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Implementation Assessment Tool: Indicators Phase II

The access to information legislation Implementation Assessment Tool (IAT) is designed as a matrix, with indicators related to baskets of activities (leadership, rules, systems, resources, and monitoring) and government functions/responsibilities (such as responding to requests, automatic publication etc.).

The indicators will be scored on the “stoplight method,” with a scale including green, yellow, and red. Green will indicate that the administration has done well, yellow will demonstrate that there has been some activity/engagement but an insufficient amount, and red will show that the administration has either not engaged or done very little to advance on this part of its implementation.

There are two set of indicators; 1) self reporting indicators which are addressed through an interview; and 2) indicators which require the verification of documents. All findings will then go through a validation process and two forms of peer review.

It is important to note that these indicators were initially tested during IAT Pilot Phase I in Bangladesh, Mexico, and South Africa and are to be tested in approximately seven more countries through two more pilot phases. The indicators will be revised following each pilot phase, and thus will not be considered final until all testing phases and revisions are complete.

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Indicators: Phase II

A. Crosscutting Functions

1. Leadership and Guidance

1. Does an agency official with authority over policy/procedure actively participate in the development and/or review/revision of ATI policies or regulations?
 - a. Yes
 - b. No
 - c. Not applicable, agency does not have authority to issue policy/regulations

2. Does an agency official with authority over policy/procedures actively participate in the development and/or review/revision of ATI related implementation document(s)?
 - a. Yes
 - b. No

3. Does the agency's strategic plan incorporate ATI, such as by including principles of access to information in goals, objectives, and/or outcomes?
 - a. Yes
 - b. No

4. How often does an agency official with authority over policy/procedures participate in meetings with program managers and operative personnel specifically dealing with ATI activities?
 - a. Twice a year
 - b. Once a year
 - c. Rarely or never

2. Rules and Guidelines

5. Does the agency issue specific regulations and/or policies on ATI?
 - a. Yes
 - b. No
 - c. Not applicable, agency does not have authority to issue policy/regulations

6. How often are ATI regulations and/or policies reviewed and revised?
 - a. ATI regulations are reviewed at least every 2 years and revised following a change in law
 - b. ATI regulations and/or policies are reviewed and revised periodically
 - c. ATI regulations and/or policies have not been reviewed or revised periodically or have not been revised following a change in the law
 - d. Not applicable, if law is less than 2 years old or agency does not have authority to revise regulations/policies
7. Does the agency make all guidelines available for reference?
 - a. The guidelines are kept online or in an easily accessible reference center for consultation by civil servants and the public
 - b. The guidelines are kept online or in an easily accessible reference center, but are only available to civil servants
 - c. The guidelines are not easily available or do not exist
8. Does the agency have a document(s) that establishes details for implementation?
 - a. Yes
 - b. No
9. Does the document(s) have the components necessary for detailing implementation?
 - a. The document(s) incorporates **all** of the following with regard to implementation:
 - i. objectives and/or benchmarks;
 - ii. actions;
 - iii. timeframe;
 - iv. responsible public officials; and
 - v. monitoring mechanism
 - b. The document(s) incorporates some but not all of the above components
 - c. There is no document(s) that details implementation
10. Is the document(s) detailing implementation reviewed/revised when there is a change in the ATI law, regulations, policy and/or guidelines?
 - a. Yes
 - b. No
 - c. Not applicable, as there has not been a change in law, regulation, policy and/or guideline
11. Has the agency internally disseminated the document(s) detailing implementation?
 - a. The document(s) has been disseminated electronically and/or in print to all responsible public officials
 - b. The document(s) has only been disseminated to some responsible public officials
 - c. The document(s) has only been referenced and not disseminated or there is no document(s)

3. Systems

12. Does the agency's public outreach specifically include a component regarding the agency's ATI procedures?
- a. The agency's public outreach specifically includes a component to communicate with the public about ATI and the agency's ATI procedures
 - b. The agency's public outreach communicates generally with the public about ATI, but has no specific components related to agency's ATI procedures
 - c. The agency does not communicate with the public about ATI or the agency's ATI procedures

4. Resources

13. Are the ATI functions and duties formalized?
- a. The ATI functions and duties are formalized in the agency organigram with a detailed job description and duties or with formal employment terms of reference
 - b. The ATI functions are included in the agency organigram but with no formal, detailed job description and duties
 - c. The ATI functions are captured with a detailed job description and duties, but the position is not included in the organigram or in the employment terms of reference
 - d. The ATI functions and duties are not specifically tasked/allocated
14. Has one or more public official been formally tasked/appointed in charge of ATI functions and duties?
- a. One or more public official(s) has been formally tasked/appointed with ATI functions and duties
 - b. One or more public official(s) has been informally tasked/appointed with ATI functions and duties
 - c. There is no specific tasking of ATI functions and duties
15. Does the public official(s) specifically tasked in charge of ATI functions and duties report to an agency official with authority over policy/procedure?
- a. Yes
 - b. No
16. Has the name of the public official(s) specifically tasked in charge of ATI functions and duties been made known to the public?
- a. Yes
 - b. No

17. Does the public official(s) tasked in charge of ATI functions and duties have the authority needed to comply with ATI mandate?
- a. Yes
 - b. No
18. Does the public official(s) tasked in charge of ATI functions and duties have the time needed to fulfill his/her responsibilities?
- a. Yes
 - b. No
19. Does the public official(s) tasked in charge of ATI functions and duties have the (staff) human resources needed to fulfill the agency's ATI duties?
- a. Yes
 - b. No
20. Does the public official(s) tasked in charge of ATI functions and duties and his/her staff receive training to fulfill their ATI functions and duties?
- a. The public official(s) tasked in charge of ATI functions and duties and his/her staff receives training on specific themes and/or receive specialized ATI orientation at least twice a year
 - b. The public official(s) tasked in charge of ATI functions and duties and his/her staff receives training on specific themes and/or receive specialized ATI orientation periodically
 - c. The public official(s) tasked in charge of ATI functions and duties and his/her staff does not receive training on specific themes and/or specialized orientation on ATI
21. Are all public officials made aware of basic ATI principles?
- a. All public officials are made aware of basic ATI principles through formal institutional mechanisms
 - b. Some communication activities regarding basic ATI principles take place, but are not systematized
 - c. No systematized, formal mechanisms are undertaken by the agency to make public officials aware of basic ATI principles
22. Are all general and specific training materials related to ATI functions created and maintained for future reference and use by public officials?
- a. All training materials related to ATI functions are kept online or in an easily accessible reference center for consultation by public officials
 - b. Some but not all training materials related to ATI functions are systematized and gathered for consultation
 - c. Training materials related to ATI function are not created or not systematized or gathered

23. Has the agency established physical space(s) for public viewing of information requested or proactively disclosed?

- a. Yes
- b. No

24. Does the agency specifically allocate the financial resources necessary for fulfilling its ATI functions and duties?

- a. The agency allocates costs for **all** of the following with regard to fulfilling ATI functions and duties:
 - i. personnel;
 - ii. infrastructure and equipment;
 - iii. training;
 - iv. internal awareness raising; and
 - v. public awareness raising
- b. The agency allocates costs for some but not all of these costs
- c. The agency does not allocate costs specific to fulfilling ATI functions and duties

5. Monitoring

25. Does the agency undertake monitoring of its ATI functions and duties?

- a. The agency regularly undertakes monitoring of its ATI functions and duties and issues written reports with findings and recommendations
- b. The agency regularly undertakes monitoring of its ATI functions and duties but does not issue written reports with findings and recommendations
- c. The agency does not regularly monitor its ATI functions and duties

26. Does the agency prepare and release an annual report related to its ATI functions and duties?

- a. The agency prepares and releases an annual report that provides quantitative and qualitative information, including user-end data, related to its ATI functions and duties
- b. The agency releases an annual report with general information related to its ATI functions and duties
- c. The agency prepares an annual report related to its ATI functions and duties but does not release it to the public
- d. The agency does not prepare an annual report with information related to its ATI functions and duties

27. Does the agency's internal oversight body/auditor monitor fulfillment of ATI responsibilities?

- a. Yes
- b. No

28. Does the agency's assessment of public officials' performance include ATI functions and duties?

- a. Performance monitoring includes an ATI component for all public officials
- b. Performance monitoring includes an ATI component only for public officials with specific ATI-related functions and duties
- c. Performance monitoring does not include ATI functions and duties

B. Receive and Respond to Requests

1. Leadership and Guidance

29. Is an agency official with authority over policy/procedure involved in the setting and reviewing/revising policies related to receiving and responding to requests, including internal appeals where applicable?

- a. An agency official with authority over policy/procedure helps develop and review policies related to receiving and responding to requests
- b. An agency official with authority over policy/procedure approves the final policy and/or its revisions
- c. An agency official with authority over policy/procedure plays no active role in the development or review of policies related to receiving and responding to requests
- d. Not applicable, as agency does not have authority to set/revise ATI policies

2. Rules and Guidelines

30. Has the agency established written guidelines for receiving requests?

- a. The agency has written guidelines for **all** of the following with regard to receiving requests:
 - i. determining what constitutes a request;
 - ii. providing an acknowledgment of receipt; and
 - iii. assisting the requester
- b. The agency has written guidelines for some but not all of the above
- c. The agency has not created guidelines for receiving requests

31. Has the agency established written guidelines for processing requests?

- a. The agency has written guidelines for **all** of the following with regard to processing requests:
 - i. coordination within the agency;
 - ii. timeframes;
 - iii. cost determination; and
 - iv. fee collection
- b. The agency has written guidelines for some but not all of the above
- c. The agency does not have written guidelines for processing requests

32. Has the agency established written guidelines for transferring requests to other agencies?
- a. The agency has written guidelines for **all** of the following with regard to transferring requests:
 - i. identifying the correct agency;
 - ii. transferring request; and
 - iii. providing notice of transfer to requester
 - b. The agency has written guidelines for some but not all of the above
 - c. The agency does not have written guidelines for transferring requests
 - d. Not applicable, if the law does not provide for agency transfer
33. Has the agency established written guidelines for responding (release or deny) to requests?
- a. The agency has written guidelines for **all** of the following with regard to responding to requests:
 - i. process for determining release;
 - ii. means for providing requested information; and
 - iii. means for providing notice of denial and its justification
 - b. The agency has written guidelines for some but not all of the above
 - c. The agency does not have written guidelines for responding to requests
34. Has the agency established written guidelines for internal appeals?
- a. The agency has written guidelines for **all** of the following with regard to internal appeals:
 - i. receiving requests for appeal;
 - ii. reviewing agency's motives for initial decisions; and
 - iii. issuing findings and decisions
 - b. The agency has written guidelines for some but not all of the above
 - c. The agency has not created guidelines for internal appeals
 - d. Not applicable, if the law does not mandate/provide for internal appeals
35. Does the document(s) detailing implementation have the components/actions necessary for receiving and responding to requests?
- a. The document(s) detailing implementation incorporates **all** of the following with regard to implementation for receiving and responding to requests:
 - i. developing or adjusting procedures (receiving requests, redaction, transfer, responding, internal appeals);
 - ii. training for key personnel;
 - iii. assigning functions and responsibilities;
 - iv. developing systems and forms; and
 - v. developing a communication strategy to assist requestors
 - b. The document(s) contains some but not all of the above
 - c. There are no documents that detail implementation activities related to receiving and responding to requests

3. Systems

36. Has the agency established a system for logging and tracking requests and responses?
- a. The agency has established a logging and tracking system that includes **all** of the following:
 - i. is kept current;
 - ii. tracks a request in one place; and
 - iii. includes details of request from submission through resolution, including processing agent(s), transfers, and appeals
 - b. The agency has established a logging and tracking system that includes some but not all of the above
 - c. The agency has not established a logging and tracking system
37. Has the agency established a system for issuing and serving responses?
- a. The agency has established a system for issuing and serving responses, which includes **all** of the following:
 - i. provision of requested documents;
 - ii. sending notice of transfer, where applicable; and
 - iii. sending notice of denial and right to appeal
 - b. The agency has established a system that includes some but not all of the above
 - c. The agency has not established a system for issuing and serving responses

4. Resources

38. Is there a designated office/space for receiving and responding to requests?
- a. Yes
 - b. No
39. Are the duties of the public officials responsible for receiving and responding to requests allocated formally?
- a. The duties related to receiving and responding to requests are allocated in a formal written document
 - b. The duties related to receiving and responding to requests are acknowledged, but not in a formal, written document
 - c. The duties are not specifically allocated
40. Does the public official(s) responsible for receiving and responding to requests have the time needed to fulfill his/her duties and functions?
- a. Yes
 - b. No
41. Is there sufficient personnel responsible for receiving and responding to requests?
- a. Yes
 - b. No

42. Is the public official(s) responsible for receiving and responding to requests trained to comply with their duties?
- a. The responsible public official(s) receives specialized training every two years and every time there are changes in policy or guidelines
 - b. The responsible public official(s) receives specialized training at least every two years but not when there are changes in policy or guidelines
 - c. The responsible public official(s) receives specialized training only when there are changes to policy or guidelines
 - d. The responsible public official(s) is trained less frequently than every two years; only when assumes duties; or receives no specialized training
43. Does the public official(s) responsible for receiving and responding to requests have regular access to necessary equipment?
- a. The responsible public official(s) has dedicated or regular access to **all** of the following:
 - i. computers with internet;
 - ii. scanners; and
 - iii. photocopy machines
 - b. The responsible public official(s) has dedicated or regular access to some but not all of the above
 - c. The responsible public official(s) has no access or irregular access

5. Monitoring

44. Does the agency capture statistics related to receiving and responding to requests?
- a. The agency systematically captures statistics including **all** of the following related to receiving and responding to requests:
 - i. number of requests;
 - ii. number of transfers (if applicable);
 - iii. number of denials;
 - iv. reasons for denial; and
 - v. number of days to respond to requests
 - b. The agency systematically captures some statistics but not all of the above
 - c. The agency does not systematically capture statistics

C. Proactive Disclosure

1. Leadership and Guidance

45. Is an agency official with authority over policy/procedure involved in the creation of the publication scheme?
- a. An agency official with authority over policy/procedure helps identify the contents and approve the final/revised publication scheme
 - b. An agency official with authority over policy/procedure approves/revises the final scheme
 - c. An agency official with authority over policy/procedure plays no role in the creation or approval of the publication scheme
 - d. Not applicable, agency does not have authority over policy for publication scheme

2. Rules and Guidelines

46. Has the agency established guidelines for creating a publication scheme?
- a. The agency has written guidelines for creating the publication scheme, which includes **all** of the following:
 - i. guidance for clearly identifying/listing classes of documents to be proactively disclosed;
 - ii. how the documents will be disclosed; and
 - iii. updating and maintaining the scheme
 - b. The agency has written guidelines for creating the publication scheme, but does not include all of the above
 - c. The agency has only informal (not written) guidelines or has not created guidelines for the publication scheme
 - d. Not applicable, agency does not have authority to set/revise guidelines for publication scheme
47. Has the agency established guidelines for placing the information/documents included in the scheme in the public realm, via website, reading room, or by appointment?
- a. Yes
 - b. No

48. Does the document(s) detailing implementation have the components/actions necessary for the publication scheme?
- a. The document(s) detailing implementation for publication scheme includes **all** of the following:
 - i. responsible person;
 - ii. timeframes;
 - iii. actions necessary to draft, maintain and update the publication scheme; and
 - iv. actions for disseminating/making publication scheme accessible to the public
 - b. The document(s) contains some but not all of the above
 - c. There are no documents that detail implementation activities for publication scheme
49. Does the document(s) detailing implementation have the components/actions necessary for proactive disclosure of the documents identified in the publication scheme?
- a. The document(s) detailing implementation for proactive disclosure includes **all** of the following:
 - i. public officials responsible for gathering, systematizing, and placing the documents in the public realm;
 - ii. timeframes;
 - iii. actions necessary to gather, systematize and proactively disclose the documents identified in the publication scheme;
 - iv. actions necessary to create the space/means for proactive disclosure (websites, reading rooms, appointment procedures); and
 - v. actions for maintaining current the automatic publication and disclosure of documents
 - b. The document(s) contains some but not all of the above
 - c. There are no documents that detail implementation activities for proactive disclosure

3. Systems

50. Has the agency established a system for proactive disclosure?
- a. The agency has established a system for proactive disclosure, including **all** of the following:
 - i. placing documents in the public realm;
 - ii. updating and adding documents for proactive disclosure; and
 - iii. publishing previously requested and disclosed documents
 - b. The agency has established some but not all of the above
 - c. The agency has not established a proactive disclosure system

4. Resources

51. Are the duties of the public official(s) responsible for the publication scheme and proactive disclosure allocated formally?

- a. The duties of the public official(s) responsible for the publication scheme and proactive disclosure are allocated formally in a written document.
- b. The duties of the public official(s) responsible for publication scheme and proactive disclosure are acknowledged, but not in a formal, written document
- c. There is no acknowledgment of the publication scheme and proactive disclosure duties

52. Does the public official(s) responsible for the publication scheme and proactive disclosure have the time necessary to fulfill his/her duties and functions?

- a. Yes
- b. No

53. Is the public official(s) responsible for publication scheme and proactive disclosure trained to comply with their duties?

- a. The public official(s) responsible for publication scheme and proactive disclosure receives specialized training at least every two years, and every time there are changes in policy or guidelines
- b. The public official(s) responsible for publication scheme and proactive disclosure is trained at least every two years but not when there are changes in policy or guidelines
- c. The public official(s) responsible for publication scheme and proactive disclosure is trained only when there are changes to policy or guidelines
- d. The public official(s) responsible for publication scheme and proactive disclosure is trained less frequently than every two years; only when assumes role; or receives no specialized training

54. Does the public official(s) responsible for proactive disclosure have access to all necessary equipment?

- a. The responsible public official(s) has dedicated or regular access to **all** of the following:
 - i. computers with internet;
 - ii. scanners; and
 - iii. photocopy machines
- b. The responsible public official(s) has dedicated or regular access to some but not all of the above
- c. The responsible public official(s) has no access or irregular access

55. Does the agency have a functioning website with publication scheme and proactively disclosed information?

- a. Yes
- b. No

5. Monitoring

56. Does the agency capture statistics related to proactive disclosure?
- a. The agency captures statistics related to **all** of the following regarding proactive disclosure:
 - i. the number of documents placed in the public realm;
 - ii. the number of times they are accessed; and
 - iii. the number of documents automatically disclosed following a specific request
 - b. The agency systematically captures some of the statistics but not all of the above
 - c. The agency does not systematically capture statistics related to proactive disclosure

D. Records Management

1. Leadership and Guidance

57. Is there an agency official with authority over policy/ procedures involved in setting and reviewing/revising records-management policy and guidelines?
- a. An agency official with authority over policy/procedure helps set or revise records management policy and guidelines
 - b. An agency official with authority over policy/procedure approves the records management policy and guidelines
 - c. An agency official with authority over policy/procedure plays no role in the creation or approval of the records management policy and guidelines
 - d. Not applicable, agency does not have authority to issue policy/guidelines for records management
58. Has the agency established a policy for managing paper based and electronic information?
- a. Yes
 - b. No
 - c. Not applicable, agency does not have authority to issue policy/guidelines for records management

2. Rules and Guidelines

59. Has the agency established formal guidelines for records management, regardless of format (including electronic records, maps etc.)?

- a. The agency has formal guidelines for records management, which includes **all** of the following:
 - i. obligations and procedures for creating records;
 - ii. organizing records;
 - iii. storing/preserving;
 - iv. retention scheme;
 - v. security; and
 - vi. retrieval and access
- b. The agency has some formal guidelines for records management, but does not include all of the above
- c. The agency has not established formal guidelines for records management

60. Has the agency established formal guidelines for classification of documents?

- a. The agency has established formal written guidelines for classification of documents, which includes **all** of the following:
 - i. determining classification and periods of classification (reserve);
 - ii. access and internal transmission of classified documents; and
 - iii. creation of index of classified documents
- b. The agency has formal written guidelines for some but not all of the above
- c. The agency has not established formal written guidelines for classification of documents

61. Does the document(s) detailing implementation have the components/actions necessary for a records-management system?

- a. The document(s) incorporates **all** of the following with regard to a records-management system:
 - i. reference to public officials responsible for overseeing the records management system;
 - ii. actions necessary to establish or oversee a records management system, including inventory;
 - iii. a timeframe for completion
- b. The document(s) contains some but not all of the above
- c. There are no documents that detail implementation for records-management

3. Systems

62. Has the agency established a system for classifying documents?
- a. The agency has established a system for classifying documents, which includes **all** of the following:
 - i. assessing documents for classification when created, received, transmitted and/or requested;
 - ii. security measures and timelines for classification when archiving; and
 - iii. creating and disseminating an index of classified documents
 - b. The agency has established a system for classifying documents but it does not include all of the above
 - c. The agency has not established a system for classifying documents
63. Has the agency established a system to manage its paper records?
- a. The agency has established a system to manage paper records, which includes **all** of the following:
 - i. creation;
 - ii. survey and inventory;
 - iii. organization;
 - iv. security rights and access permission; and
 - v. retention and disposal
 - b. The agency has established a system for managing paper records but it does not include all of the above
 - c. The agency has not established a paper records management system
64. Has the agency established a system to manage its electronic records?
- a. The agency has established a system to manage electronic records, which includes **all** of the following:
 - i. creation;
 - ii. survey and inventory;
 - iii. organization;
 - iv. security rights and access permissions; and
 - v. retention and disposal
 - b. The agency has established a system for managing electronic records, but it does not include all of the above
 - c. The agency has not established an electronic records management system
65. Has the agency established a system to retrieve and access paper records?
- a. The agency has established a system to retrieve and access paper records, which includes **all** of the following:
 - i. a classification structure;
 - ii. indexes;
 - iii. scheme to physically locate records; and
 - iv. a log that tracks circulation and retrieval
 - b. The agency has established a system for retrieving and accessing paper records, but

does not include all of the above

- c. The agency has not established a paper records retrieval and access system

66. Has the agency established a system to retrieve and access electronic records?

- a. The agency has established a system to retrieve and access electronic records, which includes **all** of the following:
 - i. a classification structure;
 - ii. naming conventions for records in shared drives; and
 - iii. location of systems holding electronic records
- b. The agency has established a system to retrieve and access electronic records, but does not include all of the above
- c. The agency has not established an electronic records retrieval and access system

4. Resources

67. Are the duties of the public official(s) in charge of records management allocated formally?

- a. The duties of the public official(s) in charge of records management are allocated formally in the organigram or in a formal written document that explicitly includes duties related to records management
- b. The duties of the public official(s) in charge of records management are acknowledged, but not in a formal, written document
- c. There is no acknowledgment of the records management duties

68. Has the agency allocated sufficient (staff) human resources to fulfill its records-management functions and duties?

- a. Yes
- b. No

69. Does the public official(s) responsible for records management have the time necessary to fulfill his/her duties and functions?

- a. Yes
- b. No

70. Is the public official(s) responsible for records management trained to comply with his/her obligations and duties?

- a. The public official(s) responsible for records management is trained on basic records management procedures and receives specialized training
- b. The public official(s) responsible for records management receives only basic records management training
- c. The public official(s) responsible for records management receives no training

71. Has the agency created space for storage (including electronic records) and archives of records?

- a. The agency has created space to store and preserve all relevant documents and keep them organized and manages digital records through an electronic records management system
- b. The agency has created space to store and preserve all relevant documents, but it is not adequate for maintaining organization and/or is unable to properly maintain digital records
- c. The agency has created space to store all relevant documents and keep documents organized, but it is not adequate for preservation of paper or electronic records
- d. The agency has not created space to store all relevant documents

72. Does the public official(s) responsible for records management have regular access to necessary equipment?

- a. The responsible public official(s) has dedicated or regular access to **all** of the following:
 - i. computers with internet;
 - ii. scanners; and
 - iii. photocopy machines
- b. The responsible public official(s) has dedicated or regular access to some but not all of the above
- c. The responsible public official(s) has no access or irregular access

73. Are all public officials made aware of basic records management procedures?

- a. All public officials are made aware of basic records management procedures through formal institutional mechanisms
- b. Some communication activities regarding basic records management procedures take place, but are not systematized
- c. No systematized, formal mechanisms are undertaken by the agency regarding basic records management procedures

5. Monitoring

74. Does the agency undertake monitoring of the records management system?

- a. The agency undertakes monitoring of the records management system and issues written reports with findings and recommendations
- b. The agency undertakes monitoring of the records management system but does not issue written reports with findings and recommendations
- c. The agency does not undertake monitoring

75. Does the agency's assessment of public officials' performance include a records management component?

- a. Performance monitoring includes a records management component for all public officials
- b. Performance monitoring includes a records management component only for public officials with specific records management systems functions and duties
- c. Performance monitoring does not include a records management component

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