information Privacy Policy only. Currently no stand-alone RTI Policy.  I've not come across this yet but believe we would.  No specific RTI/IP Policy.  Note Council does not have a written RTI Policy.  Policies of the Association from time to time are developed in consultation with the [business unit]. |
| 1.5 | When developing RTI and IP policy, the agency conducts appropriate internal consultation, for example, with decision makers. (cont) |
|  | Policy and operational issues which impact on RTI &/or P are referred to the RTI&P Unit for consideration and comment. Each business unit has nominated contact officers for RTI&P issues who attend training and network meetings when convened by Director, RTI&P.  Policy development underway.  RTI and IP framework is currently being reviewed with key RTI and IP internal stakeholders.  RTI policy is currently being considered as the agency is now permanent.  Through leadership meetings.  Working groups were conducting. |
| 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). |
|  | As a tiny, remote Council, there are very few requests (if any).  Council records information in a register which identifies who submits and application.  Department of Transports' RTIPs database.  Informally only.  Most applications are from individual complainants.  No applications received. (5 agencies – various wording)  Only received one application.  Only small number of applications made.  Regions keep registers for RTI / IP /AAS requests.  RTI policy is currently being considered as the agency is now permanent.  [Agency] maintains a register of requests in which applicants are identified and the subject of their requests noted.  The agency has received only seven RTI/IP applications/purported applications from two applicants since July 2013.  The agency would do this if an RTI or IP application were made to it. The agency has not received any RTI or IP applications since 1 July 2013.  The Board records details of applications received where relevant in an excel spreadsheet.  The RTI and Privacy Unit have a data management system known as CMS which captures this type of data.  There are only a small number of applications each year. Most IP access requests are dealt with under the administrative access schemes.  There are varied types of persons seeking access to different types of information. Low number of applications renders it unnecessary to track.  This information is stored in our RTIPs application database.  Via RTIPs.  Volume of RTI applications is 1-2 per year. Have received no IP requests.  We don't specifically identify them as such for reporting purposes.  We have so few that a complicated process is not required. We can look at all cases in a moment.  Yes through RTIPS. |
| 1.7 | Over time, your agency has noticed an increase in diversity in the type of person seeking information.  *(If your agency has not received any RTI or IP applications please select "No" here.)* |
|  | A review indicates that the types of persons seeking information is consistently the same.  As some seven years have passed since the commencement of the RTI and IP Acts, the public have become much more aware of their right of access to government-held information. This is also based on portfolio responsibility which can change due to MOG changes.  Data not captured or reported on. No legislative requirement to do so. (6 agencies)  Fairly consistent - staff/students, journalists, law firms, lobby groups.  Increase in RTI consults from Journalists following flood events.  Mainly licensees or [agency-specific members of the community].  More government departments and community members.  No applications received. (6 agencies – various wording)  Not applicable. See 1.6. (A1.6 - There are varied types of persons seeking access to different types of information. Low number of applications renders it unnecessary to track.)  Numbers fluctuate when a specific trigger applies e.g. commission of inquiry.  Only aware of two applications made within last three years.  [agency] are now utilising [agency] RTI services.  [agency] has received only a very small number of RTI applications.  Small number of applications made since 2011. 16 total applications.  The only identifiable trend has been from ex-public servants from 2012-15 era.  Type of applicants remains consistent to previous years.  We have only received one RTI application.  We tend to get the same type of requests i.e. animal complaints, developments. |
| **2.** | **The agency actively manages its responsibilities through good governance** |
| 2.1 | RTI and IP implementation is managed or has been managed by governance mechanisms which provide for development (e.g. planning for implementation). |
|  | [Agency]’s Board of Management Committee.  Annual RTI and IP training is provided to staff via an OIC module.  Council had an action plan to implement actions at the commencement of the RTI and IP Acts.  N/A.  Neither the RTI Act or IP Act effectively apply to [agency].  Normal Risk Management and supervisory processes.  Privacy (not RTI and IT) implementation managed by appropriate governance mechanisms that provide for development.  RTI for [agency] is managed by [agency] including policy development.  RTI policy is currently being considered as the agency is now permanent.  The agency would do this if an RTI or IP application were made to it. The agency employs two lawyers who would be able to deal with RTI and IP issues. The agency has not received any RTI or IP applications since 1 July 2013.  Yearly internal branch champion meeting. |
| 2.2 | RTI and IP implementation is managed or has been managed by governance mechanisms which provide for implementation and accountability (e.g. identifying who is responsible for implementing actions and by when). |
|  | Council had an action plan to implement actions at the commencement of the RTI and IP Acts.  Decision Maker appointed and staff nominated to complete RTI/IP Applications.  However policy.  Informal consultation at facility level has occurred, regular orientation is provided.  Informal.  Internal branch champion feedback is actioned.  N/A.  Normal Risk Management and supervisory processes.  Privacy (not RTI and IT) implementation managed by appropriate governance mechanisms that provide for implementation and accountability.  RTI policy is currently being considered as the agency is now permanent.  RTI&P implementation continues to be managed through the Assistant DG, Strategic Policy and Legal Services and by the RTI&P Unit. The management is incorporated into the established governance mechanisms e.g. Information Management Committee and Board of Management.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The agency would do this if an RTI or IP application were made to it. The agency employs two lawyers who would be able to deal with RTI and IP issues. The agency has not received any RTI or IP applications since 1 July 2013.  There are two RTI officers appointed to the role.  Through delegation manual and reporting mechanisms KPI's. |
| 2.3 | RTI and IP implementation is managed or has been managed by governance mechanisms which provide for review (e.g. mechanisms for reporting on achievements). |
|  | Annual Achievements Report.  Any legislative amendments are noted and acted upon as they occur. Incorporated into position descriptions and annual reporting requirements. |
| 2.3 cont. | RTI and IP implementation is managed or has been managed by governance mechanisms which provide for review (e.g. mechanisms for reporting on achievements). |
|  | Governance reports.  Included as part of monthly Executive Performance Report.  N/A.  Normal Risk Management and supervisory processes.  Number of applications processed included in Annual Operation Plan.  Only through the annual return.  Privacy (not RTI and IT) implementation managed by appropriate governance mechanisms that provide for review.  Quarterly reporting.  Reporting to senior management KPI's.  Reports are provided to senior management where required.  RTI policy is currently being considered as the agency is now permanent.  RTI&P implementation continues to be managed through the Assistant DG, [business unit] and by the RTI&P Unit. The management is incorporated into the established governance mechanisms e.g. Information Management Committee and Board of Management.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The agency would do this if an RTI or IP application were made to it. The agency employs two lawyers who would be able to deal with RTI and IP issues. The agency has not received any RTI or IP applications since 1 July 2013.  Yearly internal branch champion meeting. |
| 2.4 | **Department only question.**  An executive level Information Champion is appointed, and active in the role.  (*This is only an issue for departments. GOCs, local governments and other agencies are not required to respond to this question*.) |
|  | Chief Information Officer. (6 agencies)  The Assistant Director-General, [business unit], to whom the RTI&P Unit reports, provides the Board of Management Committee with relevant reports as needed. |
| 2.5 | **Department only question.**  A formal information governance body is operating (as per QGEA guidelines).  (*This is only a requirement for departments. GOCs, local governments and other agencies are not required to respond to this question*.) |
|  | ICT Investment Strategy Committee. (2 agencies)  The Assistant Director-General, [business unit] participates on the Information Management Committee. |
| **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. |
|  | A statement is located at – [web address]  As a GOC, the Privacy Act 1988 (Commonwealth) (not the IP Act) applies to [agency]. The RTI Act has limited application to [agency] (only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)).  Currently updating our ROI intranet pages.  Drafting.  For IP only at this stage.  [web address]  [web address] and [web address]  [web address]  IM Procedure / External facing web pages.  In the process of improving our internet website for [agency].  Included on [agency]'s Internet RTI and Privacy pages.  Is part of Council's Public Information Security and Management General Policy.  Links to Queensland Government, [agency] Website for Access.  Local website currently in development so the [agency] is still relying on the [agency] website. |
| 3.1 cont. | 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. |
|  | On agency's website under Right to Information and in Privacy Plan on website.  Privacy Statement of Commitment.  Privacy Statement on website.  [agency] has processes for information requests due to the nature of our work.  Referring to [agency] policy documentation available on the [agency] website.  RTI policy is currently being considered as the agency is now permanent.  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  Statement of Affairs on website partially covers this.  Statement on website.  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation]. This policy is published on the agency's website.  The RTI statement is located on external website and resource kit in the intranet.  We have adopted and published policies for Access to Information and another for Information Privacy, available on Council's website.  Website.  Websites.  Yes, available on website. |
| 3.2 | The agency has an external communications strategy to ensure consumers and stakeholders are aware of their RTI rights. |
|  | A FAQ sheet under development.  Communication strategy applies to Privacy rights in relation to personal information.  Consumers and stakeholders are made aware of their RTI rights on external website.  Drafting.  Fact sheets are available and additional information published on Council's website. Training undertaken with Customer Service staff who deal with public.  [web address]  [web address]  In addition to the stand alone policies, we have information pages on website and a prominent link from the homepage.  In the process of improving our internet website for [agency].  Included on [agency]'s Internet RTI page.  Information on RTI&P is available on the following external websites: [web address], [web address], [web address]  Information on website.  Internet, intranet, brochures.  Links to Queensland Government, [agency] Website for Access.  On Council's website.  On website.  Publication Scheme, Privacy Statement of Commitment, Complaints Management procedure and Collection notices of all approved forms.  Refer website - privacy plan, website statement and privacy code of practice.  RTI policy is currently being considered as the agency is now permanent.  See 3.1 comments. (A3.1 - On agency's website under Right to Information and in Privacy Plan on website.)  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  Statement of Affairs on website partially covers this.  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation]. This policy is published on the agency's website.  There is not a formal strategy however communicating RTI Availability to community stakeholders is ongoing and there is an awareness to do so within the organisation.  [agency] does have a page on the Internet for RTI/IP. |
| 3.2 cont. | The agency has an external communications strategy to ensure consumers and stakeholders are aware of their RTI rights. |
|  | Website/s. (3 agencies)  Yes, available on website. |
| (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. |
|  | A review of policies, guidelines and procedures is planned for review in the next 12 months.  Council has an Information Privacy Plan. It does not have a written RTI policy.  Currently still using overarching policies from [agency].  Information management Framework remains in progress. RTI, IP and ROI procedures are in place.  IP Policy adopted. No stand-alone RTI Policy but incorporated in other Policies i.e. Procurement.  Only written Policy for IP at this stage.  Policies and procedures are implemented.  Policies are currently under review.  RTI policy is currently being considered as the agency is now permanent.  [agency]'s Policy and Procedure give effect to the Commonwealth Privacy regime, not the RTI and IP legislation. IP Act does not apply and RTI Act has a very limited application to [agency] (in relation to CSOs only).  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation]. This policy is published on the agency's website.  The following resources have been developed and are fully implemented: Factsheet on Drafting an IPP2 Notice; Example Privacy Clauses for Contracts; Information about application processing; Moving Office, Moving Information - Privacy Guideline.  The [agency] is a [agency] portfolio agency. It generally applies [agency] RTI/IP policies and procedures, subject to any necessary modification. The [agency] has also developed several of its own policies and procedures.  These are procedures included in template emails to decentralised internal branch champions. |
| 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). |
|  | Available on [agency] intranet site.  Available on the [agency] website and internal [agency] database.  Currently still using overarching policies from [agency].  Currently this info is on the outward facing site. Guidance information designed for staff only is in development.  [agency] follows [agency] policies and procedures.  Intranet and internet.  Intranet.  IP Plan implemented RTI Policy under review.  On intranet.  Only IP.  Relevant policies and procedures are available on our intranet and within our document management system, as part of the policy register.  RTI policy is currently being considered as the agency is now permanent.  RTI&P resources located on [agency]'s intranet: [web address]. Local policies/procedures available to RTI&P officers.  See above. (A3.3 - Council has an Information Privacy Plan. It does not have a written RTI policy.)  Staff can search the intranet for all written direction relating to RTI/IP.  [Agency]'s Privacy Policy, Publication Scheme and Disclosure Log are available publicly. [Agency]'s Privacy Procedure is available internally and available on request from external parties.  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation]. This policy is published on the agency's website. |
| 3.4 cont. | 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). |
|  | Workplace instructions. |
| 3.5 | RTI and IP policies are complete and easy to understand. |
|  | An Information access and amendment policy has been established. A policy/fact sheet is to be developed on the transfer of personal information overseas and binding contracted service providers.  Approved Privacy policy in place. A new Administrative Access policy completed and currently awaiting final approval. (6 agencies)  As the IP Act does not apply and RTI Act has very limited application, [agency] does not have specific RTI or IP policies. [agency] has a Privacy Policy and Procedure to give effect to its obligations under the Commonwealth Privacy legislation.  Currently still using overarching policies from [agency].  Intranet.  It has been identified that the agency's policy is due for review. This review has been commenced.  Mixture of policies and procedures.  Only IP.  Refer to [agency] documentation.  RTI policy is currently being considered as the agency is now permanent.  See 3.3. (A3.3 - IP Policy adopted. No stand-alone RTI Policy but incorporated in other Policies i.e. Procurement.)  See above. Council has a draft Open Data policy. (A3.3 - Council has an Information Privacy Plan. It does not have a written RTI policy.)  These Policies will be reviewed in line with the planned review date later this year.  Written in accordance with plain language drafting principles. |
| 3.6 | RTI and IP policies are reviewed on a regular basis. |
|  | Annually.  As the IP Act does not apply and RTI Act has very limited application, [agency] does not have specific RTI or IP policies. [agency] has a Privacy Policy and Procedure to give effect to its obligations under the Commonwealth Privacy legislation.  Currently still using overarching policies from [agency].  [agency] policies are reviewed regularly.  Every two years.  In process of being reviewed.  It has been identified that the agency's policy is due for review. This review has been commenced.  Mixture of policies and procedures.  Review mechanisms included in policies. Mostly annually or when legislative change demands.  RTI Audit 2015.  RTI policy is currently being considered as the agency is now permanent.  See 3.3. (A3.3 - IP Policy adopted. No stand-alone RTI Policy but incorporated in other Policies i.e. Procurement.)  See above. (A3.5 See above. Council has a draft Open Data policy. (A3.3 - Council has an Information Privacy Plan. It does not have a written RTI policy.))  The agency's RTI/IP procedure is due for review in 2016.  These Policies will be reviewed in line with the planned review date later this year.  They are reviewed as required.  Will be reviewed in 2016. |
| 3.7 | Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public. |
|  | As per the legislation.  [agency] Privacy Plan currently in draft awaiting sign off.  Covers all personal information, irrespective of whether to belongs to staff members or members of the public.  It has been identified that the agency's policy is due for review. This review has been commenced.  Legislation and privacy differs due to legislation of [agency]. |
| 3.7 cont. | Privacy policies apply to the information of officers, for example, personnel records, as well as to the information of the public. |
|  | The Board does not have staff. It is supported by the [agency] under [section of legislation]. |
| 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. |
|  | Believe Council has no contract with suppliers who provide services involving personal information.  By way of tender and general conditions of contact.  Clauses included in template contract documentations.  Clauses used in deeds and service agreements with suppliers. All templates have been approved for use by Legal Services team.  Contact templates on intranet or advice from legal services.  Contacts screened by [agency] Legal Services.  Currently reviewing this process and template standard contract privacy clauses.  Deeds of RTI and Privacy.  [Agency]'s RTI&P contact officers trained and directors and the executive are aware of the obligations to bind service providers to the 11 IPPs. Example Privacy Clauses for Contracts available on [agency] intranet.  [agency] Contracts are entered into with suppliers which have privacy provisions.  Haven't engaged previously with contractors of this kind.  Legal team assist in checking contracts.  N/A.  No contracts that involve personal information.  Per Procurement Guidelines.  Quarter 1 2016.  Standard wording and obligations included in all contracts/tenders.  The agency has regard to its privacy policy when entering into contracts with suppliers.  The [Agency] does not enter into contracts with suppliers. [Other agency] enters into contracts with suppliers on the Board's behalf.  The [agency] follows statutory and administrative requirements.  Unknown.  Use whole of government standard contract terms and conditions and contractor signs confidentiality agreement. |
| 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).  (*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*.) |
|  | Information asset register requires updating. |
| **4** | **Organisational structure and resourcing to the RTI and IP functions is appropriate** |
| 4.1 | Total RTI and IP The total number of staff and full time equivalent of the number of staff performing RTI and IP functions in your agency, including:  - all staff in a dedicated RTI/IP unit, and  - all other staff performing RTI and IP functions.  (For example, if three staff members work on RTI or IP functions at least part of their time enter 3 in the first box. If the first staff member works full time on RTI and IP, the second staff member works half of the time on RTI (this is 0.5 FTE) and the last staff member works only one day a week on IP (0.2 FTE) then the total FTE for the three staff members is 1 + 0.5 + 0.2 = 1.7).  a) Total number of staff (whole numbers).  b) Full-time equivalent (FTE) of the number of staff reported above. |
| (tot) | (Staff of the [agency]) [agency], on a fee for service basis, manages the [agency]'s function. Please see [agency] response.  11 x staff in RTI/IP Unit. 37 x RTI/IP liaison officers across the department.  2 staff are aware of the process but Council has had no applications.  2 x Office [business unit]; 1 x [business unit]; 15 x RTI&P Unit, [agency]. |
| 4.1 cont. | Total RTI and IP The total number of staff and full time equivalent of the number of staff performing RTI and IP functions in your agency, including:  - all staff in a dedicated RTI/IP unit, and  - all other staff performing RTI and IP functions.  (For example, if three staff members work on RTI or IP functions at least part of their time enter 3 in the first box. If the first staff member works full time on RTI and IP, the second staff member works half of the time on RTI (this is 0.5 FTE) and the last staff member works only one day a week on IP (0.2 FTE) then the total FTE for the three staff members is 1 + 0.5 + 0.2 = 1.7).  a) Total number of staff (whole numbers).  b) Full-time equivalent (FTE) of the number of staff reported above. |
| (tot) | 3 x RTI/IP staff and 2 x Internal Review.  All RTI, Privacy, Requests for information from other organisations and some administrative access requests are processed by the Records Management. Other admin access requests are processed by staff across [agency].  As the RTI Act has very limited application ([agency] is exempt except in so far as it relates to CSOs, of which we have none), we receive very few RTI requests.  Can't accurately answer as only approximately 12 applications annually, spread between 20 decision makers.  CEO is responsible.  Commissioner and Registrar (acronym).  Decision-makers. (2 agencies)  Delegated decision-makers.  Deputy CEO and Records Officer.  Does not include an external resource who would probably be 0.2 of an FTE, or other staff within the organisation from whom the core RTI and IP Personnel request information and assistance (e.g. IT, and/or communications).  Function is provided under SLA.  Functions undertaken by [agency] under MoU.  [Agency] has not had an RTI application since 2014.  Includes commissioner.  Legal, Records and HR/OD.  Manager.  No dedicated RTI/IP unit due to low numbers of applications.  No separate RTI unit.  One position currently vacant.  Only a small proportion of time allocated to RTI and IP.  Processing Admin Access need familiarity with RTI and IP.  [Agency] has moved to a model where [agency] facilitates the management of RTI for [agency. One person in [agency] acts as coordinating point for the searching of documents.  Records Officer.  RTI - 19, Business and Professional Services (Privacy, Disclosure Log and Publication Scheme) - 1. (6 agencies)  RTI/IP is managed by a team of four staff. Other than the FTE the team are responsible for corporate planning, performance management, governance projects, etc. The Manager Corporate Governance and GM Org Services spend 10% and 5% respectively.  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency].)  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address a RTI or IP application should one be made.  The agency has one dedicated RTI and IP officer and part-time support from another officer. Other staff in divisions assist in coordinating searches. Due to its WoG responsibilities, the agency has two [business unit] staff on [business] compliance and 10 [business unit] staff in RTI/IP.  The Board does not have staff. It is supported by [agency] under [section of legislation].  The Board has only one full time employee.  The Commission has <60 staff and has had no RTI or IP requests.  The [agency] Secretariat has seven staff (5.75 FTE). The Director and Assistant Director perform the RTI/IP functions. The Assistant Director is the RTI/IP officer.  The RTI and IP function is managed by [agency] on [agency]'s behalf. [agency] provides administrative assistance to [agency] relating to applications involving [agency]. |
| 4.1 cont. | Total RTI and IP The total number of staff and full time equivalent of the number of staff performing RTI and IP functions in your agency, including:  - all staff in a dedicated RTI/IP unit, and  - all other staff performing RTI and IP functions.  (For example, if three staff members work on RTI or IP functions at least part of their time enter 3 in the first box. If the first staff member works full time on RTI and IP, the second staff member works half of the time on RTI (this is 0.5 FTE) and the last staff member works only one day a week on IP (0.2 FTE) then the total FTE for the three staff members is 1 + 0.5 + 0.2 = 1.7).  a) Total number of staff (whole numbers).  b) Full-time equivalent (FTE) of the number of staff reported above. |
| (tot) | This is appointed RTI/IP Officers ONLY in the Records Management Unit. It is too difficult to ascertain what time all other staff members in departments spend undertaking searches, collating information etc. when an Application is received.  Three with a delegation to make decisions.  We are in the Records Department. RTI and IP are done on a needs be basis. |
| 4.1 cont. | Total RTI and IP The total number of staff and full time equivalent of the number of staff performing RTI and IP functions in your agency, including:  - all staff in a dedicated RTI/IP unit, and  - all other staff performing RTI and IP functions.  (For example, if three staff members work on RTI or IP functions at least part of their time enter 3 in the first box. If the first staff member works full time on RTI and IP, the second staff member works half of the time on RTI (this is 0.5 FTE) and the last staff member works only one day a week on IP (0.2 FTE) then the total FTE for the three staff members is 1 + 0.5 + 0.2 = 1.7).  a) Total number of staff (whole numbers).  b) Full-time equivalent (FTE) of the number of staff reported above. |
| (fte) | (Staff of the [agency]) [agency], on a fee for service basis, manages the [agency]'s function. Please see [agency] response.  0.5 + 0.5 + 1.0.  2-3 days per year.  A large number of casual works working for short time periods.  All business units within [agency] have identified officers who manage search requests, etc. and have an awareness of the RTI&P access application process.  Approx. Includes IP processing for [business information] etc.  As required.  Can change depending on response requirements.  Can't accurately answer as only approximately 12 applications annually, spread between 20 decision makers.  Council has not had a RTI or IP request since 2013. Officers are aware of RTI and IP requirements and monitor the situation.  Council has received no RTI or IP applications, therefor the only RTI or IP work is done with website updating, policy design etc.  Council rarely receives request for RTI.  FTE.  Functions delegated to Legal Counsel, Corporate lawyers and CFO.  Hours worked depends on number of RTI applications received and whether subject to internal or external review.  Negligible.  Only 11 staff work full time performing RTI/IP functions. The remaining 37 staff only perform these functions as a very small part of their duties.  Only one RTI application received.  Please note that these figures represent the total FTE allocation across all six departments serviced by the Corporate Partnership arrangements ([agency], ([agency], ([agency], ([agency], ([agency] and ([agency]). (6 agencies)  Possibly based previous 3 months 1 FTE.  Rarely required.  RTI - 19, Business and Professional Services (Privacy, Disclosure Log and Publication Scheme) - 1. (3 agencies) |
| 4.1 cont. | Total RTI and IP The total number of staff and full time equivalent of the number of staff performing RTI and IP functions in your agency, including:  - all staff in a dedicated RTI/IP unit, and  - all other staff performing RTI and IP functions.  (For example, if three staff members work on RTI or IP functions at least part of their time enter 3 in the first box. If the first staff member works full time on RTI and IP, the second staff member works half of the time on RTI (this is 0.5 FTE) and the last staff member works only one day a week on IP (0.2 FTE) then the total FTE for the three staff members is 1 + 0.5 + 0.2 = 1.7).  a) Total number of staff (whole numbers).  b) Full-time equivalent (FTE) of the number of staff reported above. |
| (fte) | See above. (A4.1 total - Functions undertaken by [other agency] under MoU.)  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency].)  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address a RTI or IP application should one be made.  The Board does not have staff. It is supported by [agency] under [section of legislation].  The RTI and IP function is managed by [other agency] on [agency]'s behalf. [agency] provides administrative assistance to [other agency] relating to applications involving [agency].  There are no full time staff. RTI/IP applications are very infrequent.  This is an estimate only as limited number of applications/purported applications received by the agency since July 2013. One in July 2013 and seven from the same applicant between October 2014 and December 2015.  Unable to estimate as receive limited RTI applications (no IP applications to date).  Very few applications received. Staff resources are freed up on an as needs basis to process applications.  Very few RTI Requests. External Solicitor services are utilized when required.  Very, very little time.  We calculate 15% between the two officers.  We rarely receive formal RTI and IP requests. |
| 4.2 | Split between RTI and IP and Other. Thinking only of the staff included in your answer to the previous question, please estimate the percentage of the total FTE time which is spent on RTI, IP and any other non-RTI/IP functions.  (Percentages must add to 100. If no time is spent on any function please enter “0”.)  (For example, with the previous 3 staff, if the first staff member works half the time on RTI and half on IP, the second half their time on RTI only and the third .2 on IP only, then  RTI = .5 + .5 FTE out of 3 FTE = 33%  IP = .5 + .2 FTE out of 3 FTE = 23%  Non RTI or IP = .5 + .8 FTE out of 3 FTE = 44% if other rounded up so % totals 100%)  - RTI  - IP  - Other functions |
| RTI | (Staff of the [agency]) [agency], on a fee for service basis, manages the [agency]'s functions. Please see [agency] response.  All matters are.  Can't accurately answer as only approximately 12 applications annually, spread between 20 decision makers.  Have only had a recent RTI request.  Legal/Records.  Little requirement due to low number of RTI.  Nil RTI applications to date.  No applications received.  No applications received. Legislative / policy development.  No RTI request since I commenced in this role in Feb 2013.  Only guess.  Only one RTI application received.  Percentage is less than one but only whole numbers were allowed.  Rarely receive RTI applications as core business relates to personal information.  RTI = Access and amendment. |
| RTI (cont) | RTI&P Unit - 100%; [business unit] - RTI 0.20, IP 0.05, Other Functions 9.75; [business unit] - extremely minimal.  See above. (A4.1 total - Functions undertaken by [other agency] under MoU.)  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency].)  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address an RTI or IP application should one be made.  The Board does not have staff. It is supported by [agency] under [section of legislation]. The Board has appointed one of its members as the RTI Officer and the Chair of the Board conducts any internal reviews.  The RTI and IP function is managed by [agency] on [agency]'s behalf. [Agency] provides administrative assistance to [agency] relating to applications involving [agency].  The time spent on RTI has generally related to training, compliance (including reviewing website and policies etc.) and reporting and auditing requirements.  This is an estimate only as limited number of applications/purported applications received by the agency since July 2013. One in July 2013 and seven from the same applicant between October 2014 and December 2015.  We only receive 1-2 RTI applications per year.  When an application is received it is dealt with along with our Records workload. |
| IP | Can't accurately answer as only approximately 12 applications annually, spread between 20 decision makers.  [Business unit] - RTI requests - depends on number and frequency, whether legal or administrative records involved, complexity and clarity of request, volume of records potentially in scope. cont'd...Usually involves: [position title], Exec Director and their Executive Secretaries, Manager, Finance and Business Services, Senior Records Officer, relevant PMB Manager if relates to administration records, relevant [position title], [position title] and [position title] for legal records.  Includes privacy functions.  IP = Privacy not including Access and amendment.  IP released under Administrative Assess where possible.  Nil.  No IP applications received.  No IP-related issues to address since commencing in role in Feb 2013.  Percentage is less than one but only whole numbers were allowed.  Policy development and legislative compliance.  Records/HR/Organisational Development.  Referred to [agency].  See above. (A4.1 total - Functions undertaken by [other agency] under MoU.)  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency].)  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address an RTI or IP application should one be made.  The Board does not have staff. It is supported by [agency] under [section of legislation]. The Board has appointed one of its members as the RTI Officer and the Chair of the Board conducts any internal reviews.  The RTI and IP function is managed by [other agency] on [agency]'s behalf. [Agency] provides administrative assistance to [other agency] relating to applications involving [agency].  The time spent on IP has generally related to training, compliance (including reviewing website and policies etc.) and reporting and auditing requirements.  This is an estimate only as limited number of applications/purported applications received by the agency since July 2013. One in July 2013 and seven from the same applicant between October 2014 and December 2015.  We have not received any IP applications at all. |
| oth | 1xInvestigation Officer 1xHR.  A PCO network of 25 regional officers is in place (part of their duties) and a Complaints Unit handles privacy complaints.  Can't accurately answer as only approximately 12 applications annually, spread between 20 decision makers.  Includes Admin Access and Notices to Provide from Government agencies.  Nil.  No RTI or IP requests received since the Commission's inception.  Only receive low numbers of applications.  Record keeping tasks.  Records Management. |
| oth  (cont) | Reference [business system], [business system], [business system].  RTI, IP, Requests for information duties are incorporated with other functions. Two officers are 50% and one officer is 80% handling the requests for information from other organisations, warrants and subpoenas.  See above. (A4.1 total - Functions undertaken by [other agency] under MoU.)  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency].)  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address an RTI or IP application should one be made.  The Board does not have staff. It is supported by [agency] under [section of legislation].  The RTI and IP function is managed by [agency] on [agency]'s behalf. [Agency] provides administrative assistance to [agency] relating to applications involving [agency].  This is an estimate only as limited number of applications/purported applications received by the agency since July 2013. One in July 2013 and seven from the same applicant between October 2014 and December 2015.  To be managed.  Unable to quantify due to small number of applications received. 16 since 2011. |
| 4.3 | Resourcing to IP and RTI functions is appropriate. |
|  | Adequate.  Given that the [agency] has 5.75 FTE staff and has not received any RTI/IP applications to date.  No formal assessment has been undertaken.  No policy but process.  Outsourced.  Redefined information management roles and this should be implemented in the next few weeks.  Resourcing is considered appropriate, however during times of increased workload other members of the team share the workload for the administration/decision-making responsibilities.  Review of work force planned for 2016.  [Agency] does not have a specific IP/RTI function. [Agency]'s internal legal team handle any RTI requests and [Agency]'s Privacy Officer is responsible for Commonwealth Privacy Act compliance, requests for personal information etc.  The 2013 change in legislation with the introduction of the disclosure log requirements has caused reprocessing pressures. (6 agencies)  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address a RTI or IP application should one be made.  The Board does not have staff. It is supported by [agency] under [section of legislation].  Unfortunately one of our decision makers is on long-term leave so we are currently filling a temporary position. |
| 4.4 | **Department only question.**  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*.) |
|  | No comments |
| 4.5 | RTI and IP functions are independent of media and communications. |
|  | CEO has charge of both media and RTI and IP functions.  Chief Executive carries responsibility for both functions.  Outsourced.  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address a RTI or IP application should one be made. |
| 4.6 | RTI and IP functions report as closely as possible to the DG/CEO. |
|  | 2 levels below Vice Chancellor (Chief Exec equivalent).  Changes made to where RTI reports to Manager, General Manager through to CEO however communication channel open to RTI officer to go to CEO.  Director, RTI&P reports to Assistant DG, Strategic Policy and Legal Services as and when required re RTI&P matters of a topical/confidential nature. A weekly RTI&P report is prepared and submitted to DG and Assistant DG, Strategic Policy and Legal Services for info.  Governance Manager reports direct to CEO. |
| 4.6 cont | RTI and IP functions report as closely as possible to the DG/CEO. |
|  | IP/RTI officer reports directly to CEO.  Report to Manager Knowledge and Systems.  RTI and IP functions report as closely as possible to the Chair of the Board.  RTI/IP function sits within the Corporate Governance Group in the Organisational Services Department and is considered appropriate in context of overall structure of Council.  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address a RTI or IP application should one be made. Those lawyers would report to the [business unit].  The Director-General is kept informed whilst maintaining the independence of the decision-makers. This is consistent with the OIC Ministerial Briefing Protocol. (6 agencies)  The same person.  Works independently and consults when required. |
| 4.7 | Agency administrative delegations for RTI handling and IP handling are up to date. |
|  | Currently being reviewed.  Currently reviewing the Instrument of Appointment Delegations.  Delegations are reviewed annually unless deemed necessary at other times i.e. new decision-maker.  No delegations in place.  RTI-IP officer has just left the business, new officer being appointed.  The agency has not received any RTI or IP applications since 1 July 2013. However, it has been identified that the delegations of the Association in general are in need of review. This review has commenced.  Under review.  Updated November 2015, further update in progress as part of ongoing review. |
| 4.8 | There is a clear authorisation process for agency staff to assess and approve information for public release. |
|  | A 'Publications Scheme Approval Policy' and 'Approval to Publish' form used in [Agency] for public release of info on internet, including publication scheme material. A clear authorisation process is in place re publication of released docs in disc. log.  Clearance required from CEO.  Delegated from Board.  Informal.  Information asset register - through Data Custodian.  No policy / but a process.  Publication on the disclosure log has an approval process, however we will liaise with agency staff with a view to ensuring a process is in place for other publications.  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency].)  Supported by in house legal.  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation]. This policy is published on the agency's website.  The Board does not have staff. It is supported by [agency] under [section of legislation].  Web publishing process.  Website processes, media releases, admin release etc. |
| 4.9 | The Principal Officer has appropriately delegated authority to deal with RTI and IP applications.  *(If no or few RTI and IP applications are received and the applications are dealt with by the Principal Officer answer this question ‘Yes’.)* |
|  | [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response.  The agency has not received any RTI or IP applications since 1 July 2013. However, it has been identified that the delegations of the [agency] in general are in need of review. This review has commenced.  The Board has appointed an RTI/IP Officer. Previous delegations to the RTI/IP Officer are currently being reviewed. |
| 4.10 | Roles and responsibilities of the Principal Officer or the Principal Officer’s delegates are clearly defined. |
|  | [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response.  In delegation Manual.  Informal.  Policies are being reviewed, with more defined roles for officers.  Principal Officer in Corporate is Chief Information Officer. General Managers are the Principal Officers in regions. Formal delegation to principal officers to be addressed.  The agency has not received any RTI or IP applications since 1 July 2013. However, it has been identified that the delegations of the [agency] in general are in need of review. This review has commenced. |
| 4.11 | There is a person who has responsibility for maintaining a system of recording, tracking and monitoring applications and reviews, as needed.  *(If your agency has not received any RTI or IP applications please select ‘Yes’ here.)* |
|  | Delegated officers.  [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response.  Formal register being implemented to complement existing process.  RTI/IP Coordinator.  RTI/Privacy Officer.  RTIPs database.  The RTI&P Unit, [Agency] use the Contact Management System and eDocs. |
| 4.12 | Internal reviews are conducted or would be conducted by an officer different to the officer who made the reviewable decision.  *(If your agency has not received any internal review applications please select "Yes" here.)* |
|  | As no delegation - No internal reviews.  [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response.  N/A.  Principle Officer is CEO. No internal review is available as above.  Registrar.  These would go to [Agency]. |
| 4.13 | Any officer conducting internal reviews is at least the same level or more senior to the officer who made the reviewable decision.  *(If your agency has not received any internal review applications please select "Yes" here.)* |
|  | A decision-maker at a higher level undertakes any internal review applications.  As no delegation. No internal reviews.  [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response.  More senior.  N/A.  Usually higher (the Manager RTI/IP). |
| 4.14 | The agency can meet requirements to report on RTI and IP statistics. |
|  | Data is captured within our RTIPs database and reports extracted to compile annual returns and internal reporting.  [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response.  Rtips database.  The agency has not received any RTI or IP applications since 1 July 2013.  Through RTIPS. |
| 4.15 | The agency uses redaction technologies or would use redaction technologies as needed 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.)  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | Adobe Pro - require better application for whole process as redacting, placing text boxes with Document Nos, Headers/Footers etc. is VERY time consuming. Staff required to save all docs individually as PDF in date order so 'story' is chronological for assessing.  Adobe pro and Redax.  Adobe Pro is utilised for this purpose.  [Other agency], on a fee for service basis, manages the functions of the [agency]. Please see [other agency] response. |
| 4.15 cont | The agency uses redaction technologies or would use redaction technologies as needed 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.)  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | Due to the small number of applications received by the Board, the Board uses 'post-it' notes to block out material not to be released. Once the material is blocked out, the document to be released is copied and provided to the applicant.  Manual technique only.  Redaction technology (Redax) has been used for RTI/IP for a number of years.  Small number of applications processed annually.  Solicitor redacts documents.  Use external resource to do this due to low numbers of applications received.  We refer this to [agency] - RTI services.  We use the Redact-it program and provides a really good summary of what has been redacted. |
| **5** | **Training** |
| 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. |
|  | Additional 81 that undertook training between 17/11/14 and 31/01/15, as the online training module was released on 17/11/14 and remains available for staff access.  All staff annually.  All staff have undertaken RTI/IP training within the last 12 months.  All staff participate in basic RTI and IP training every two years.  All staff undertake online training.  Almost all new executive in past 12 months.  An email with a link to the OIC online awareness training is sent to all managers encourage staff to undertake the training.  Another staff member signed up to undertake training with the OIC but the course was oversubscribed.  Arranged for in house training as we found it very hard to make it into the city.  As at 31 January 2016, 1238 staff had completed the department's online information privacy training. 294 [Agency] staff received PCI training in 2015.  Compulsory annual all staff RTI, IP and AAS training. 2xRTI&IP staff attend RTI&IP forms and training in 2015.  Governance Manager has commenced online training through OIC Portal.  Induction training and 12 month refresher training.  Intake of new customer services officers are trained in the basics of RTI/IP as part of their training program. One decision-maker attended Fast Track Negotiation Skills, online OIC Info Privacy and internal staff trained also.  Keep updated via website and online. Distance to attend too great.  Mandatory RTI and IP training was rolled out to all [Agency] staff in late 2015. All staff have completed training.  New staff training also RTI staff attend workshops, forums and webinars when available and send reminder email about their obligations under RTI/IP. Had RTI/IP morning tea for RTI Day to promote RTI.  OIC came to [region] for RTI Day and done presentations in person and via tele and video conference.  [Agency] has an online information privacy module.  Regular training to be implemented and included in induction for new staff. Has been training in past.  RTI and IP training included in induction modules (Data not captured or reported on). (common comment six agencies)  RTI is focused on during a 30 minute monthly session at [Agency] new starter orientation sessions. This figure is current from April 2015 - January 2016.  RTI officer has had formal training.  RTI policy is currently being considered as the agency is now permanent.  RTI/IP awareness is included in Council's Supervisors training.  See comment to question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [Agency]  The agency has not received any RTI or IP applications since 1 July 2013. However, the agency employs two lawyers who would be able to address a RTI or IP application should one be made.  The Board does not have staff. It is supported by [Agency] under [legislative reference]  The RTI and IP function is managed by [other agency] on [Agency]'s behalf. [Agency] provides administrative assistance to [other agency] relating to applications involving [Agency].  This information is not systemically collected at the present time. However, officers attend training on an ongoing basis. Some business units have been able to supply this information.  Toolbox Talk (Take 5).  Training by Megan Carter.  Training embedded in HR PD Program. Small number of staff may have completed OIC online course. Numbers unknown.  Training sessions have been conducted for existing staff and all new staff are provided information at mandatory Orientation. |
| 5.2 | Agency staff are trained as to their level of authority to release information administratively. |
|  | AA Policy and Guidelines.  Administrative Access policy completed and currently awaiting final approval. (common comment six agencies)  Agency staff are encouraged to contact the RTI officer prior to releasing information administratively.  Always seek legal advice.  Any staff enquiries are directed to the Decision Maker.  Awareness information/training on the administrative release of information is yet to be rolled out across the department.  Code of conduct training.  Dealt with by RTI Officer. As a University vast majority released as a matter of course.  In addition to the internet and other traditional release mechanisms, Information is provided administratively in a range of different ways by [agency]. Customer Services staff identify and refer relevant non-Administrative requests to the RTI Coordinator.  Info on [agency] intranet and internet. Other access decisions are generally devolved to heads of business units e.g. [position title], Regional Managers. Other access may be provided for by way of MOUs. It should be noted that Evolve training is not level oriented.  Information Sheets being created.  Made generally aware of obligations.  Managed by delegated decision-makers and Manager (Corporate Records).  N/A.  Services provided under SLA.  Sessions offered at Orientation and Administration Forums, staff turnover and training of new staff is ongoing.  Staff liaise with officers of the RTI/IP team. Administrative access has been researched however not yet progressed.  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation cited]. This policy is published on the agency's website.  The Board does not have staff. It is supported by [agency] under [section of legislation cited].  This is not formal/documented training. It is done at a department level with oversight by the Manager.  This would come through legal section who would give advice. |
| 5.3 | The agency has procedures in place to ensure new/existing staff are given appropriate training/awareness raising in relation to RTI and IP obligations. |
|  | All new staff complete RTI and IP training.  All new staff receive training within induction training at commencement of employment. Key staff across Council have been trained to assist in locating documents in response to requests.  Annual training and induction.  As the IP Act does not apply and RTI Act has very limited application, [agency] does not have specific RTI or IP policies. [Agency’s] Commonwealth Privacy Policy is mentioned in induction training (see 5.4).  Clause on lawful collection and handling of personal information under RTI/IPA included in Code of Conduct.  Code of conduct training.  Delivered through HR PD Program.  Given OIC training.  Inclusion of RTI toolkit in Induction material.  Induction.  Inductions.  Mandatory RTI&P online training module on Evolve - linked to OIC online courses. RTI&P training included as part of business units' induction process. Face-to-face RTI&P training, including search officer training, offered to [agency] staff throughout State.  Online and induction training.  Quarterly RTI and IP awareness sessions.  RTI and Privacy awareness training, intranet resources and other communication initiatives have been developed. (common comment six agencies)  The agency has a privacy policy which describes how the agency will collect, deal with and release information, including in its capacity as a regulatory authority under the [legislation cited]. This policy is published on the agency's website.  The Board does not have staff. It is supported by [agency] under [section of legislation cited].  There have been no new staff.  Training to be created for staff.  We have online staff training.  Yes in regard to IP. No formal training/awareness regarding RTI. This has been identified as an issue. |
| 5.4 | RTI and IP are mentioned in induction. |
|  | All corporate policies are referenced.  All new staff complete RTI and IP training.  As above. (5.3 There have been no new staff.)  AS part of the recordkeeping training. |
| 5.4 cont | RTI and IP are mentioned in induction. |
|  | Code of conduct training.  Included in new Induction Program scheduled for release in Feb 2016.  IP is mentioned but RTI is not. This has been identified as an issue.  It has been identified that the agency's induction policies are in need of review. This review has commenced.  Mandatory RTI&P online training module on Evolve - linked to OIC online courses. RTI&P training is included as part of business unit's induction process. Face-to-face RTI&P training offered to [agency] staff throughout the State. Delivered by RTI&P Unit.  Mentioned in Governance staff induction.  New staff are required to complete [agency] online RTI/IP training module.  No.  Online training module for staff handling PI.  Provision are contain within Council's code of conduct which are provided during employee inductions.  RTI and Privacy material included in induction material.  See 5.3. [Agency]'s Privacy Policy is mentioned in the Code of Conduct induction training which all new employees and long-term contractors must complete.  See comment to question 2.1. (2.1 Neither the RTI Act or IP Act effectively apply to [agency].)  The Board does not have staff. It is supported by [agency] under [section of legislation cited].  Training to be created for staff. |
| 5.5 | Training for RTI and IP staff with respect to the RTI and IP functions is effective. |
|  | A range of strategies used to train decision-makers, including: fortnightly decision-maker meetings within RTI&P Unit; senior decision-makers mentoring junior decision-makers; in-house workshops run by Director, RTI&P on aspects of RTI&P decision-making.  Agency staff have regard to the Association's privacy policy when dealing with information.  As above. (5.3 There have been no new staff.)  How is this measured?  Need a face to face training option from the OIC as not online not as effective.  Staff attend external training and forums.  The Board does not have staff. It is supported by [agency] under [section of legislation cited].  Training to be created for staff.  When it occurs. Usually one-on-one as need arises.  Would like to see more full day courses from the OIC. Hard to come into the city for 2-3 hours. |
| 5.6 | General staff training in RTI and IP is effective. |
|  | A program of work for the delivery of RTI&P training across [agency] is managed by the RTI&P Unit.  Agency staff have regard to the [agency]'s privacy policy when dealing with information.  Current training through the induction process is deemed sufficient.  General staff training in RTI/IP is available online and through induction. Further privacy and RTI awareness programs to be developed and implemented.  How is this measured?  More training and induction package under creation.  No General Staff Training.  OIC online awareness training.  Recent training effectiveness yet to be determined.  Relatively low attendance. Mainly new staff. Currently exploring alternative options such as in-house online delivery.  RTI Day, PAWS.  Sessions offered at Orientation and Administration Forums, staff turnover and training of new staff is ongoing.  The Board does not have staff. It is supported by [agency] under [section of legislation cited].  There are no specific assessment arrangements in place.  When it occurs. Usually one-on-one as need arises.  Would like additional training for current staff.  Yes for IP. No for RTI. This has been identified as an issue.  Yes for RTI. In progress for IP. |

**Section B - Accountability requirements [[1]](#footnote-1)**

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

|  | **Criteria Question** |
| --- | --- |
| 1. | Complaint handling procedures capture opportunities for improvement in RTI and IP functions. |
|  | A close relationship exists between the Department Liaison Officer and Privacy and RTI Unit.  Client Complaint Management Procedures and Client Complaint Management Policy - implements the Public Service Commission's Directive 13/06 Complaints Management Systems in [agency].  Complaint handling procedures captures opportunities for across the board business improvements including RTI/IP but not specifically RTI-IP.  Complaints are dealt with by another Division.  Complaints handling through existing Customer Request System.  Currently finalising Privacy Complaint procedures in conjunction with our [business system cited].  Feedback link on web pages.  If a potential privacy breach is discovered RTI/IP unit alert divisions and advise of ways to change procedures or to remind staff of best practice guidelines.  Incorporated in Administrative Complaints Policy and procedures.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none).  No complaints about the Commission or its staff have been received since its inception.  No complaints received.  No procedures.  Not application due to the number of formal RTI applications.  [Agency]'s Client Feedback Policy v5.0 was approved in October 2015. Client feedback forms are available on [Agency]'s website as is the process of how to lodge feedback/complaint.  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  There have been no RTI or IP complaints.  To date, no RTI/IP applications have been received. To date, no complaints have been received.  Under review.  We have hardly any activity in either RTI or IP. We don't need complex systems. |
| 2. | Opportunities for improvement in RTI and IP functions are recorded and actions on them are tracked. |
|  | As part of [business system] operational planning.  Have tracking in Microsoft word and documents are saved as new versions.  If a result of internal audit.  If identified action is taken.  Informal.  Internal Audit review of RTI/IP function was undertaken and improvements suggested and implemented. Further reviews are possible.  N/A as the IP Act does not apply to [Agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none).  No current audits in place.  No feedback has been received. See comment to question 2.1. (Neither the RTI Act or IP Act effectively apply to [Agency].)  Not application due to the number of formal RTI applications.  Per Complaints Register.  Recommendations made to business units where a Privacy breach has occurred or a Privacy complaint investigated.  RTA has internal systems and procedures for reviewing the effectiveness of RTI and IP functions. These are registered and improvements made accordingly.  See above. (B1 No complaints received.).  Similar to complaints process.  Tend to be implemented at the time they are identified, rather than tracked.  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  Usually happens as soon as identified.  We have hardly any activity in either RTI or IP. We don't need complex systems.  Where actions are identified existing governance mechanisms provide tracking.  Where improvements are found implemented by RTI and IP officer but not tracked to date. |
| 3. | Opportunities for improvement are actioned and result in improvements to systems for the release of information or information privacy. |
|  | Any necessary improvements are undertaken as required and changes to documents are recorded in an excel spreadsheet.  Applicant survey and yearly internal user meeting.  As above. (B2 If identified action is taken.)  Continuous improvement.  Currently developing client feedback survey and collection of statistics to inform continuous process improvements and to maintain currency of [agency]'s publication and administration access schemes.  [agency]’s complaint management policy provides for the identification of areas for improvement. Therefore, improvements will be ongoing and actioned as identified.  Improvements have been identified and policies are currently under review.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none). However, [agency]'s Commonwealth Privacy Policy and/or Procedure are updated as required.  Not application due to the number of formal RTI applications.  Opportunities for improvement would be actioned when necessary.  See 2 above. (B2 Per Complaints Register.)  See 2. (B2 As part of [business system] operational planning.)  See above. (B1 No complaints received.)  See comments above. (B2 [agency] has internal systems and procedures for reviewing the effectiveness of RTI and IP functions. These are registered and improvements made accordingly.)  See comments to question B2. (B2 2.1 Neither the RTI Act or IP Act effectively apply to [agency].)  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  This can be through Customer Request.  We have hardly any activity in either RTI or IP. We don't need complex systems |
| 4. | The agency has internal systems and procedures for reviewing the effectiveness of the RTI and IP functions. |
|  | All [agency] policies and procedures are reviewed annually.  Applicant survey and yearly internal user meeting.  Excel spreadsheet documenting necessary and required amendments resulting from reviews of the effectiveness of RTI/IP functions.  Includes regular monitoring of legislative updates and decisions to ensure application processing, providing advice and guidance are in line with [agency]'s legal obligations under the RTI and IP Acts. Subscriptions and attendance to relevant training and forums.  Internal Audit.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none). However, [agency] has internal systems and procedures for reviewing the effectiveness of its Privacy function.  No formal systems. Addressed through operational review activities.  Ongoing review of effectiveness continue within the RTI/IP team.  Periodic review as part of Internal audit program.  Regular case management meetings held with decision-makers in RTI&P Unit. Weekly reports to DG and Assistant DGs. Director and officers within RTI&P Unit. Performance Effectiveness Plans.  See comments above. (B2 RTA has internal systems and procedures for reviewing the effectiveness of RTI and IP functions. These are registered and improvements made accordingly.)  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  We are guided by [agency]’s - RTI services.  We have hardly any activity in either RTI or IP. We don't need complex systems. |
| 5. | Review and reporting mechanisms on the effectiveness of the RTI and IP functions are embedded at all levels of the organisation. |
|  | All statutory timelines being met.  As part of our policy reviews.  Complete a three monthly audit, on functions and organisational knowledge.  Currently developing annual organisational annual review and survey to ensure publication and administrative access schemes are up to date. Increasing organisational awareness via FAQs, regular alerts e.g. case study on application reviews/OIC decisions.  [Agency], on a fee for service basis, manages the functions of the [agency]. Please see [agency] response. (B5 [Agency]'s RTI&P Unit regularly send out client satisfaction surveys to clients. Included in Business Plans. Information and formal reporting to management.)  [Agency]'s RTI&P Unit regularly send out client satisfaction surveys to clients. Included in Business Plans. Information and formal reporting to management.  Further review and reporting mechanisms are to be established. |
| 5. cont | Review and reporting mechanisms on the effectiveness of the RTI and IP functions are embedded at all levels of the organisation. |
|  | KPIs on applications are reported to the Group Manager Corporate Governance and GM Organisational Services on a monthly basis.  Management.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none).  Only at level of RTI officer and relevant committees, if applicable.  Regular ongoing reports to Executive and CE.  See comment to question 2.1. (2.1 Neither the RTI Act or IP Act effectively apply to [agency].)  See comments above. (B2 [agency] has internal systems and procedures for reviewing the effectiveness of RTI and IP functions. These are registered and improvements made accordingly.)  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  We have hardly any activity in either RTI or IP. We don't need complex systems. |
| 6. | Performance measurement for the RTI functions across the agency is in place.  *(If ‘No’ or ‘Identified’ questions B8 and B9 are skipped)* |
|  | An excel spreadsheet: Reform Implementation Tracking Log is used to measure implementation of the RTI functions.  Benchmarking has been implemented in [agency]'s RTI&P Unit (around decision-making time frames).  [Agency], on a fee for service basis, manages the functions of the [Agency]. Please see [Agency] response. (B6 Benchmarking has been implemented in [Agency]'s RTI&P Unit (around decision-making time frames).)  Established KPI's in place.  In accordance with OIC requirements.  Limited number of RTI applications/purported applications received by the agency since July 2013.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none).  N/A we only receive 1-2 RTI's per year.  Not justified for size of organisation.  Not required.  Only at level of RTI and Internal Review Officer.  Reporting is done on a monthly basis to management.  [Agency]’s RTI Reforms project in 2009 defined and implemented KPI's.  See comment to question 2.1. (2.1 Neither the RTI Act or IP Act effectively apply to [agency].).  Statutory requirements being met.  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  Twice yearly audit is conducted.  Under review.  We have hardly any activity in either RTI or IP. We don't need complex systems.  Will be implemented by 30 April 2016.  Worksheet capture response times. |
| 7. | Performance measurement for the IP functions across the agency is in place.  *(If ‘No’ or ‘Identified’ questions B10 and B11 are skipped)* |
|  | An excel spreadsheet: Reform Implementation Tracking Log is used to measure implementation of the IP functions.  Benchmarking has been implemented in [agency]'s RTI&P Unit (around decision-making time frames).  [Agency], on a fee for service basis, manages the functions of the [Agency]. Please see [agency] response. (B7 Benchmarking has been implemented in [agency]'s RTI&P Unit (around decision-making time frames).)  Further strategies are to be developed to measure IP function performance.  Limited number of IP applications/purported applications received by the agency since July 2013.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none).  N/A we have no received any IP applications.  Not justified for size of organisation.  Only at level of RTI and Internal Review Officer.  Reporting is done on a monthly basis to management.  See comment to question 2.1. (2.1 Neither the RTI Act or IP Act effectively apply to [agency].)  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  Under review.  We have hardly any activity in either RTI or IP. We don't need complex systems.  Will be implemented by 30 April 2016.  Worksheet capture response times |
| 8. | Performance measurement for the RTI functions across the agency is used. |
|  | An excel spreadsheet: Reform Implementation Tracking Log is used to measure implementation of the RTI functions.  OIC self desk top audit utilised.  Only one in three years.  Reporting is done on a monthly basis to management.  Will be implemented by 30 April 2016.  Worksheet capture response times. |
| 9. | Performance measurement for the RTI functions across the agency is useful. |
|  | An excel spreadsheet: Reform Implementation Tracking Log is used to measure implementation of the RTI functions.  Provide management showing legislative compliance with time frames for decisions have been met.  To processing staff.  Will be implemented by 30 April 2016.  Worksheet capture response times. |
| 10. | Performance measurement for the IP functions across the agency is used. |
|  | An excel spreadsheet: Reform Implementation Tracking Log is used to measure implementation of the IP functions.  Annual reviews scheduled.  No IP's received.  None.  OIC self desk top audit utilised.  Reporting is done on a monthly basis to management.  Will be implemented by 30 April 2016.  Worksheet capture response times. |
| 11. | Performance measurement for the IP functions across the agency is useful. |
|  | An excel spreadsheet: Reform Implementation Tracking Log is used to measure implementation of the IP functions.  Annual reviews scheduled.  Further strategies are to be developed to measure IP function performance.  No IP's received.  Provide management showing legislative compliance with time frames for decisions have been met.  To processing staff.  Will be implemented by 30 April 2016.  Worksheet capture response times. |

**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.)**

|  | **Criteria Question** |
| --- | --- |
| 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). |
|  | Additional information has been placed on [agency]'s website but most of [agency]'s core business involves personal information and is not suitable to being publicly available.  Additional information has been released through the open data initiative.  Annual Reporting.  As a University always producing information and as University grows, volume of information grows.  Complaints handling procedure, administrative access scheme and collection notices added to all approved forms.  Data continues to be uploaded onto Open Data Portal. Released docs are considered for uploading onto disclosure log. [agency] documents continue to be uploaded onto Publication Scheme. The WoG franchise website - information continues to be uploaded.  Datasets available to the public more fact sheets media releases, improvements to the annual report.  [agency web address]  In its role as a regulatory authority under the [legislation], the agency is required to maintain a register of [business information] and to make this register available for inspection by the public.  Much of the information already available on the website and Publication Scheme provides a link.  Open Data Strategy is under review.  There is a focus in making information readily available on the [agency] website and through the open data portal.  Unknown.  Use of federal open data website.  We have undertaken a review and identified more information, now published, in line with a previous review undertaken by the OIC.  Website - RTI Link.  Website upgrade currently underway. |
| 2. | More information is continuously being made available via the publication scheme. |
|  | As a University always producing information and as University grows, volume of information grows.  As necessary.  Currently revising our Publication Scheme with new online information officer.  Currently undergoing website upgrade.  Do not have a publication scheme.  [agency] releases information regularly on its website but does not yet have a formal publication scheme.  In its role as a regulatory authority under the [legislation], the agency is required to maintain a register of [business information] and to make this register available for inspection by the public.  Information is published on the agency website but not under the heading of publication scheme.  Information is released administratively through the [agency] website and datasets.  Publications, fact sheets for particular functions.  Review yearly, updated as required.  The agency's publication scheme has been established and work is underway to publish more documentation under this scheme.  The Publication Scheme requires publication of classes of information holdings in the same way as the former Statement of Affairs. The Publication Scheme allows the capacity to publish actual information which was not possible with Statement of Affairs.  Unknown. Publication scheme managed by Media division.  We often review the website to ensure the publication scheme is current. |
| 3. | **Department only question.**  Using the Information Asset Register as a guide, the agency has achieved maximum disclosure of publishable information assets.  (*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*.) |
|  | Information Asset Register is under review.  Via the Open Data Portal. |

**Section D - Compliance**

**D.1 Detailed questions about active management of agency responsibilities**[[2]](#footnote-2)

**(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.)**

|  | **Criteria Question** |
| --- | --- |
| **1.** | **Active management of responsibilities – managing the process** |
| **1.1** | **Searches** |
| 1. | How often is overall sufficiency of search raised as an issue by applicants.  (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.)  *(If your agency has not received any RTI or IP internal or external review applications please select "Rarely" here.)* |
|  | Although time consuming to ensure search sufficiency.  Depends what 'sometimes' and 'rarely' means - not very often.  Difficulties occur as some documents are not located information management system and desktops.  Has never been raised.  Never.  Nil applications to date.  No applications.  No external or internal reviews requested.  No reviews for sufficiency of search.  No RTI/IP applications have been received.  Sufficiency of search data is not collected. However, a review of recent files indicates that it is not a usual ground for review.  There has been an instance within the last 12 months, resulting in an internal review and additional documents located. Officers who were involved in the searches were advised and informed of the importance of undertaking thorough searches in future.  To date this has not been raised.  To date, no RTI/IP applications have been received. |
| 2. | How often are additional documents located during external review.  *(If your agency has not received any RTI or IP external review applications please select “Rarely” here.)* |
|  | Depends what 'sometimes' and 'rarely' means. Not very often.  Haven't had an external review in previous two years seeking searching of additional documents.  N/A.  Never.  Nil applications to date.  No applications.  No external reviews received.  No external reviews to date.  No information has been released under RTI/IP as no applications have been received.  Not applicable.  Occasionally additional documents are located, however these are due to scope changes and communication between OIC and applicant where additional pages are provided.  Only had two external reviews and no extra documents were sourced.  See 1.1.1. (1.1.1 No reviews for sufficiency of search.)  To date, no RTI/IP applications have been received.  We haven't had a formal external review yet. |
| 3. | What is the level of satisfaction by the RTI Unit or decision maker with documentation received from other staff.  *(If your agency has not received any RTI or IP applications please select "High" here.)* |
|  | Continued education of internal branch champions.  Have been told that we should not see classified information even if it is relevant to the RTI.  Improvements have been made by directives from the CE to all Executives and Directors which has made access to documents easier.  Medical Reports can be problematic.  N/A. |
| 3. cont | What is the level of satisfaction by the RTI Unit or decision maker with documentation received from other staff.  *(If your agency has not received any RTI or IP applications please select "High" here.)* |
|  | N/A.  No RTI/IP applications have been received.  Only referring to the one application.  Organisationally, [agency] generally performs very well in this regard due to the high level of staff knowledge and understanding of RTI and IP.  [agency] has delegated the role of Decision Maker to [other agency], so you would need to ask [agency] Decision Maker.  Some issues have arisen regarding the thoroughness of searches for documents. Staff have been reminded about the importance of providing all documents in response to RTI/IP applications.  Still an education process across the business.  This is improving. This can be as much about some of the processes we follow to gather the information as the individual collecting and delivering the information. Have identified a few things which should help this.  To date, no RTI/IP applications have been received.  We send out a large number of Requests for information and normally we receive a quick and accurate response. |
| **1.2** | **Transfer of information** |
| 1. | The agency has procedures in place for transfer of personal information outside Australia only in accordance with s33 of the IP Act, for example, if personal information is posted on the agency’s website. |
|  | A policy/fact sheet is to be developed on the transfer of personal information overseas and binding contracted service providers.  Consent forms used.  Consent obtained.  Council doesn't allow (or use) any Cloud or hosted services that store data offshore. We will adopt an encrypted storage model once we look seriously at offsite services.  Council doesn't transfer information outside of Australia.  Currently being considered.  [agency] has a fact sheet.  Do not transfer information outside Australia.  Do not transfer personal information outside of Australia.  Fact Sheet titled 'Transferring Personal Information Out of Australia'.  Guideline for Protecting Privacy of Personal Information ([document reference number]).  In its role as a regulatory authority under the [legislation], the agency is required to maintain a register of [business information] and to make this register available for inspection by the public.  Included in policies and procedures. [common comment 6 agencies]  N/A as the IP Act does not apply to [agency]. However, [agency]'s Privacy Procedure addresses APP 8 (cross border disclosure of personal information).  N/A.  N/A.  N/A.  Nil requests received to date.  No actual procedures but section 33 of the IP Act acknowledged and considered by [agency]'s Information Management Services division.  No Data transferred outside Australia.  This is captured in our HHS Privacy Plan which is currently in draft awaiting sign off.  This is not a risk to [agency].  We do not transfer personal information outside of Australia.  We do not transfer personal information outside of Australia.  We don't transfer personal information contrary to the IP Act. |
| **1.3** | **Record Keeping** |
| 1. | Record keeping systems allow efficient location of records relevant to RTI and IP requests or would allow efficient location of records relevant to RTI and IP requests if any were received.  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | A new records management system is being implemented which will provide more search efficiency.  An EDRMS has been implemented within one Division in the Department. This is currently being assessed for rollout to the rest of the Organisation.  Changes to systems over many years has resulted in a number of locations and document management systems to search for documents. A project is now underway to migrate between systems.  [agency] plans to upgrade its record management system in 2016.  EDRMS.  Have an EDRMs in place and Information Asset Register.  Location of records also depends on précis and how info is titled when stored.  New eDRMS system will in future.  No difficulties experienced at this point. |
| 1. cont | Record keeping systems allow efficient location of records relevant to RTI and IP requests or would allow efficient location of records relevant to RTI and IP requests if any were received.  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | No RTI/IP applications have been received.  Resourcing being reduced.  [agency]'s current eDRMS is not efficient and manual work-arounds are in place but a new eDRMS and core business systems are being developed and implemented.  Through EDRMS and workflow RTIPS data base. |
| 2. | Accurate records exist to document the processing of any requests received.  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | All information relating to the processing of applications are stored in our RTIPs database, in Council's document management system and in hard copy application files.  EDRMS and RTIPS.  No RTI/IP applications have been received.  This pertains particularly to case management and our hearings. |
| **2.** | **Active management of responsibilities – assisting and advising the parties** |
| **2.1** | **Negotiation** |
| 1. | Applicants are or would be assisted through negotiation, either prior to making an application or once an application is made, to clarify and particularise their requests.  *(If your agency has not received any RTI or IP applications please answer this question regarding the current extent of the agency’s general use of negotiation strategies with the general public.)* |
|  | Communication and negotiation with applicants is a key component of each application process. This is clearly documented on each file.  Decision-makers can notify potential applicants that they may inspect a file rather than pursuing an RTI application. Applicants are informed of other access available e.g. [agency] for photos, [agency] for [agency-specific types of documents], as well as potential costs to applicant.  Instruction provided through [agency].  N/A.  Often there is extensive liaison with applicants to assist them with their needs. Before and during the processing period.  See comment to question 2.1. (2.1 Neither the RTI Act or IP Act effectively apply to [agency].)  The agency has not received any RTI or IP applications since 1 July 2013. Having regard to the current practices of the agency, if information were requested the applicant would be assisted through negotiation in the first instance.  The decision-maker for the application contacts the applicant to introduce themselves and to confirm scope of request is clearly understood.  To date, no RTI/IP applications have been received. The [agency] has dealt with numerous requests for information by way of administrative access. Where relevant, it has used negotiation strategies to assist persons seeking information.  We have started to request further information regarding the scope of an applicant's request - identifying the documents they want. |
| **2.2** | **Communication** |
| 1. | For every application received, the agency considers or would consider calling the applicant within a week of receipt of the application to clarify the applicant’s information request and explore options for providing the information. |
|  | Applicants informed in writing. Very rarely via telephone.  Consideration is made in each instance. Sometimes clarification occurs after receipt of documents or feedback from business areas, as further questions arise at this stage. This can be after the first week of receipt.  Considers, doesn't call for EVERY application.  Contact made if required, particularly regarding narrowing of scope.  [agency] liaise directly with applicants not the [agency].  If necessary but e-mail not calling. No audit trail with a call.  In most cases it is not necessary to contact the applicant for clarification.  It may not be necessary to call every applicant after an application is lodged, particularly where an applicant was consulted before lodging an application. Despite this, a formal acknowledgement is always sent to an applicant.  KPI to contact applicant within two business days 90% of the time.  Only if required.  See comment to question 2.1. (2.1 Neither the RTI Act or IP Act effectively apply to [agency].)  The agency has not received any RTI or IP applications since 1 July 2013. Having regard to the current practices of the agency, if information were requested the applicant would be assisted through negotiation in the first instance.  The agency prefers formal communications (e.g. emails and letters) with applicants. |
| 1. cont | For every application received, the agency considers or would consider calling the applicant within a week of receipt of the application to clarify the applicant’s information request and explore options for providing the information. |
|  | The vast majority of applications received are clear as to what is being sought.  This function provided by [agency].  To date, no RTI/IP applications have been received. The [agency] has dealt with numerous requests for information by way of administrative access. The [agency] communicates with persons seeking information in a timely way.  We would consider this. |
| 2. | Open communication exists between the agency and the parties to any communication seeking information, whether informal or formal (for example phone or email).  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | By email.  If appropriate.  The agency prefers formal communications (e.g. emails and letters) with applicants.  This function provided by [agency].  To date, no RTI/IP applications have been received. The [agency] has dealt with numerous requests for information by way of administrative access. Where relevant, it has used negotiation strategies to assist persons seeking information.  Where possible, communication happens via phone and is confirmed via email. |
| 3. | The agency is responsive and open to any requests for information, whether made informally, including through an administrative access scheme or through a formal application under the legislation. |
|  | If appropriate.  Most commonly we provide statistics on our work to interested bodies. The statistics are checked.  No requests from public for lists of [business information] personal information, names addresses etc.  Requests for information come into [agency] via a range of entry points - the [business unit], [business unit], [business unit], client service areas such as the [business unit] and regional offices.  The [agency] often provides information requested of it, particularly with respect to the holders of [business information] in accordance with the requirements of the [legislation].  The [agency] has an administrative access scheme. RTI/IP formal application is the last resort.  To date, no RTI/IP applications have been received. The [agency] has dealt with numerous requests for information by way of administrative access. Where relevant, it has used negotiation strategies to assist persons seeking information.  Within the context of applicable legislative exemptions.  Yes as clearly stated on the [agency] website. |
| 4. | Level of satisfaction by the parties with the communication in general.  *(If your agency has not received any RTI or IP applications please select "High" here.)* |
|  | As far as aware.  Compliments received and logged. Few complaints received. Those received are actioned appropriately.  Don't know otherwise.  Informal assessment only, no research is undertaken to gauge satisfaction regarding communication with applicants.  N/A.  No customer surveys are undertaken - but no complaints have been received.  No feedback has been received to the communications provided.  No negative comments received.  No RTI/IP applications have been received.  Not referred to in client surveys as being a concern.  One recent adverse comment - invalid. Ignored advice.  Records Management has received a number of compliments from clients regarding the processing of their requests.  Review of letters underway, plain English versions being developed.  The majority of applicants to the [agency] are very unhappy. It doesn't matter how helpful or what we provide, they remain unhappy due to their particular issues.  There is no system in place for measuring satisfaction.  There is room for improvement, especially where an applicant is applying through a lawyer - it can be difficult to obtain further information about the scope of an application. Also, our letters could be clearer.  Unknown. No feedback received. |
| **2.3** | **Decision communication** |
| 1. | Decisions are made promptly and parties informed as soon as possible, or would be if applications were made.  *(If your agency has not received any RTI or IP applications please select "Yes" here.)* |
|  | All timelines are met or extensions negotiated with applicant.  As promptly as resources allow.  If further time is required, we promptly discuss this with the applicant.  May be some delay where large quantities of data is requested which takes time to source and process.  N/A.  No RTI/IP applications have been received.  Some decisions can be subject to extensions?  To date, no RTI/IP applications have been received. The [agency] has dealt with numerous requests for information by way of administrative access. Where relevant, it has used negotiation strategies to assist persons seeking information.  We have had one deemed refusal this year. |
| **2.4** | **Timeliness** |
| 1. | Level of satisfaction by the parties with the communication about time issues.  *(If your agency has not received any RTI or IP applications please select "High" here.)* |
|  | As far as aware.  Don't know otherwise.  Due to business size, determination of relevant documents often takes time resulting in later requests for extensions of time or narrowing of scope.  Informal assessment only.  N/A.  Nil complaints received re timeliness.  No complaints have been received as yet.  No complaints recorded.  No customer surveys are undertaken but no complaints have been received.  Same response as 2.2.4. The majority of applicants to the [agency] are very unhappy. It doesn't matter how helpful or what we provide, they remain unhappy due to their particular issues.  There have been few complaints received by the RTI&P Unit relating to communication about time issues.  There is no system in place for measuring satisfaction.  Unknown. No feedback received. |

**Section D - Compliance**

**D.2 Requirements for Publication Schemes**[[3]](#footnote-3)

**(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.)

|  | **Criteria Question** |
| --- | --- |
| 1. | Seven classes of information are published (About us, Our services, Our finances, Our priorities, Our decisions, Our policies, Our lists). |
|  | All seven classes are included although not always in the headings e.g. finances is under performance - Reporting. This was decided by executive to make information needed by [members of the public], contractors and community more accessible.  [agency] continues to maintain its publication scheme.  Except for our decisions and our finances.  HHS specific website is currently being developed.  [agency website]  Information is available in annual reports and strategic plan.  Instead of "Our Priorities" the [agency] website has "about us" with links to Strategic Plan.  Review and updating currently under way.  We are missing our finances and our lists. |
| 2. | Information in the publication scheme is significant (key initiative and policy documents). |
|  | Full compliance. A system, policy, strategy or process has been implemented in full across [agency].  Requires updating since transition.  Review and updating currently under way.  Website currently under reconstruction. |
| 3. | Information in the publication scheme is appropriate (having regard to legislation, privacy principles and security issues). |
|  | Review and updating currently under way.  The 'Approval to Publish' process which allows for the monitoring of appropriateness and decisions on what is published are located at SES level. |
| 4. | Information in the publication scheme is accurate. |
|  | 85%  Council tries to keep information as accurate as possible.  Requires updating since transition.  Review and updating currently under way.  RTI section is monitored by RTI staff for accuracy. Other sections of the publication scheme are the responsibility of other functional areas? |
| 5. | Significant documents are not excluded by irrelevant factors (e.g. embarrassment to the agency, or the seniority of an author (Part 1, Schedule 4 Right to Information Act 2009)). |
|  | [Agency] follows the Ministerial Guidelines and Publications Scheme Approval Policy.  No document is or would be excluded because of this factor.  Not excluded.  The Board would not exclude material of this type when it releases material.  Unknown. Publication scheme managed by media unit. |
| 6. | Schemes are readily accessible (e.g. a link on home page). |
|  | Currently updating webpage with [agency].  One click from [agency] intranet page and two clicks from [agency]'s internet home page.  Publication Scheme is two clicks from home page.  RTI page accessible from home page.  The Board does not have a website. It publishes material on the [agency] website. There is a link available on the [agency] website to the Board's publication scheme.  Under the RTI link on the front page of Councils website.  You can link to Home page, RTI, [members of the public] and/or contractors on every page. |
| 7. | Direct links to documents suitable for online publication are provided and maintained. (Documents might be unsuitable for online publication if they are too large, or not in a suitable format.) |
|  | Direct links are provided to documents that are suitable for publication.  Documents too large.  [link to agency website]  Reviewed for currency periodically.  Statement true for RTI documentation only.  Where possible. |
| 8. | All documents referred to in the publication scheme are accessible centrally from the publication scheme. |
|  | All documents are accessible via links.  Apply direct to service.  Documents too large.  Publication scheme has documents and links.  Roads Register. Delegations Register.  Some documents are not available for download but are available on request or via inspection. |
| 9. | Documents linked to the publication scheme are no more than 3 mouse clicks away. |
|  | 2 clicks.  Documents too large.  From Publication Scheme page.  Two mouse clicks from home page of the website. |
| 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. |
|  | Applicant can either view releasable originals at any [agency] office, have a hard copy posted to them or have an electronic copy sent to them.  Direct links are provided to documents. If a direct link to a document were impractical (e.g. due to the size of the document), a summary of the document would be provided and access arrangements described.  N/A as all documents are readily accessible.  N/A.  N/A.  No current examples applicable.  See comments for question 8. (Q8 Some documents are not available for download but are available on request or via inspection.).  Situation has not arisen.  Some documents are only available to view e.g. Register of Interests.  This has not been an issue to date but a summary would be provided if the need arose. |
| 11. | The publication scheme sets out the terms on which information is available including any applicable fees/charges. |
|  | Charges to be advised.  N/A as there are no applicable fees/charges.  Not relevant.  Or the information is available by clicking on contractors or [members of the public].  Publication scheme only links to free content on website.  Terms about available information and fees or charges that may or may not apply are included but generally this information is contained in the application form or explained during acknowledgement of applications.  The RTI webpage sets out costs relevant to documents in the publication scheme. The terms and conditions webpage sets out the terms on which the information is available.  [Agency] endeavours to meet all reasonable requests for documents free of charge consistent with Ministerial Guidelines. |
| 12. | Charges for administrative release of documents are minimised. |
|  | Council's fees and charges provides costs.  Free.  Have never charged.  N/A as there are no applicable fees/charges.  No application fees/charges apply to information requested from the publication scheme.  Recovery of service costs would only occur where provision of documents would impose significant costs.  There are no charges.  To date [agency] has not charged for administrative release.  Usually nil unless priced already.  We generally do not charge for admin release material. |
| 13. | Alternative formats of documents are available. |
|  | All PDF formatted.  [agency] complies with requirements of Consistent User Experience (CUE) Standard. CUE Standard is based on international standards and industry best practice. As well as being a compliance document, the CUE Standard includes templates for agencies.  Documents are normally provided in PDF format only.  N/A as for the types of documents / information published, alternative formats are not available and/or appropriate for release.  Provided in PDF (no modification).  Upon enquiry, documents are released in difference format i.e. CD, email, post as well as different electronic format.  Where possible. |
| 14. | Website design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich). |
|  | Complies with Queensland Government's CUE for accessibility, usability, design, etc.  Currently being reviewed.  [agency] HHS is currently reviewing their website.  Requires updating since transition.  The Board does not have a website. It uses the [agency] website to publish material.  This is currently being reviewed.  Website currently being updated. |
| 15. | An agency officer has a responsibility to ensure the publication scheme is maintained and up to date. |
|  | Each business unit is responsible for ensuring that their documents in the publication scheme are up-to-date and accurate.  Managed by the RTI/IP team, however publication scheme links to information that is regularly updated.  Media unit.  Publication Scheme is maintained as best as possible with current resourcing pressure. (Common comment 6 agencies)  Shared responsibility between Governance Officer (RTI/IP) and Online Publisher (Communications Team). |
| 16. | A complaints procedure is in place to enable people to make complaints when information is not available from the publication scheme. |
|  | A 'Complaints' statement on the [agency] publication scheme internet page advises members of the public that they have the right to complain if information in the publication scheme is not available and also provides them with a complaint process.  [Agency] has a Community complaints procedure however will update the RTI website to include complaints.  General complaints procedure.  Not procedure but clearly communicated on website.  Online feedback/complaints form.  Privacy complaints procedure currently in draft. [business unit] has their own complaints procedure which is available.  This is to be undertaken during 2016.  Unknown.  Update intro line on Publication Schemes page relating to feedback/contact (BD).  We have a general complaints procedure for the University.  We have a general policy which can capture such complaints. |
| 17. | Changes to the publication scheme are formally approved.[[4]](#footnote-4) |
|  | Any approvals given are recorded in the RTI/IP Reform Implementation Log.  By University Secretary.  Procedures are not yet in place for approval of changes. Scheme is live on Council's website, linked to information that is updated regularly.  Via the 'Approval to Publish' process. |
| 18. | Changes and approvals to the publication scheme are documented.[[5]](#footnote-5) |
|  | Any changes and approvals given are recorded in the RTI/IP Reform Implementation Log.  Changes are. |
| 18. | Changes and approvals to the publication scheme are documented.[[6]](#footnote-6) |
|  | Procedures are not yet in place for approval of changes. Scheme is live on Council's website, linked to information is updated regularly.  Requests for changes are managed via Service-Now.  Via the 'Approval to Publish' process. |
| 19. | Documents describing changes to the publication scheme are kept as public records. [[7]](#footnote-7) |
|  | Comms maintain a schedule of all job requests including those changes requested to the Publication Scheme. Is this schedule a public record?  Doubt that these are public records.  There is a full roll-back auditing history on the Web Contact Management System - Squiz Matrix, allowing [agency] to roll-back to any point in time on the web. In addition, a full history is available to see who has edited, uploaded, removed, etc.  This is to be undertaken during 2016.  Unknown. Managed by media unit. |
| 20. | **Department only question.**  20. The information governance body has considered the development of the elements of the authorising and accountability environment for publication schemes.  \*These elements may include:   * 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 systems[[8]](#footnote-8).  For example, the meeting agenda or minutes indicate these issues have been considered.   (*This is an issue for departments. It is not a requirement for GOCs, local governments or other agencies, and they are not required to respond to this question*.) |
|  | Board of Management Committee. Information Management Committee. |
| 21. | Quality of scheme from the agency’s perspective. |
|  | Contractors, [members of the community] and the general community would normally search under headings on the Home page.  Improvements have been made since the last audit.  Regularly reviewed.  [Agency] has previously received a good result from OIC's desktop audit. The report stated that the level of compliance was commendable.  The publication scheme meets the legislated requirements.  Under review.  We are currently reviewing the publication scheme.  Website currently under reconstruction. |

**Section D - Compliance**

**D.3 Requirements for Disclosure Logs**[[9]](#footnote-9)

**(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.)

|  | **Criteria Question** |
| --- | --- |
| 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). |
|  | 2 clicks.  [agency website]  Published and available for access on [agency] website.  We have a disclosure log but there are no documents listed as we have only had one application.  We have had no RTI request in the past ten years so the document is no information to disclose. The website gives instructions on how to apply for this information.  Website currently under reconstruction. |
| 2. | Website design is user friendly (e.g. well organised, reviewed quarterly and up to date, information rich). |
|  | Complies with Queensland Government's CUE for accessibility, usability, design, etc.  Currently being updated.  [Agency] HHS is currently reviewing their internet website.  The Board does not have a website. It publishes material on the [agency] website. |
| 3. | Documents released under the RTI Act are listed in the disclosure log unless there is a clear reason not to do so. |
|  | A summary is provided.  Disclosure log entries are made in accordance with the requirements of the RTI Act, Ministerial Guidelines and the OIC Guidelines.  Documents are listed however access is via contact with Council. This is simply due to a spacing issue for the website.  Due to nature of information released, not appropriate.  Due to size of organisation.  Most RTI requests are site/property/customer specific and are not of general public interest.  Nil to date.  No applications received.  No documents have been released under RTI/IP as yet.  The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)). Accordingly, documents have not been under the RTI Act to date.  There are no entries on our disclosure log. [Agency] rarely receives a RTI application. Most RTI applications contain personal information which has been considered not suitable for publication.  This would be our intention, however we have only had one application.  To date no RTI requests.  To date, no RTI/IP applications have been received.  We have no documents in our disclosure log as all applications received have included personal information. |
| 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. |
|  | Checklist.  Nil to date.  See 3. Above. (Q3 Due to nature of information released, not appropriate.)  To date, no RTI/IP applications have been received. |
| 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. |
|  | Don't print applicable charges.  Has never been an issue but will now document in processes.  N/A.  Never arisen.  Never happened.  Nil applications under this banner as yet.  Nil to date.  No applications have been received.  No available off the website at this time, provided on CD or hard copy to the applicant.  No documents have been released under RTI/IP as yet.  Not yet had this situation.  Noting that [agency] have not encountered this scenario.  See 3. Above. (Q3 Due to nature of information released, not appropriate.)  Situation has never occurred.  Situation has not arisen previously.  The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)). Accordingly, documents have not been released under the RTI Act to date.  The RTI Officer contacts the applicant to inform them the time is nearly up.  This has not happened yet but we would follow OIC advice.  This has not occurred.  This process has not been encountered. For further consideration.  To date, no RTI/IP applications have been received.  We have never had a situation where documents have not been accessed within the access period, however when this period has elapsed, however payment will be followed up and documents would be published on log where appropriate.  We have not experienced this yet but would follow this procedure. |
| 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. |
|  | Comments and approval process contained in our RTIPs database.  N/A.  Nil to date.  No applications received.  See 3. Above. (Q3 Due to nature of information released, not appropriate.)  The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)). Accordingly, documents have not been released under the RTI Act to date.  To date, no RTI/IP applications have been received. |
| 7. | An agency officer has a responsibility to ensure the disclosure log is maintained and up to date and in accordance with ministerial guidelines. |
|  | [Agency], on a fee for service basis, manages the functions of the [agency]. The [agency] does not have any documents included on the disclosure log.  The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act. Accordingly, documents have not been released under the RTI to date.  To date, no RTI/IP applications have been received. |
| 8. | Changes to the disclosure log are formally approved. [[10]](#footnote-10) |
|  | All changes to the [agency]'s website are formally approved, documented and kept as public records.  Approval from Principal Decision Maker which is capture within the RTIPs database.  Approved by the RTI Manager after recommendation by decision-maker.  Doubt they are public records.  If an application is received this will occur.  Nil to date.  Recorded in RTI/IP Reform Implementation Tracking Log.  University Secretary is aware not sure formal approval is required.  We don't make changes to this log. |
| 9. | Changes and approvals to the disclosure log are documented. [[11]](#footnote-11) |
|  | All changes to the [agency]'s website are formally approved, documented and kept as public records.  Approval from Principal Decision Maker which is captured within the RTIPs database.  Documented in website software.  If an application is received this will occur.  N/A handled by [agency].  Nil to date.  Registered in electronic records management system. |
| 10. | Changes to the disclosure log are documented and kept as public records. [[12]](#footnote-12) |
|  | All changes to the [agency]'s website are formally approved, documented and kept as public records.  Approval from Principal Decision Maker which is captured within the RTIPs database.  Doubt they are public records.  If an application is received this will occur.  N/A handled by [agency].  Nil to date.  Process in place and in accordance with general retention and disposal schedule and Ministerial Guidelines. |
| 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.  *(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.)* |
|  | Most RTI requests are site/property/customer specific and are not of general public interest.  The reason for this is it would, if included in a disclosure log, unreasonably invade an individual's privacy or cause substantial harm to an entity. |
| 12. | Documents published to the disclosure log are accompanied by brief text with a summary and the context of the information.  *(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.)* |
|  | Documents published in the Disclosure Log comply with the requirements of the RTI Act and Ministerial Guidelines. No additional text such as a summary or the context of the information is included.  This is not required under legislation. Current resourcing also does not permit this additional service. (Common comment 6 agencies). |
| 13. | The agency has a system for checking that documents or information released on the disclosure log:- |
|  | (a) - are not prevented by law from publication. |
|  | Application processing and checklist.  Approval from Principal Decision Maker which is captured within the RTIPs database.  Disclosure on log not appropriate due to nature of information agency handles.  [Agency], on a fee for service basis, manages the functions of the [agency].  Have had no documentation released in Disclosure Log as yet but can ensure requirements are met.  Informal.  No documents have been release on the Board's Disclosure Log. Any releases will be with the approval of the RTI/TP Officer or the Board.  Sent to legal for review.  To date, no RTI/IP applications have been received. The [agency] is always mindful of these issues when publishing any information.  Unable to answer for documents other than documents subject to RTI/IP decision.  Web publishing process.  Whilst systems are in place, The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)) and documents have not been released under the RTI Act to date. |
|  | (b) - are not defamatory. |
|  | Approval from Principal Decision Maker which is captured within the RTIPs database.  As above. (D13(a) Unable to answer for documents other than documents subject to RTI/IP decision.)  Disclosure log process not completed. |
| cont | (b) - are not defamatory. |
|  | Informal.  To date, no RTI/IP applications have been received. The [agency] is always mindful of these issues when publishing any information.  Whilst systems are in place, The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)) and documents have not been released under the RTI Act to date. |
|  | (c) - if included in the disclosure log would not unreasonably invade an individual’s privacy. |
|  | Approval from Principal Decision Maker which is captured within the RTIPs database.  As above. (D13(a) Unable to answer for documents other than documents subject to RTI/IP decision.)  Disclosure log process not completed.  Informal.  To date, no RTI/IP applications have been received. The [agency] is always mindful of these issues when publishing any information.  Whilst systems are in place, The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)) and documents have not been released under the RTI Act to date. |
|  | (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. |
|  | Approval from Principal Decision Maker which is captured within the RTIPs database.  As above. (D13(a) Unable to answer for documents other than documents subject to RTI/IP decision.)  Disclosure log process not completed.  Informal.  To date, no RTI/IP applications have been received. The [agency] is always mindful of these issues when publishing any information.  Unless required by external review decision.  Whilst systems are in place, The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)) and documents have not been released under the RTI Act to date. |
|  | (e) - would not otherwise cause substantial harm to an entity if disclosed. |
|  | Approval from Principal Decision Maker which is captured within the RTIPs database.  As above. (D13(a) Unable to answer for documents other than documents subject to RTI/IP decision.)  Disclosure log process not completed.  Informal.  To date, no RTI/IP applications have been received. The [agency] is always mindful of these issues when publishing any information.  Whilst systems are in place, The RTI Act has only limited application to [agency] (it applies only in respect of community service obligations (see Schedule 2, Part 2 of the RTI Act)) and documents have not been released under the RTI Act to date. |
| 14. | **Department only question.**  The information governance body has considered the development of the elements of the authorising and accountability environment for disclosure logs.  \*These elements may include:   * 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 systems[[13]](#footnote-13).   For example, the meeting agenda or minutes indicate these issues have been considered.  (*This is an issue for departments. This is not a requirement for GOCs, local governments or other agencies and they are not required to respond to this question*.) |
|  | Department has an approved policy.  Will be implemented by 30 April 2016. |
| 15. | **Department only question.**  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.  (*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*.) |
|  | No comments |
| 16. | **Department only question.**  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.  (*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*.) (a) - a copy of any document that does not include personal information of the applicant that the department released in relation to the application  (a) - a copy of any document that does not include personal information of the applicant that the department released in relation to the application.  (b) - the applicant’s name.  (c) - the name of any entity benefiting from or using the document. |
|  | No comments |

**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.)

|  | **Criteria Question** |
| --- | --- |
| 1. | Have any new administrative access schemes been introduced since the commencement of the RTI Act? |
|  | Administrative Access Scheme was introduced and published on the [agency] website on 1 July 2013.  Already in place.  [Business Unit] have a certificate access policy. [Business Unit] developed one in 2010.  Council meeting agendas.  Drafting admin access policy.  I think this is because of other Acts/legislations and not necessarily because of RTI Act.  Note: [Other agency] is a service delivery agency for [agency], [agency], and [agency]. Most admin schemes are available through [agency].  Open Data.  [Other agency] is a service delivery organisation on behalf of [agency], [agency], and [agency]. Most admin schemes available through [agency] RTI homepage.  [Agency] proactively provides (access to) factsheets, policies, customer newsletters and other information determined to be of interest to its customers and industry.  Regularly offer statistics on involuntary treated patients.  [Agency]'s existing administrative access scheme was replaced with a new admin access scheme in 2009 when new Acts were implemented.  Same scheme as FOI.  The [agency] holds a limited range of information. Its core function is to [description of function].  We are more likely to use admin access under the "push model" provisions of the RTI Act. |
| 2. | Has any new information been introduced into existing administrative access schemes since the commencement of the RTI Act? |
|  | Always consider all information for admin release.  As above.  Assisted by [agency]'s RTI Services and OIC website.  CCTV admin release.  Hospital and Health Board Act influenced changes.  See comments for question 1. (D1 [agency]'s existing administrative access scheme was replaced with a new admin access scheme in 2009 when new Acts were implemented.)  Yes, via the Open Data Portal. [business unit] - to release statistical data. |
| 3. | Are there mechanisms in place to evaluate the viability of administrative access schemes (e.g. a review of information requests)? |
|  | More efficient applicant can obtain the information without waiting for formal application.  N/A given limited number of RTI/IP applications received.  N/A.  No evaluation high use business as usual area.  Periodic review of policies.  Reviews are undertaken as part of [agency]'s Quality Policy and Procedural Review plan and [agency]’s internal audit plan.  Yes where request has been handled by the RTI Unit but not for the larger agency. |
| 4. | Are there indicators that the administrative access schemes are used first? |
|  | For example, clients providing file reference numbers, attaching copies of documents previously accessed under an administrative arrangement when seeking further documents.  Not justified due to size of organisation.  Often a community member will send in an application and we will say we ask permission to release it under AA if it falls in our [agency] guidelines.  Training of staff to identify AA as opposed to RTI and IP has been mentioned. |
| 5. | Publicly available administrative access schemes are readily accessible (e.g. button on home page). |
|  | 3 clicks to policy.  Admin access is mentioned on the web page but could be more clearly linked to the RTI email address.  Administrative access is linked to Council's RTI page on the website.  Council's website contains a significant amount of information which is not formally described as "administrative access schemes".  Link to QG website.  [Agency] HHS is currently reviewing their internet website.  Not necessary at this stage.  Persons are invited to contact the [agency] to release information informally. That invitation is on the [agency]'s website. If requests are made to [agency] staff, the requests are directed to the appropriate area for action.  The Board does not have a website. It publishes material on the [agency] website. The Board's administrative access scheme is published on the [agency] website.  Under review to ensure plain English and improved accessibility.  Within two mouse clicks from home page |
| 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. |
|  | Unknown. |
| 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). |
|  | Currently under review.  [Agency] HHS is currently reviewing their internet website.  QG website.  The Board does not have a website. It publishes material on the [agency] website.  We have not audited the website against the CUE Standard but consistently aim to have a well organised and up to date website for our Customers.  While the website appears to comply, it is being reviewed for compliance. |
| 8. | **Department only question.**  Schemes generally conform to QGEA guidelines.  (*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*.) |
|  | Full compliance. A system, policy, strategy or process has been implemented in full across the agency. |

**Section D - Compliance**

**D.5 Receipt of applications**[[14]](#footnote-14)

**(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 2013 (i.e.‘No’ to Gateway question 1), are skipped over Sections D5, D6 and D7)

|  | **Criteria Question** |
| --- | --- |
| 1. | The agency uses the approved form, as per the RTI and IP Acts, for applications for information. |
|  | Emails are accepted from staff/students of the University.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The applicant has used the electronic forms.  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications.  Where information not via administrative access. |
| 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). |
|  | Based on an individual's knowledge rather than a checklist.  Currently no written procedure.  Documented via email communication with OIC as to correct procedure but "no written procedure".  Is occurring in practice but needs to be added to procedures.  Only ever had one application.  Other than the requirements outlined in the approved application form.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].).  The agency's RTI/IP procedure is due for review in 2016.  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications.  Undertaken by [agency] on our behalf.  We follow the Act and guidelines published by the Office of the Information Commissioner. |
| 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. |
|  | All matters are referred to [agency] to be managed.  Currently still using overarching policies from [agency].  No written procedure.  OIC guidelines.  Only ever had one application.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  Templates/checklist.  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications. This happens rarely.  There has been no requirement to date.  This is normally handled by the RTI Officer communicating with the applicant.  This is now being applied consistently.  Under review.  Undertaken by [agency] on our behalf.  We follow the Act and guidelines published by the Office of the Information Commissioner. |
| 4. | The agency has procedures in place to issue charges estimates notices and the accompanying schedule of documents under the RTI Act. |
|  | All matters are referred to [agency] to be managed.  Currently still using overarching policies from [agency].  Didn't charge.  No charges applied by [agency].  No written procedure.  OIC guidelines.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].) |
| 4. cont | The agency has procedures in place to issue charges estimates notices and the accompanying schedule of documents under the RTI Act. |
|  | The RTI/IP Team have a User Manual that stipulates the process for dealing with applications.  There are no written procedures. The legislation is followed.  Undertaken by [agency] on our behalf.  We follow the Act and guidelines published by the Office of the Information Commissioner.  We tend not to apply charges. |
| 5. | The agency tracks time frames for handling charges estimates notices and schedules of documents. |
|  | All matters are referred to [agency] to be managed.  N/A as I have not yet charged for documents.  No due to low number of applications received.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications. Timeframes are recorded in the RTIPs database.  Time frames are monitored.  Undertaken by [agency] on our behalf. |
| 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). |
|  | All matters are referred to [agency] to be managed.  Currently still using overarching policies from [agency].  Flowchart.  No written procedure.  OIC guidelines.  Only ever had one application.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications.  There isn't a checklist but we are starting to apply a consist policy to this.  Undertaken by [agency] on our behalf. |
| 7. | The agency has a procedure to track timeframes for third party consultations. |
|  | All matters are referred to [agency] to be managed.  No written procedure but checklist and spreadsheet.  Only ever had one application, time frames are monitored.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  Started using a tracking sheet for third parties. Yet to be adopted across the board.  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications. Timeframes are recorded in the RTIPs database.  Undertaken by [agency] on our behalf.  Up to decision-makers. |
| 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). |
|  | All matters are referred to [agency] to be managed.  Currently still using overarching policies from [agency].  [agency] has established a procedure.  Flowchart.  Have not had the need to so far.  No written procedure.  OIC guidelines.  Only ever had one application, time frames are monitored.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications. This happens rarely.  There are no written procedures. The legislation is followed.  There has been no requirement to date.  This situation has never occurred.  Undertaken by [agency] on our behalf.  We follow the Act and guidelines published by the Office of the Information Commissioner.  We would ask the other agency if they would accept it or tell the applicant they need to send it to another agency. (applies rarely).  We would follow the steps in the act. |
| 9. | The agency has checked applicable fees and charges and ensured procedures are correct. |
|  | All matters are referred to [agency] to be managed.  Currently still using overarching policies from [agency].  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The RTI/IP Team have a User Manual that stipulates the process for dealing with applications.  Undertaken by [agency] on our behalf.  We tend not to charge for admin costs on applications. |

**D.6 Deciding how to deal with applications**[[15]](#footnote-15)

**(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)

|  | **Criteria Question** |
| --- | --- |
| 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). |
|  | All matters are referred to [agency] to be managed.  Check list, OIC website.  Checks done on our behalf by [agency].  Currently still using overarching policies from [agency].  No written procedure.  No written procedures. Applications are considered on their merit.  OIC guidelines but never arisen.  Our user manual contains the steps and comments are kept within the RTIPs database.  Outsourced to [agency].  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].) |
| 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. |
|  | All matters are referred to [agency] to be managed.  Checks done on our behalf by [agency].  Currently still using overarching policies from [agency].  No written procedure.  OIC guidelines but never arisen.  Our user manual contains the steps and comments are kept within the RTIPs database.  Outsourced to [agency].  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  We may liaise with the applicant informally to change their scope before issuing a formal notice. |
| 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. |
|  | All matters are referred to [agency] to be managed.  E.g. Copyright.  OIC guidelines.  Outsourced to [agency].  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  This is part of the role of the new Director of Legal Services and General Counsel. |
| 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. |
|  | All matters are referred to [agency] to be managed.  OIC guidelines.  Our user manual contains the steps and comments are kept within the RTIPs database.  Outsourced to [agency].  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  We have only had one application, however we do have procedures in place to deal with applications. This relates to all the above questions in D6. |

**Section D - Compliance**

**D.7 Granting access to or amendment of documents**[[16]](#footnote-16)

**(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 2013 (i.e.‘No’ to Gateway question 1), are skipped over Sections D5, D6 and D7)

|  | **Criteria Question** |
| --- | --- |
| 1. | The agency has procedures to ensure that written notices giving access to documents accord with the legislative requirements and that information is provided in the requested format and within time (e.g. a checklist of steps to be undertaken for each application and templates which reflect the statutory requirements). |
|  | All matters are referred to [agency] to be managed.  Council has a standard template which is used.  Currently still using overarching policies from [agency].  No written procedures. Council has template letters.  OIC guidelines.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  Template letters.  We use templates for required notices. |
| 2. | The agency routinely meets statutory timeframes. |
|  | All matters are referred to [agency] to be managed.  Any delays are via an approved extension of time request.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].) |
| 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. |
|  | Access is normally provided in the requested format.  All matters are referred to [agency] to be managed.  Currently still using overarching policies from [agency].  Never happened.  No written procedure but in letter.  Not applicable so far.  OIC guidelines.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  Small number of applications. |
| 4. | The agency has procedures for ensuring the information goes to the correct person, for example, correctly to an agent or parent. |
|  | [Agency] has a document classification table to assist with identifying correct person.  All matters are referred to [agency] to be managed.  Always to the applicant, don't need a procedure for this.  Checks are made prior to sending email or posting, that email address/postal address is correct and the information provided is the correct set of documents, checked by another RTI/IP team member.  Checks performed at the time of the application. Further information sought if necessary.  Currently still using overarching policies from [agency].  No written procedure.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  When we receive an application we ensure that we have written authority if a third party is acting and identification if personal information is requested. Information is entered in RTIPS. |
| 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, as needed.  *(If your agency does not operate a disclosure log please select "Yes" here.)* |
|  | All matters are referred to [agency] to be managed. |
| 5. cont | 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, as needed.  *(If your agency does not operate a disclosure log please select "Yes" here.)* |
|  | Disclosure on log not appropriate for type of information released.  N/A.  No written procedure.  Our user manual contains the steps and comments are kept within the RTIPs database. |

**D.8 Internal and External Review**[[17]](#footnote-17)

**(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.)**

|  | **Criteria Question** |
| --- | --- |
| **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). |
|  | [Agency], on a fee for service basis, manages the functions of the [agency]. Please see [agency] response. (no response from [agency] provided)  N/A.  OIC guidelines.  Process.  Timeframes and steps are tracked within the RTIPs database. |
| 1.2 | The agency uses the prescribed written notice for notifying the applicant of the result of the internal review, including provision of reasons. |
|  | Council uses a template document.  N/A.  Unsure if current written notice is the prescribed written notice. |
| 1.3 | The agency has a procedure for tracking the timeframes for internal review decision making. |
|  | N/A.  OIC guidelines.  Process.  Timeframes and steps are tracked within the RTIPs database. |
| 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. |
|  | N/A.  OIC guidelines.  Timeframes and steps are tracked within the RTIPs database. |
| 1.5 | Written notices of internal review decisions are provided to the applicants. |
|  | N/A |
| **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. |
|  | All matters are referred to [agency] to be managed.  As far as we are aware this has never occurred before and hence no procedure at this point in time.  [agency], on a fee for service basis, manages the functions of the [agency]. Please see [agency] response. (no response from [agency] provided)  Due to low number received.  If necessary the department would apply for more time to process the application. However, this very rarely arises and is not a legislative obligation.  OIC guidelines.  The agency has received notice of only one RTI External Review application, which was received on [date].  There has been no requirement for this to date.  We have always met time frames but would follow this procedure if the situation arose.  We have not been required to seek more time. |
| 2.2 | The agency understands that the onus is on the agency to show that the reviewable decision was justified. |
|  | All matters are referred to [agency] to be managed.  Onus is on consulted third party for decisions under S37 (3) (c) and S 87 (2). |
| 2.3 | The agency understands and meets its obligations to assist the Information Commissioner. |
|  | All matters are referred to [agency] to be managed. |
| 2.4 | The agency routinely meets set timeframes in external reviews. |
|  | All matters are referred to [agency] to be managed.  The agency has received notice of only one RTI External Review application, which was received on [date]. |
| 2.5 | The agency understands and accepts its obligations to take any action required by a compliance notice issued under s158 of the IP Act. |
|  | Again, we have not experienced this but would always comply with any requirement.  All matters are referred to [agency] to be managed.  No s.158 notice received at this point. |

**Section D - Compliance**

**D.9 Detailed requirements for adoption of privacy principles**[[18]](#footnote-18)

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

(Note: Government Owned Corporations are not required to adopt the Privacy Principles, and therefore are skipped over Section D9.)

|  | **Criteria Question** |
| --- | --- |
| **1.** | **General** |
| 1.1 | Personal information handling practices have not raised concerns or resulted in the issue of any compliance notices. |
|  | All matters are referred to [agency] to be managed.  No compliance notices issued.  No compliance notices issued.  No concerns raised.  No issues or compliance notices received to date.  No privacy compliance notices but investigation of complaints did identify areas for improvement.  No privacy compliance notices but investigation of complaints did identify areas for improvement.  Privacy Statement on website.  Security breech occurred in Nov 2015 resulting in unauthorised access to mostly routine personal information. |
| 1.2 | Collection of personal information is appropriate. |
|  | A desk top audit will be conducted of the department's website to identify any areas for action.  All matters are referred to [agency] to be managed.  In certain circumstances.  Since the formation of the Corporate Partnership no substantial issues have been identified. [Common comment 6 agencies] |
| 1.3 | Security safeguards for personal information are appropriate. |
|  | All matters are referred to [agency] to be managed.  Continuous education is provided.  Since the formation of the Corporate Partnership no substantial issues have been identified. (Common comment 6 agencies) |
| 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). |
|  | All matters are referred to [agency] to be managed.  [business system] solution does not enable deletion of documents.  [agency] checking and cleansing.  Processes to update details are in place but currently clients' information is not verified for accuracy. A new client identification process will be implemented in conjunction with the new core business system at end of year.  Processes will be reviewed across Council and formalised during 2016.  Recent rates audit has corrected numerous oddities.  Since the formation of the Corporate Partnership no substantial issues have been identified. (Common comment – 6 agencies)  Website needs a major update and this facility is to be added. |
| 1.5 | The agency is open about its processes for collecting, using and disclosing personal information. |
|  | All forms contain collection notices.  All matters are referred to [agency] to be managed.  PIAs are conducted and will be published as appropriate.  Privacy Guide published on the internet.  Since the formation of the Corporate Partnership no substantial issues have been identified. (Common comment – 6 agencies) |
| 1.6 | The agency use and disclosure of personal information is appropriate. |
|  | All matters are referred to [agency] to be managed.  Been doing awareness training.  Only where required.  Since the formation of the Corporate Partnership no substantial issues have been identified. (Common comment – 6 agencies) |
| 1.7 | Privacy breaches and complaints are managed effectively. |
|  | All matters are referred to [agency] to be managed.  Any complaints received are investigated by the RTI&P Unit. In some instances they may be referred to the [business unit] within [agency].  [business system].  Never happened but process in place.  Nil applications to date.  No breaches or complaints have ever been received, so unable to determine how effectively they are managed.  No privacy breaches have occurred and no complaints have been received.  No privacy complaints have been made.  None to date.  Policies are currently undergoing review.  Privacy complaints and breaches are under review at present, in line with the development of our Privacy Plan and Complaint Procedure.  There are no breaches or complaints that I am aware of in the last three years.  We have not had any privacy complaints but they would be handled effectively.  We have not received any privacy breaches or complaints. |
| **2.** | **Collection** |
| 2.1 | The agency identifies why it is collecting personal information. |
|  | Collection notification processes are generally adequate and a comprehensive privacy policy has been drafted.  Collection notification processes are generally adequate and a comprehensive privacy policy has been drafted.  Departmental staff are trained about their privacy obligations, including in relation to the collection of personal information but it is not possible to warrant that every collection of personal information is in accordance with the IP Act.  Through the Collection notice included in all approved forms. |
| 2.2 | The agency provides a collection notice to individuals from whom personal information is being collected. |
|  | A review is being undertaken of forms to ensure all contain appropriate privacy collection statements.  A review is being undertaken of forms to ensure all contain appropriate privacy collection statements.  All matters are referred to [agency] to be managed.  Continuous review of forms is underway. Any non-compliant forms are rectified.  Except under IPP2 (2).  Externally we don't collect information on individuals. Staff are advised of the purpose of the collection of information.  If it is to be shared i.e. Private [business] Companies.  In progress in relation to one type of collection of personal information.  Is provided by the individual.  N/A.  Substantively collection notices are provided, however there may be some limited exceptions, which are being investigated.  The agency is in the process of reviewing all privacy notices on our forms.  We provide a legal notice where pertinent. |
| 2.3 | The agency has determined how much and the kind of personal information it needs to collect. |
|  | Ongoing discussions and awareness sessions occurring. |
| 2.4 | The amount of personal information collected is no more than is necessary and relevant for the purpose for which it is required. |
|  | Ongoing awareness discussions occurring with staff. |
| 2.5 | The agency collects personal information lawfully and fairly. |
|  | No comments |
| 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). |
|  | Collection processes are generally adequate but are the subject of a review.  Collection processes are generally adequate but are the subject of a review.  Currently no identity checks are performed during collection and no information verified for accuracy. A new client identification process will be implemented in conjunction with the new core business system at end of year. |
| **3.** | **Security** |
| 3.1 | Personal information held by the agency is protected against unauthorised access, use, modification or disclosure. |
|  | A security procedure has previously been considered by the Board and is due to be finalised.  Security measures and protections in place and subject to continual improvement, high level of physical and technical control in place and confidentiality agreements with all staff, policies and procedures in place. |
| 3.2 | Personal information held by the agency is protected against loss or misuse. |
|  | Refer to comments in 3.1. (D3.1) Security measures and protections in place and subject to continual improvement, high level of physical and technical control in place and confidentiality agreements with all staff, policies and procedures in place.) |
| 3.3 | The agency has adopted physical, technical and administrative safeguards to protect personal information. |
|  | It has been identified that we require an overarching Information Security Policy and the framework for this is currently being compiled.  Refer to comments in 3.1. (D3.1) Security measures and protections in place and subject to continual improvement, high level of physical and technical control in place and confidentiality agreements with all staff, policies and procedures in place.) |
| 3.4 | Security safeguards are appropriate given the sensitivity of the information. |
|  | Ongoing monitoring and improvement.  Policy in place for sensitive documents/information.  Refer to comments in 3.1. (D3.1) Security measures and protections in place and subject to continual improvement, high level of physical and technical control in place and confidentiality agreements with all staff, policies and procedures in place.) |
| 3.5 | Processes are in place to record access to electronic records and datasets containing personal information. |
|  | Audit logging is not in place in some systems. This will be available in the new core business system.  In progress in relation to one type of electronic record.  Not applicable.  The agency is currently procuring a new database system which will track access to records by staff.  Tracking on most systems but not all i.e. [business system]. |
| 3.6 | Processes are in place to ensure that disposal of personal information does not allow unauthorised access. |
|  | A security procedure has previously been considered by the Board and is due to be finalised.  Confidentiality provisions in contracts, security bins and secure information disposal by contracted company.  Locked security bins and shredders. |
| **4.** | **Accuracy** |
| 4.1 | Processes are in place for people to amend their personal information if it is incorrect. |
|  | Directions to the public on how to amend personal information provided on the internet at [web address]  E.g. [business system] (Information/intranet).  Need to provide this facility on our website.  No formal process. |
| 4.2 | Processes are in place to record when and where key personal information was collected, including when it was updated. |
|  | Also, the agency is currently procuring a new database system which will track access to records by staff.  No systemic process in place due to wide variety of PI collected and purposes for which that info is collected. This is handled at local level as appropriate. Business unit processes are in place relevant to the PI collected by that business unit. |
| **5.** | **Openness** |
| 5.1 | The agency makes information available about its personal information policies and procedures. |
|  | Currently this is done informally, however, relevant policies, procedures and forms will be updated accordingly as part of their review. |
| 5.1 cont | The agency makes information available about its personal information policies and procedures. |
|  | Departmental privacy guide developed and published on Privacy webpages. (Common comment – 6 agencies)  IPP 5 Statement being reviewed and updated.  IPP 5 Statement being reviewed and updated.  Link in web footer.  Privacy Guide and the RTI&P page on the [agency] website.  Website. |
| 5.2 | The agency tells people why it collects, how it uses and when it discloses their personal information at the time of collection. |
|  | Collection Notices in place. Both written as well as oral scripts.  [Agency] does not collect personal information form the public.  In the Board's Collection notices included in all approved forms.  IPP 5 Statement being reviewed and updated.  IPP 5 Statement being reviewed and updated.  It is difficult to achieve this as often the relevant persons are unwell at the time of information gathering.  Substantively yes, however there may be limited exceptions which are being investigated. |
| 5.3 | There is a person that members of the public can contact about privacy issues. |
|  | Complaints Policy and Procedures.  Currently handled through Council's General Complaints Policy.  No one specific.  Nominated in policy but contact details not provided in policy.  RTI&P Unit officers.  Website will be updated to include this information. |
| 5.4 | The agency tells people how they can access and amend their personal information. |
|  | Directions to the public on how they can access and/or amend their personal information provided on the internet at [web address]  Information provided on website.  Website will be updated to include this information.  Website. |
| 5.5 | The agency provides details to the public of the categories of personal information it holds. |
|  | IPP 5 Statement being reviewed and updated.  IPP 5 Statement being reviewed and updated.  Legislative and operation restraints due to nature of agency.  N/A.  Personal information relates to staff and students.  Policies are currently undergoing review.  Privacy Guide published to the internet.  Quite broad in our policy, however have identified that we need to expand on the.  This is contained in the Board's publication scheme. |
| **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. |
|  | Changing our privacy notices at present to allow for owners and contractors to be notified of seminars, newsletters etc. Privacy policy updated to reflect this and organising an opt in /opt out on emails.  Following the QCAT decision of [citation], derivative use of [agency information] for discipline purposes has been restricted. |
| 6.2 | The agency discloses information only where the person was advised when it was collected unless an exception in IPP11 or NPP2 applies. |
|  | No comments. |
| 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. |
|  | As far as aware.  Informal.  Not applicable.  Will be addressed in procedure. |
| **7.** | **Breaches and complaints** |
| 7.1 | There is a documented process specifically for managing privacy breaches and privacy complaints.  *(If 'Y' or 'IP' skip 7.2)* |
|  | Contained within the Board's publication scheme.  Currently handled through Council's General Complaints Policy.  General complaints process used.  Handled through Council's Complaints System.  Not stand alone but is included in the Client Feedback Policy.  Per Complaints Policy and Procedures.  Privacy complaint procedures in place but being reviewed and updated.  Privacy complaint procedures in place but being reviewed and updated.  Privacy policy and procedures currently being reviewed.  Procedure currently in draft.  The agency is not aware of any privacy breaches or privacy complaints. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  The Senior Privacy Officer, RTI&P Unit manages all Privacy breaches and complaints for [agency], in consultation with the Director.  There is a general complaints process that encompasses complaints about privacy breaches.  We have a policy with regards to complaints and we also have a policy regarding protecting employee information but we do not have a specific one with relation to the question. |
| 7.2 | There is a documented process for managing general complaints.  *(If 'Id' or 'N' skip 7.3 and 7.4)* |
|  | The agency is not aware of any privacy breaches or privacy complaints. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced. |
| 7.3 | This process is documented and available to agency officers. |
|  | Centralise control of investigation.  Client Complaint Management Procedures set out the process for managing client complaints received under [agency]'s Client Complaint Management Policy.  General complaints process is available.  Our complaints are funnelled to appropriately delegated personnel to resolve issues. |
| 7.4 | This process, or a version of it, is available to the public. |
|  | HHS [business unit] being established and this will include availability of such information.  [web address]  Just our contact details.  Unknown. Managed by a different work unit.  Webpage. |
| 7.5 | There is a clear process for privacy complaint handlers to advise agency officers when practices that need changing are identified. |
|  | Advice provided by letter.  Client Complaint Management Procedures set out the process for managing client complaints received under [agency]'s Client Complaint Management Policy.  Informal.  No specific process for privacy complaints.  Privacy complaint procedures in place but being reviewed and updated.  Privacy complaint procedures in place but being reviewed and updated.  Rarely had complaints.  The agency has not received any RTI or IP applications since 1 July 2013. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced.  To date, no complaints have been received. RTI/IP officer would request changes if required. |
| 7.6 | There is a clear process for agency officers to action changes to practices arising from complaints. |
|  | Client Complaint Management Procedures set out the process for managing client complaints received under [agency]'s Client Complaint Management Policy.  Informal.  Mentioned as possible outcome in policy.  No specific process for privacy complaints.  Privacy complaint procedures in place but being reviewed and updated.  Privacy complaint procedures in place but being reviewed and updated.  The agency is not aware of any privacy breaches or privacy complaints. Notwithstanding, it has been identified that the agency's policy is due for review. This review has been commenced. |
| 7.6 cont | There is a clear process for agency officers to action changes to practices arising from complaints. |
|  | There would should a complaint occur.  To date, no complaints have been received.  When necessary. |
| 7.7 | In the last two years your agency has received privacy complaints.  *(If 'N' skip 7.8 to 7.11)* |
|  | N/A.  No complaints have been received by the Board.  No complaints.  None received.  None that reasonable investigative measures have uncovered.  Not to my knowledge, [position title] has resigned recently and would have handled any breaches.  One complaint has been received.  One received.  One, not upheld.  Two inadvertent email address releases, only one of which resulted in a complaint. |
| 7.8 | Privacy complaint handling is timely. |
|  | Currently handled through Council's General Complaints Policy and under review.  In relation to Privacy complaints and investigation work, at times the RTI&P Unit seek assistance from investigators based in the [business unit] within [agency]. |
| 7.9 | Complainants are generally satisfied with the response given. |
|  | A survey has been developed and will be sent out to Privacy complainants seeking feedback.  Can't really know that. The individual didn't complain.  Feedback process for privacy complaint handling being reviewed and updated.  Feedback process for privacy complaint handling being reviewed and updated.  This is not surveyed. Only one formal complaint received. Did not proceed to OIC.  Unknown. Current processes do not include the privacy officer in finalisation of complaints. |
| 7.10 | In the last two years privacy complaint handlers have advised agency officers that practices need to change.  *(If 'N' skip 7.11)* |
|  | As above. (D7.9 Unknown. Current processes do not include the privacy officer in finalisation of complaints.)  In these instances not because of actual privacy complaints but to prevent possible breaches occurring.  [agency] is in the process of reviewing. |
| 7.11 | Approved reforms to agency processes identified by complaint handlers have been implemented. |
|  | Currently handled through Council's General Complaints Policy and under review. |
| 7.12 | There have been privacy breaches in the last two years.  *(If 'N' skip 7.13)* |
|  | [Agency] advice sought re Interpretation of IPP 11 (1) (e) and confidentiality provision of our [legislation]. Process changed due to advice received. Agencies concerned advised immediately of new process.  Inappropriate access to medical records.  Minor breaches of privacy. Disclosure of [agency information], [agency information] or [agency information] to other [members of the public].  None received.  None that reasonable investigative measures have uncovered.  Not aware of any.  Not sure.  Not to my knowledge, [position title] has resigned recently and would have handled any breaches.  See Q 7.7 above. (D7.7 Two inadvertent email address releases, only one of which resulted in a complaint.)  The complaint was not substantiated.  There have been no privacy breaches by the Board or the staff providing support to the Board.  We have noted a few minor possible breaches however have dealt with them appropriately. |
| 7.13 | The same type of breach has occurred two or more times in the last two years. |
|  | Administrative errors in relation to: auto-populated email addresses - therefore emails being sent to the incorrect recipient. Correspondence sent to the incorrect recipient via Australia Post.  Customer information sent to incorrect [member of the public] Customer advised and [member of the public] confirmed deleted email.  Remedial action is taken as appropriate and processes are changed to minimise the risk of recurrence. |
| 7.13 cont | The same type of breach has occurred two or more times in the last two years. |
|  | See 7.12. (D7.12 Minor breaches of privacy. Disclosure of [agency information], [agency information] or [agency information] to [members of the public].)  See Q 7.7 above. (D7.7 Two inadvertent email address releases, only one of which resulted in a complaint.).  These have all been low level breaches. When they are identified they are managed as a priority. |

**Section E – Additional Questions**

**(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.)**

|  | **Criteria Question** |
| --- | --- |
| 8.1 | The agency uses redaction technologies or would use redaction technologies as needed to assist in its decision making processes involving digital video recordings.  (NB “Redaction technology” allows an original video to be electronically altered to remove specific items from the footage - for example, personal information such as an individual’s face can be removed.)  *(If your agency has not received any requests for video footage please select ‘Yes’, ‘In Progress’ or ‘Identified’, depending on the current extent to which your agency has access to video redaction technology.)* |
|  | All matters are referred to [agency] to be managed.  [agency] - fixed camera surveillance in reception area and conciliation rooms on a loop recording which overrides. No requests have been received to access camera footage.  CCTV footage is provided to police when damage has occurred to equipment in the multilevel and a damages claim is made. This is the only time our Agency has been required to provide digital video and it is done via the [business unit].  Council does not have redaction technologies for video recordings. Council intends to consider available software.  Do not have available software to enable redaction of digital video recordings.  Due to the small number of applications received, the Board has not needed to release information via technology as yet.  Hasn't happened so far.  Have not needed to use this technology yet.  N/A.  N/A.  Never had video recordings available for disclosure.  No access to redaction technology.  No applications have been received for video footage.  No digital video recordings used.  No digital video recordings.  No requests made outside law enforcement.  No requests of this nature have been received to date.  No requests received for digital video recordings.  No requests received.  Not applicable to [agency].  Not received any requests.  Redax software is utilised for RTI/IP applications.  Technology not available at this Health Service.  The agency has not received any access applications involving digital video recordings.  The department does not possess digital redaction technology.  The need for this has never arisen.  The need has not arisen to date, however, would consider if required.  This agency does not operate fixed or mobile camera surveillance systems. |
| 8.2 | The agency has adopted the privacy principles in its operation of fixed camera surveillance systems. |
|  | A procedure is in place for operation of these systems.  All matters are referred to [agency] to be managed.  [Business unit] has digital recording facilities which are used with mediation trainees. Trainees all sign consent forms to be recorded while doing role plays.  Do not have camera surveillance.  Facilities are signed where CCTV is in use.  Fixed camera etc. not used.  [Agency] does not have camera surveillance.  N/A as the IP Act does not apply to [agency].  N/A.  N/A.  N/A.  N/A.  N/A.  N/A.  N/A. |
| 8.2 cont | The agency has adopted the privacy principles in its operation of fixed camera surveillance systems. |
|  | N/A.  N/A.  N/A.  N/A.  NA we don't have any.  No camera surveillance systems operated.  No camera surveillance.  No cameras in use.  No fixed camera surveillance systems used.  No fixed camera surveillance systems.  No fixed cameras.  No such systems in place.  Not applicable to [agency].  Not applicable.  Not applicable.  Not Applicable.  Not necessary.  Privacy principles were considered in preparing notices about CCTV.  Security is outsourced but representative of [agency] must authorise release of info.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The Board does not operate a fixed camera surveillance system.  The department does not have fixed camera surveillance systems.  The [agency] does not use fixed or mobile camera surveillance systems.  Unknown. |
| 8.3 | The agency has adopted the privacy principles in its operation of mobile camera surveillance systems, including body worn cameras, drones, iPads and smartphones. |
|  | A procedure is in place for operation of these systems.  All matters are referred to [agency] to be managed.  Do not have camera surveillance.  Do not have mobile camera surveillance systems.  Education and review of policies continues.  If applicable.  IPads, Smartphones.  N/A as the IP Act does not apply to [agency].  N/A.  N/A.  N/A.  N/A.  N/A.  N/A.  N/A.  N/A.  N/A.  NA don't have any.  No mobile camera surveillance systems operated.  No mobile camera surveillance systems used.  No mobile camera surveillance systems.  No mobile surveillance systems in place.  No such systems in place.  No surveillance cameras.  No systems in use.  Not applicable to [agency].  Not applicable, such devices not used.  Not applicable.  Not applicable.  Not applicable.  Not applicable.  Not necessary.  Privacy Impact Assessments undertaken for mobile cameras.  See comment at question 2.1. (A2.1 - Neither the RTI Act or IP Act effectively apply to [agency].)  The Board does not operate a mobile camera surveillance system.  The [agency] does not use fixed or mobile camera surveillance systems.  Unknown. |
| 8.4 | The agency engages with the applicant, third parties, relevant business units and any other relevant stakeholders to explore options for providing information prior to making a decision on the access application. |
|  | All matters are referred to [agency] to be managed.  If appropriate.  If necessary.  N/A as the IP Act does not apply to [agency] and the RTI Act has very limited application (in relation to CSOs only, of which we have none).  N/A.  N/A.  No applications received.  Not applicable.  Not applicable.  To date, the [agency] has not received any RTI/IP applications. If the [agency] received an access application, negotiation with the relevant parties would be carried out.  Where relevant. |

| **Final Comments** |
| --- |
| You have now answered all questions for your agency. Do you have any final comments? |
| All [agency] RTI and IP matters are referred to [agency] to be managed.  As an agency with <60 staff, the [agency] has not received any RTI, IP or complaint applications since its inception. A manager with a legal qualification has been identified as being responsible for any applications received and is familiar with the relevant legislation. Assistance is also available from the [agency]'s portfolio partner. The personal information collected (other than that of staff) is restricted to capturing information relating to [agency information], a statutory function of the [agency]. For the purpose of this survey, where questions are not applicable, a No response has been recorded (i.e. the [agency] does not operate fixed surveillance cameras).  Council rarely has formal RTI requests so it was difficult to answer some of the questions. Thank you. [agency].  [Agency] has many systems in place that have been implemented in full across the organisation, however not all systems have specific written procedures. Management has identified this as an issue and is deciding on a course of action to take to fully implement written procedures.  [Agency] has had no requests under RTI or IPP for over three years. The Council is cognisant of the legislative requirements it operates under. It is also aware of the need to improve its policies, procedures and information regarding the legislation and is in the process of undertaking these measures.  Due to the nature of the organisation's business, [agency] receives very few applications under either the RTI or IP legislation - generally fewer than one per year. All [agency] staff are trained appropriately in both RTI and IP, with an annual refresher session held annually. All new staff receive one-on-one training with the RTI/IP Manager as part of the induction process. The RTI/IP Manager attends portfolio meetings as appropriate to discuss current and emerging RTI/IP issues.  Due to the small amount of applications received, it was difficult to answer many of the questions. Many of the processes identified are not in place and these are developed as the need arises. Our website is also currently under review for reconstruction.  [Business Unit] needs to address the [agency] requirement to delete records from the [business system] to ensure compliance with [legislation] and the Information Privacy Act 2009.  [agency] is a relatively small organisation with two people involved in the handling of RTI matters. One person commits approximately 10% of their time to RTI matters with the other person overseeing and working collaboratively when needed.  I wish to thank the OIC for their ongoing support and training including great services like the phone helpline, end-user meetings/seminars and website publications.  In future, it would be helpful to have a not applicable response option, as a number of questions were not applicable to [agency] (and may similarly be not applicable to other Government Owned Corporations). As a registered corporation with an annual turnover in excess of $3 million, [agency] is bound by the Privacy Act 1988 and the Australian Privacy Principles (APPs) contained therein which regulate how we may collect, use, disclose and store personal information and how individuals may access and correct personal information we hold about them. As a Government Owned Corporation, [agency] is not an entity to which the privacy principles set out in the Information Privacy Act 2009 (Qld) apply (refer to section 19 and Schedule 2, Part 1 of the Information Privacy Act). Further, under section 17 of the Right to Information Act 2009 (Qld), an entity mentioned in Schedule 2, Part 2 in relation to the function mentioned in that part, is exempt from provisions of the Right to Information Act. [Agency] (and subsidiaries of [agency]) are exempt from the application of the Act in relation to its functions, except so far as they relate to community service obligations. [Agency] does not have any community service obligations.  It should be noted that we are a very small Statutory Entity. Although we provide funding and support to partner organisations and external stakeholders (including [agency]'s) for programs and or trials that may involve the collection of personal information, this information is collected and managed by the partner organisation and/or external stakeholders and not known to or accessible by our [agency]. Presently, the only personal information we collect and hold relates to subscriptions for a newsletter data base.  It would be good to have an option for 'Not Applicable'.  It would have been handy to have a copy of the 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, which was referred to in a number of footnotes.  Long winded and overly complex for a small Council that has never had to deal with RTI's. Waste of time.  Much of this survey is not relevant to our organisation, which is a very small agency with three staff and one Commissioner. We have received only on RTI request in the past three years and no privacy applications.  Nil.  No further comments.  No further comments.  No thank you.  No.  No.  No.  No.  No. Comments have been provided in audit questions.  Outlined below are additional 'Optional comments' which would not fit into the maximum of 250 characters. Gateway questions 1. The RTI&P Unit within [agency] process RTI&IP access applications for the [agency] and the [agency]. Section A - Leadership 1. Open Government - 1.1 RTI&IP access applications as a last resort. [Agency] has a number of Administrative Access Schemes across the agency. RTI decision-makers trained and aware of alternative access paths. 1. Open Government - 1.5 A fortnightly decision-makers meeting is convened by the Manager, RTI&P Unit. Internal documents are distributed to relevant business units for consultation and feedback, e.g. Privacy Guide, decision makers' guide on Cabinet matters, Disclosure Log process, appropriate use of IOMS. 3. The agency actively manages information - 3.3 The following resources have been developed and are fully implemented: Privacy Factsheet, Privacy Guide, Queensland Police Service Information Request form is used by officers of the Queensland Police Service to access [agency] information, Transferring Personal Information Out of Australia, Client Complaint Management Procedure (including Privacy complaints), Disclosure Log framework, Informing executive regarding RTI&IP applications, Approval to Publish process (including RTI classifications) 3. The agency actively manages information - 3.8 The RTI&P Unit and the office of [Business Unit] provide advice to business units upon request. [agency]'s Senior Privacy Officer provides advice to officers managing new projects in the completion of a Privacy Impact Assessment. The Procurement Unit within Financial Services manage contracts for [agency]. 5. Training - 5.1 [Business Unit] - Evolve training (4-10 officers) Internal Audit - 100% of Internal Audit (12 officers) [Business unit] - Evolve and IP training undertaken in last 12 months (84 officers) [Business Unit] and [Business unit] (30-49 officers) [Business unit] - (100 or more officers) RTI&P Unit delivered training to 340 [business unit] recruits in 2015 in addition to a large number of other [agency] staff training in RTI&P. Mandatory IP training managed by supervisors within business units. 5. Training - 5.4 RTI&P Unit delivered training to 340 [business unit] recruits in 2015 in addition to a large number of other [agency] staff training in RTI&P. 5. Training - 5.5 Attendance at OIC and other relevant workshops from time to time. RTI&P face-to-face specialised training delivered by officers from the RTI&P Unit. Development of staff to deliver RTI&P training to reinforce knowledge across [agency]. Section B - Accountability requirements 4. Ongoing local review of systems and procedures to ensure the effectiveness of the RTI&IP functions and the implementation of any recommendations. Regular reviews of resources versus function expectations. Section D - Compliance 2.1 Negotiation - 1 text cont'd........This occurs at the scoping stage of the access application. 2.2 Communication - 3 The request can often be part of a broader issue and will be responded to in accordance with standard business practice. The internet site promotes access paths for departmental information – [web address]. RTI application as a last resort. RTI decision-makers are trained and aware of alternative access paths. RTI&IP requests are processed in accordance with the timelines in the Acts. D.2 - Requirements for Publication Schemes 13. text cont'd....The CUE Standard includes templates for agencies to rapidly build standards - compliant websites. Version 3.0 of CUE Standard was approved by DG, Department of Public Works on 7 December 2010. D.9 Detailed requirements for adoption of privacy principles 7. Breaches and complaints - 7.2 Assessment - Yes Client Complaint Management Procedures set out the process for managing client complaints received under [agency]'s Client Complaint Management Policy. \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\* [agency] - additional comments specific to some business units [Business Unit] The [Business Unit] is aware of the responsibilities and importance placed on RTI and Privacy. The office is aware of the associated timeframes and expectations with document search requests, consultations, etc. which make up part of the RTI process. The office is aware of the internal and external review mechanisms and is confident that their officers are mindful of the need to ensure adequate searches are undertaken when searching for documents which may form part of an RTI application. [Business Unit] Section D - Compliance - D.1 - 1.1 Searches The office of [Business Unit] has one appointed officer who is authorised to receive search requests. When this officer is not available, such as being on leave, this function is transferred to another officer. The receipt of search requests is controlled. The officer receiving the search request alerts the Director. The Director authorises the officer to send around the search request to all staff with a view to a staff member recollection. Our local file systems, CMS and eDocs, are also interrogated by that officer to see if there are any documents falling within the search request. Any documents that are located are provided to the Director who will approve that the documents fall into the request. Once approved, this office follows the process indicated on the information notice. In the event of any doubt or query as to whether a document falls within the search request, the matter is addressed Director to Director in most instances. Such instances are rare. If no relevant documents are located, the searching officer completes the form indicating that our work group does not have any relevant documents and the Director signs the notice. [Business Unit], [Business Unit] [Business Unit] responds to RTI requests made through the RTI and Privacy Unit, adhering strictly to prescribed timeframes or seeking an extension as necessary. The Executive Officers located in each of the [Business Unit] and the [Business Unit] coordinates the request for information under the RTI Act. The release of documents from [Business Unit] files is excluded from the RTI Act and primarily governed by the [legislation], the [legislation] and the [legislation]. These rules and legislation contain specific provisions around the search and copy of [Business Unit] files. [Business Unit] has in place effective policies and procedures for the collection, management and disposal of personal information and for the management of any complaints which occur. Any identified concerns about the release of specific information is provided with the RTI request to fully inform the RTI delegate. [Business Unit] [Business Unit]'s approach to RTI and information privacy is guided by the [Business Unit] framework. Further, the nature of our business means that very few RTI/IP requests are received in respect of the work of the [Business Unit]. [Business Unit] [Business Unit] has procedures to meet [agency]'s RTI requirements ([business system] under [business procedures]) with separate procedure for records officers on conducting searches. Section D - Compliance - D.9 Detailed requirements for adoption of privacy principles [Business Unit] does not have a separate breach or complaint mechanism for privacy issues. [Business Unit] rely on [agency]'s Policy and Complaint process, e.g. Online Complaints and Client Management Policy (see [agency] Publication Scheme) and the Office of the Information Commissioner. [Business Unit] does not have a Client Complaint Management Procedure which is for managing client issues with [business services]. [Business Unit] Gateway questions Overview - [Business Unit], as a division of [agency], accords to all procedures and practices specified by [agency] RTI and Privacy Unit. Section A - Leadership - Open Governance Procedures - All internal procedure pages on the [Business Unit] intranet are linked to the [agency] RTI and Privacy page. Resourcing - [Business Unit] has no dedicated resourcing for RTI requests, which are managed on an ad-hoc basis as requested by [agency] RTI and Privacy Unit. Training – [agency] RTI and Privacy Unit delivered training to 340 [Business Unit] recruits in 2015 in addition to a large number of other [Business Unit] staff trained in RTI and Privacy. Section B - Accountability requirements Complaints - All complaints, if received, concerning RTI are directed to [agency] RTI and Privacy Unit. Section D - Compliance D.1 - Detailed questions about active management of agency responsibilities Searches - - [Business Unit] receives a large volume of RTI requests, which are managed by [agency] RTI and Privacy. - [Business Unit] officers receive and action search requests as directed by [agency] RTI and Privacy Unit. D.2 - Requirements for Publication Schemes and D.3 - Requirements for Disclosure Logs Publications - The publication schemes and disclosure logs are managed by [agency] RTI and Privacy Unit. D.8 - Internal and External Reviews Internal and External reviews are manage by [agency] RTI and Privacy Unit and reported to [Business Unit] where applicable. D.9 - Detailed requirements for adoption of privacy principles - Information privacy incidents are reported at the highest level in [Business Unit]. The Commissioner notification is sent to [agency] RTI and Privacy Unit to initiate an investigation, that is managed by [agency]. - [Business Unit] has audited, under instruction by [agency] RTI and Privacy, all information privacy statements used on departmental forms. - Privacy principles have been adopted for fixed and mobile video surveillance technology. - [Business Unit] storage of personal information is secure ([business systems]) and disclosure of personal information is appropriate. [Business Unit] - The [Business Unit]'s office has a statutory responsibility to provide information to assist people owning, living in or who have an interest in community titles scheme. To reach the widest possible audience, the [Business Unit]'s office uses a variety of methods to provide information to its clients, including: - the "[name of newsletter]" e-newsletter - a 'quick guide' to [Business Unit] matters - a range of seminars, delivered to and in partnership with, industry peak bodies and other stakeholder groups - presentations at industry conferences and symposia, typically delivered by the [Business Unit] - [business policies and procedures] (published on the website) - journal articles written by the [Business Unit] and published in industry publications - prescribed and approved forms (available on the website) - PDF information relating to the Training Modules via the Online Training section - Open Data Set information on monthly number of applications received by scheme region, regulation module and file subject matter - links to relevant legislation - links to view [business information] (via the [name of website] website) D.2 - Requirements for Publication Schemes As per [agency]'s RTI website, [Business Unit]'s section does not come under the advertised groupings of [Business Unit] publications, [Business Unit] publications or [Business Unit] publications. [Business Unit] do not have a page dedicated to publications available to members of the public. The [Business Unit] webpage is only accessible under 'About Us' and 'Business Areas' and under ‘[webpage]’. All [Business Unit] publications, i.e. forms, guides, [business information], etc., are listed in the [data repository] – [web address]. E - Additional questions Cameras located in [Business Unit] rooms and reception area mainly for security purposes. There is a computer/PC in the office area to monitor recordings. No written procedures have been given to [Business Unit]. Outside security company installed cameras prior to [Business Unit]'s relocation to the [Business Unit]. If needed [Business Unit] would contact the Building Security to obtain information on the system. The taped sessions are on a timed overwrite. [Business Unit] have never been in a situation to review any taped sessions and have had no requests from clients to access camera footage.  Please note the agency details need to be changed from [Business Unit] to [Business Unit].  [Agency] manages the RTI and IP application function on behalf of [agency]. Officers within the [Business Unit] are the delegated decision-makers concerning access to documents held with [agency]. Any RTI or IP applications that have been received regarding [agency] have been included as part of [agency]'s response to the audit. [Agency] also provides relevant statistical information concerning [agency] RTI and IP applications to the [agency] as part of their annual reporting requirements.  Thanks [OIC officer], let me know if you have any questions. Regards, [contact officer].  The Board administration is the Secretary (Full time); assistant secretary (part time) and a casual employee. The Board is a self-funded statutory body with legislation coming under the [agency]. While we deal with any RTI / IP applications where necessary we seek guidance from the Department's RTI Services or from the OIC website and or by phoning the enquiries line.  The correct name of this agency is [agency]. The trading name is [agency]. Please note that all responses to s.D9 have been set to 'no'. It appears that an error has occurred in the audit. As a GOC we are not required to respond to this section.  The OIC website Education Section is an invaluable tool for training. The website also provides useful references when dealing with an Access Application which may be unusual or out of the ordinary.  The [agency] has previously aligned its RTI/IP policy with the now [agency], including using the department's disclosure log. The [agency] has been made a permanent part of the Queensland Government and as such is reviewing/considering a range of policies, including RTI/IP.  The [agency] releases personal information to [members of the public] who request their own information under an Administrative Access scheme. Other ways that [members of the public] can obtain information about their own [business information] is through the [business unit] process. As so much of the information that the [agency] collects is sensitive, [type of information] information, this is not available to the general public. When the [legislation] is implemented, it is intended that the [agency] will publish on its website the [agency]'s Guidelines for [members of the agency].  This is a really effective way to self-assess. It is good to see how we have improved over time as a HHS.  This survey was particularly onerous and time consuming to complete. We estimate that it took six hours to do and we doubt that next time it will be taken seriously. That means you will end up getting skewed/false results. In terms of survey design (compared to the QSA one in early 2015) this was very poor and not conducive to considered responses. Did you pilot it with people outside the OIC/[agency] world or keep it in house? It was also poor that we could not print out our consolidated responses after submission. We could do that with the recordkeeping survey.  We are a small agency and have received one RTI application in five years and nil privacy applications.  We have only received a small number of RTI and IP applications and no complaints.  We have the procedures and policies in place with regards to RTI and IP applications but only receive 1-2 applications (for RTI) per year and have not received any IP applications.  We only receive 2-3 RTI Applications PFN.  We very rarely receive RTI or IP applications.  When the agency website is completed and operational, then there will be a movement towards more local policy and other content.  With respect to questions in Section A 4.1 and 4.2, the data provided mirrors that provided in the response from the [agency] so the figures should not be recounted for [agency]. [agency] provides related services to [agency] under an MoU and supplies all the FTE resources to fulfil the functions. Section D8.1.1 to D8.1.5 was missing in this survey form. If required, all responses were 'Yes'. (Although in Gateway question 2 it was identified that no internal review applications were received, section D8.1 deals with systems and processes being in place - not where the applications received tracked etc. I would not think that this section was automatically removed with a 'No' answer.) Additionally, it seems that responses to questions D.9.7.8-13 automatically click to 'No' when you answer 'No' to Q D.9.7.7. But Q D.9.7.8 and D.9.7.9 do not limit responses to 'the last two years' as the other questions do. So even though we answer 'Yes' to 'Privacy complaint handling is timely.' it automatically changes to 'No' when you save. I think the questions need better definition.  Yes, please make it clear in your communications with statutory bodies which audits are compulsory and which are not. Although this was a non-compulsory audit, I have been continuously reminded to complete it. Is it really optional or not? Thanks. |

1. Sourced from OIC survey of agencies and the recommendations of the Solomon report. [↑](#footnote-ref-1)
2. 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. [↑](#footnote-ref-2)
3. 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.* [↑](#footnote-ref-3)
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. [↑](#footnote-ref-4)
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. [↑](#footnote-ref-5)
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. [↑](#footnote-ref-6)
7. 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. [↑](#footnote-ref-7)
8. From QGEA Guideline *Implementing Information Governance*. [↑](#footnote-ref-8)
9. 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.* [↑](#footnote-ref-9)
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. [↑](#footnote-ref-10)
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. [↑](#footnote-ref-11)
12. 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. [↑](#footnote-ref-12)
13. From QGEA Guideline *Implementing Information Governance*. [↑](#footnote-ref-13)
14. Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009.* [↑](#footnote-ref-14)
15. Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009.* [↑](#footnote-ref-15)
16. Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009.* [↑](#footnote-ref-16)
17. Taken from the requirements in the *Right to Information Act 2009* and *Information Privacy Act 2009.* [↑](#footnote-ref-17)
18. From Schedule 3 of the *Information Privacy Act 2009.* [↑](#footnote-ref-18)