Agency Information Access Maturity Assessment Survey

Instructions

Agencies should perform the Information Access maturity assessment for each area of practice using this survey, which can be completed by information access officers or released for wider participation.

This survey can be kept together or broken down by area of practice and can be uploaded to Microsoft Forms using the Quick Import function, or to other survey tools for easy collection of responses and viewing of response data.

**Follow the links below to each area of practice:**

[Section 1: Culture and Leadership](#Section_1)

[Section 2: Governance](#Section_2)

[Section 3: Open Access information](#Section_3)

[Section 4: Contract Register](#Section_4)

[Section 5: Authorised Proactive Release](#Section_5)

[Section 6: Informal Release](#Section_6)

[Section 7: Formal Access Applications](#Section_7)

[Section 8: Disclosure Logs](#Section_8)

[Section 9: Supporting Tools and Systems](#Section_9)

[Section 10: GIPA Functions](#Section_10)

The target audience for the surveys is to be determined by officers. Some areas of practice may require widespread distribution to get accurate responses while other may only need to be sent to a set of specific individuals. In smaller agencies, the surveys may only need to be completed by the information access officer themselves.

To ensure the best use of this survey and its interaction with the Management Document, information access officers should be encouraged to complete the survey to the best of their understanding.

Surveys and assessment are advised to be completed regularly in order to track maturity levels over time.

*You may wish to delete the above instructions before issuing the survey*

About this Survey

This survey is a tool to support privacy officers in understanding the nature and effectiveness of their Agency’s information access and open data practices.

Please respond to this questionnaire to the best of your understanding and judgement.

Confident and accurate assessments of the Agency’s current maturity status will allow for an understanding of areas for improvement, and planning of targeted improvement activities.

**Section\_1: Culture and Leadership**

1. Which of the following do you believe characterises the current position of the Executive and Senior Leadership with regard to open data and access?
   1. The Executive and Senior Leadership **pro-actively promote a open data and access and advocate it** **as a priority** to all levels of the organisation
   2. The Executive and Senior Leadership **pro-actively monitor the promotion** of a open data and access to all levels of the organisation
   3. The Executive and Senior Leadership **support the promotion** of open data and access to all levels of the organisation
   4. The Executive and Senior Leadership **are building awareness** of their role in promoting open data and access
2. Do you have a good understanding of the established governance around access to open information and data?
   1. Yes
   2. No, however I am aware such structures exist
   3. No, and I do not know if such structures exist
3. In your experience, does your organisation reflect on, monitor and regularly update what data is provided openly and how it may be made available to citizens?
   1. Yes, routinely
   2. Yes, occasionally
   3. No
4. Have you been provided with training to ensure you are aware of open access and open data policies and requirements?
   1. Yes, the training is regular
   2. Yes, the training is ad hoc, one-off or occasional
   3. No
5. Are the four pathways for access to information promoted in your organisation?
   1. Yes, they are promoted and I have a clear understanding of the four pathways of access
   2. No, they are not promoted but I do have an understanding of the four pathways of access
   3. No, they are not promoted and I do not understand what is meant by the four pathways of access
6. Is a pro-disclosure culture promoted in your organisation?
   1. Yes, it is promoted, and I have a clear understanding of what a pro-disclosure culture means for my organisation
   2. Yes, it is promoted, but I do not have a clear understanding of what a pro-disclosure culture means for my organisation
   3. No, they are not promoted and I do not have a clear understanding of what a pro-disclosure culture means for my organisation
7. What is your understanding of Right to Information Officers within your organisation?
   1. I can identify Right to Information Officers and the informed and independent decisions they have made
   2. I can identify Right to Information Officers but am unsure of what their decision-making role is
   3. I cannot identify any Right to Information Officers in my organisation

**Section\_2: Governance**

1. Which of the following best reflects the open data governance structures in place in your organisation?
   1. Integrated governance structures account for the roles and responsibilities played by every level of the organisation in pursuing broader open information access goals.
   2. Governance structures that address open information access are integrated into wider organisational governance and encompass communicating broader open information access goals beyond annual reporting requirements.
   3. Governance structures that address open information access are in place to meet the requirement that statistical information about access applications to be included in the annual report
   4. I am not aware of any governance structures that address open information access or ensure annual reporting requirements are met

**Section\_3: Open Access information**

1. Which of the following best reflects the processes your organisation has in place to determine what information can be identified as open access information?
   1. Determinations are regular and subject to continuous improvement processes in place which improve the provision of open access information, including increasing the provided scope, data formats and access channels which best meet the needs of the users of open information
   2. Business-as-usual data management activities include determining information that can be made publicly available and provided through free of charge access channels
   3. There are open data determination processes, but they have historically been performed ad hoc and not as part of regular, business-as-usual activities
   4. There are no such processes and it is unclear if or how open access information is determined
2. Does your organisation provide an Agency Information Guide that meets the requirements specified in section 20 of the GIPA Act and the IPC’s AIG guideline?
   1. Yes
   2. No, an Agency Information Guide is not made available to the public, or otherwise it does not meet the requirements specified in section 20 of the GIPA Act and the IPC’s AIG guideline
3. Is your organisation’s Agency Information Guide reviewed and updated?
   1. Yes, at least annually as part of a defined review cycle
   2. Yes, occasionally, but not annually
   3. The Agency Information Guide is seldom or never reviewed and updated
4. Is the Information Commissioner notified before amendment to, or release of, the Agency Information Guide?
   1. Yes
   2. No
5. Is open access information as identified by your organisation in the Agency Information Guide and other open access documentation made publicly available, unless there is an overriding public interest against disclosure?
   1. Yes, all identified open information is made publicly available
   2. Yes, a subset of the identified open information is made publicly available
   3. No, the identified open information is not made publicly available
6. Is there is at least one way that people can access the publicly available Open Access Information free of charge?
   1. Yes
   2. No
7. Is the publicly available Open Access Information available free of charge on a website maintained by the agency?
   1. Yes
   2. No, but there is a documented assessment that providing such access would impose unreasonable additional costs on the organisation
   3. No, and there is no documented assessment of costs
8. Does your organisation keep a record of the open access information that an agency does not make publicly available on the basis of an overriding public interest against disclosure?
   1. Yes, and that record is regularly reviewed to identify where considerations have changed, and information can be made public
   2. Yes, a record is kept but it is not subject to regular review
   3. No

**Section\_4: Contract Register**

1. Does your agency maintain a register of all Class 1 contracts with a value of $150,000 (inc. GST) or more that identifies the name and business address of the contractor, the commencement date and duration of the contract, details of the project, project cost, basis for variations and selection process?
   1. Yes
   2. No
2. Is the register updated within 45 working days of any relevant contract coming into effect?
   1. Yes
   2. No or a register is not kept
3. Does the contract register include all additional information required for Class 2 contracts as identified in Section 30 of the GIPA Act?
   1. Yes
   2. No or a register is not kept
4. Does the contract register fully meets the requirements for Class 3 contracts (those with a value of $5 million or more) as identified in Section 31 of the GIPA Act?
   1. Yes
   2. No or a register is not kept
5. If a copy of a contract is not included or partially included on the agency register for reasons of confidentiality, does the register include:

* the reasons why the contract or provisions have not been included on the register
* a statement as to whether it is intended to include the contract or provisions at a later date, and when this is likely to occur
* a general description of the types of provisions that have not been included.
  1. Yes
  2. No or a register is not kept

1. Are processes in place to update the register in the case of material variations to the contract within 45 working days after the variation becomes effective?
   1. Yes
   2. No or a register is not kept
2. Which of the following best characterises the processes and procedures around the maintenance of the contracts register?
   1. The contracts register is updated as part of core business-as-usual processes, and staff are provided with appropriate access and documented procedures to continually update the log
   2. The contracts register is updated though ad hoc processes and procedures. Access is granted as necessary whenever an update is made.
   3. There are no processes and procedures to update the register
3. Which of the following best characterises the availability of the register?
   1. It easily accessible on our organisation’s website free-of-charge and up-to-date. Clearly identified communication channels provide a responsive avenue for questions and feedback about the register.
   2. It easily accessible on our organisation’s website free-of-charge and up-to-date
   3. Is not provided on our organisation’s website free-of-charge or is not up-to-date
   4. It is not provided on our organisation’s website

**Section\_5: Authorised Proactive Release**

1. What best characterises the nature of proactive release in your organisation?
   1. Pro-active release programs which make our information publicly available and free-of-charge are systematic and part of an ongoing strategic approach, whose goals and priorities are informed by access data analytics and frequent stakeholder consultation with information users and information owners.
   2. Pro-actively release determinations which make our information publicly available and free-of-charge are systematic
   3. There are arrangements in place to manage the pro-active release of information free-of-charge or at the lowest reasonable cost.
   4. There is an absence of arrangements to manage the pro-active release of information, or else release conditions are prohibitive, such as not requiring a clear overriding public interest against disclosure or release being provided at unreasonable cost to those accessing the information.
2. Is proactive release incorporated into your organisation’s data collection, records creation and records management processes, including processes at creation of the document or information to determine if it should be proactively released?
   1. Yes, such processes address proactive release as part of core business-as-usual
   2. Yes, incorporation is documented, however in practice proactive release is addressed in an ad-hoc manner
   3. No
3. Does your organisation review its program for release of government information at intervals of no less than 12 months?
   1. Yes
   2. No
4. Are you aware of clear governance arrangements to manage proactive release of information?
   1. Yes, and such arrangements are followed
   2. Yes, I am aware of documented arrangements however they typically are not followed
   3. I am not aware of any such governance arrangements

**Section\_6: Informal Release**

1. Does your organisation have in place a process to manage informal requests for government information?
   1. Yes, and the process is clearly documented
   2. Yes, but the process is not documented
   3. No, there is no established process to manage information requests or I am not aware of one
2. Which of the follow best reflects your understanding of what information can be released on the basis of a formal request?
   1. I have a clear and detailed understanding of what can and cannot be released, supported by access to relevant and useful guidelines or manuals on the release process and requirements
   2. I have a general understanding of what can and cannot be released. I know that guidelines or manuals on the release process and requirements exist, but I am unsure of how to access them
   3. I have a limited or no understanding of what can and cannot be released and am not aware of how to access any guidance or manuals on the release process and requirements
3. Does your organisation have in place defined approval processes and delegations or authorisations for permitting the release of information informally?
   1. Such approval processes and delegations are in place, clearly identified in documentation and are regularly followed
   2. Such approval processes and delegations are in place, but are identified or followed in an ad-hoc or informal manner
   3. No such approval processes and delegations are in place
4. Does your organisation keep a record of informal requests to inform the future program for proactive release?
   1. Yes, such a record is kept and is up-to-date
   2. Yes, a record is kept but I am unsure of the quality of the data in the record
   3. No, a record is not kept, or I am unaware of if one is kept
5. Which option best describes how the record of informal requests is used by your organisation?
   1. The record is used as part of wider ongoing strategic activities that inform priorities and opportunities for proactive releases of information
   2. The record is used to inform proactive releases of information on occasion
   3. The record is not used to inform proactive releases of information, or I am unaware of having been used for such a purpose
   4. A record is not kept

**Section\_7: Formal Access Applications**

1. Does your organisation have identified Right to Information Officers - staff who are authorised to manage and decide formal access applications including the authority to make a reviewable decision?
   1. Yes
   2. No, or I am not aware of it
2. Does your organisation have processes to determine if a formal access request is valid, or if the information is available via any alternative means?
   1. Yes
   2. No, or I am not aware of it
3. Does your organisation provide assistance and advice to the applicant to facilitate the making of a valid application?
   1. Yes
   2. No, or I am not aware of such assistance or advice
4. Does your organisation provide an access application form available to download on your website, or accessible in some other way and have processes for payment of the application fee and any processing charges, which can include electronic facilities?
   1. Yes
   2. No, or I am not aware of it
5. Does your organisation have systems and processes in place to undertake searches for information, such as identification of parameters of GIPA applications and established records storage and retrieval systems?
   1. Yes
   2. No, or I am not aware of it
6. Does your organisation have systems and processes in place to undertake consultations with third parties?
   1. Yes
   2. No, or I am not aware of it
7. Does your organisation monitor the timely finalisation of requests (as the GIPA Act specifies timeframes for decisions)?
   1. Yes, finalisation timeframes are continuously monitored
   2. Yes, finalisation timeframes are monitored on an infrequent, ad hoc or occasional basis
   3. No, or I am not aware of any such monitoring
8. Does your organisation have processes in place to manage an internal review if the individual is not satisfied with the decision about release of the information?
   1. Yes
   2. No, or I am not aware of such processes
9. Does your organisation provide decision templates and ensure processes are in place to inform decisions about waiver or reduction of fees or charges on the basis of hardship?
   1. Yes, there are templates provided, and processes regarding hardship in place and routinely followed
   2. Yes, there are templates provided but processes regarding hardship are not routinely followed
   3. No, or I am not aware of such processes
10. Does your organisation provide decision templates and ensure processes are in place to inform the making of the allowable decisions?
    1. Yes, there are templates provided, and processes regarding the making of allowable decisions are in place and routinely followed
    2. Yes, there are templates provided but processes regarding the making of the allowable decisions are not routinely followed
    3. No, or I am not aware of such processes

**Section\_8: Disclosure Logs**

1. Does your organisation keep an up-to-date agency disclosure log which contains the following information:

* the date the application was decided
* a description of the information released
* a statement as to whether the information is now available to other members of the public and how it can
  1. Yes
  2. No

1. Does your organisation make the disclosure log available free of charge on your website?
   1. Yes
   2. No
2. Which of the following best characterises the maintenance of the disclosure log?
   1. The disclosure log is updated as part of core business-as-usual processes, and staff are provided with appropriate access and documented procedures to continually update the log
   2. The disclosure log is updated though ad hoc processes and procedures. Access is granted as necessary whenever an update is made.
   3. There are no processes and procedures to update the disclosure log
3. Which option best describes how the disclosure log is used by your organisation?
   1. The disclosure log is used alongside other data asset registers as part of wider ongoing strategic activities that inform priorities and opportunities for open data and proactive releases of information
   2. The disclosure log is used to inform ad hoc reviews of the organisation’s open data and proactive releases of information
   3. The disclosure log is not used to inform proactive releases of information, or I am unaware of having been used for such a purpose
   4. A disclosure log is not kept

**Section\_9: Supporting Tools and Systems**

1. Which of the following best describes the scope of training provided by your organisation for staff who play a role in exercising GIPA functions?
   1. Training is provided for principal officers, senior executives and any other relevant or interested staff on a regular and consistent basis.
   2. Training is provided for principal officers and senior executives on a regular and consistent basis.
   3. Training is provided to principal officers and senior executives as needed or otherwise sporadically. There is not a regular timetable establish to deliver training.
   4. No training is provided to principal officers and senior executives.
2. Does your organisation provide documented policies, guidance and procedures on GIPA responsibilities and meeting GIPA requirements?
   1. Documented policies, guidance and procedures exist, are regularly updated and are easily accessible by staff
   2. Documented policies, guidance and procedures exist but are either not regularly updated or are difficult for staff to access
   3. Documented policies, guidance and procedures do not exist
3. Which of the following best describes the communication of updates on policies, guidance, and procedures on GIPA responsibilities and meeting GIPA requirements?
   1. Communication is provided whenever there are updates to policy or guidance as a matter of course
   2. Communication is provided occasionally after updates to policy or guidance
   3. Communication is not provided after updates to policy or guidance on
4. Does your organisation have in place a case management tool for managing GIPA applications?
   1. There is a case management system, or a system or tool with similar functionality which is used to manage GIPA applications
   2. A case management system, or a system or tool with similar functionality is not used to manage GIPA applications
5. Does your organisation have in place documented procedures to assist in managing the risks associated with searches for information, including:

* guidance on conducting searches, and
* templates for issuing search requests and for return of documentation and certification
  1. Procedures to assist exist, are regularly updated and are easily accessible by staff
  2. Procedures to assist exist but are either not regularly updated or are difficult for staff to access
  3. Procedures to assist do not exist

**Section\_10: GIPA Functions**

1. What best describes the definition of GIPA roles and responsibilities?
   1. Delegations and authorisations identified in information access legislation are understood and defined
   2. Defined delegations and authorisations identified in legislation are not in place
2. What best describes the communication of GIPA roles and responsibilities?
   1. GIPA delegations and authorisations are available in writing and are easily located, and staff have a good understanding of these
   2. GIPA delegations and authorisations are available in writing and are easily located
   3. GIPA delegations and authorisations are not well-known, are difficult to access, or are not available in writing
3. What best describes how delegations and authorisations are reviewed?
   1. Delegations and authorisations are subject to regular reviews and are part of a documented process or policy which is carried out as part of any structural changes to the organisation. The outcomes of these reviews seek to identify deficiencies, risks and issues in the oversight of personal information processes.
   2. Delegations and authorisations are subject to regular reviews and are part of a documented process or policy, and there is a record of reviews that have taken place
   3. Delegations and authorisations are reviewed in a sporadic and ad hoc manner
   4. Delegations and authorisations are not reviewed,