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Implementation Assessment Tool: Indicators Phase III

Final indicators forthcoming

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. Black and white stripes are used to reflect that the indicator is not applicable in the agency being tested.

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

It is important to note that these indicators have been tested in two pilot phases in Bangladesh, Chile, Indonesia, Mexico, Scotland, South Africa, and Uganda and are to be tested in three more countries through a final pilot phase. The indicators will be revised following completion of Pilot Phase III, and thus will not be considered final until all testing and revisions are complete.

Indicators Pilot Phase III:

Fundamental Functions: Leadership

1. Does an agency official with authority over policy actively participate in the creation, adoption, or review of ATI specific policy?
 - a. Yes
 - b. No
 - c. Not applicable, agency official does not have authority to create, adopt or review ATI specific policy

2. How often does agency official with authority over policy participate in meetings with public officials responsible for ATI activities?
 - a. Twice a year
 - b. Once a year
 - c. Rarely or never

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

Fundamental Functions: Rules

4. Does the agency create or adopt specific guidelines on ATI?
 - a. Yes
 - b. No

5. How often are ATI guidelines reviewed by an agency official with authority over policy?
 - a. ATI guidelines are reviewed at least every two years
 - b. ATI guidelines are reviewed periodically
 - c. ATI guidelines have not been reviewed
 - d. Not applicable, the guidelines are less than two years old

6. How often are ATI guidelines revised by an agency official with authority over policy?
 - a. ATI guidelines are revised following a change in policy
 - b. ATI guidelines have not been revised following a change in policy
 - c. Not applicable, the policy has not been changed or agency does not have authority to revise

7. Does the agency make all guidelines available for reference?
- The guidelines are kept online or in an easily accessible reference center for consultation by civil servants and the public
 - The guidelines are kept online or in an easily accessible reference center but are only available to civil servants
 - The guidelines are not easily available for reference or do not exist
8. Does the agency have a document(s) that establishes instructions for ATI implementation and/or operation?
- The document(s) incorporates **all** of the following:
 - actions;
 - timeframe;
 - responsible person; and
 - monitoring mechanism
 - The document(s) incorporates some but not all of the above
 - There is no document(s) that establishes instructions for ATI implementation and/or operation.
9. Does the document(s) detailing instructions for ATI implementation and/or operation currently reflect the agency's ATI policy?
- Yes
 - No
10. Has the agency internally disseminated the document(s) detailing instructions for ATI implementation and/or operation?
- The document(s) has been disseminated electronically and/or in print to all public officials who handle and manage information
 - The document(s) has only been disseminated to some public officials
 - The document(s) has only been referenced and not disseminated or there is no document(s)

Fundamental Functions: Systems

11. Does the agency's public outreach specifically include a component regarding ATI?
- Yes
 - No
12. Does the agency's public outreach specifically include information on ATI procedures?
- Yes
 - No

Fundamental Functions: Resources

13. Has one or more public official been formally tasked/appointed responsible for ATI functions and duties?
- One or more public official(s) has been formally tasked/appointed with ATI functions and duties
 - One or more public official(s) has been informally tasked/appointed with ATI functions and duties
 - There is no specific tasking of ATI functions and duties
14. Has the name of the public official(s) tasked/appointed responsible for ATI functions and duties been made known to the public?
- Yes
 - No
15. Does the public official(s) tasked/appointed responsible for ATI functions and duties have the authority needed to comply with ATI mandate?
- Yes
 - No
16. Does the public official(s) tasked/appointed responsible for ATI functions and duties have the time and staff needed to fulfill his/her ATI responsibilities?
- The public official(s) tasked/appointed responsible for ATI functions and duties has both the time and staff needed to fulfill his/her ATI responsibilities
 - The public official(s) tasked/appointed responsible for ATI functions and duties has the time but not the staff needed to fulfill his/her ATI responsibilities
 - The public official(s) tasked/appointed responsible for ATI functions and duties does not have the time but does have the staff needed to fulfill his/her ATI responsibilities
 - The public official(s) tasked/appointed responsible for ATI functions and duties does not have the time or the staff needed to fulfill his/her ATI responsibilities
17. Does the public official(s) tasked/appointed responsible for ATI functions and duties and his/her staff receive **specialized** training on ATI?
- The public official(s) tasked/appointed responsible for ATI functions and duties and his/her staff receive specialized training on ATI in order to effectively do their job
 - The public official(s) tasked/appointed responsible for ATI functions and duties and his/her staff receive specialized training on ATI but not sufficient in order to effectively do their job
 - The public official(s) tasked/appointed responsible for ATI functions and duties and his/her staff do not receive specialized training on ATI

18. Are all public officials made aware of basic ATI principles?
- All public officials are periodically made aware of basic ATI principles through formal institutional mechanisms
 - All public officials receive periodic communication regarding basic ATI principles but not formally
 - All public officials receive formal communication regarding basic ATI principles but not periodically
 - No systematized formal mechanisms are undertaken by the agency to periodically make public officials aware of basic ATI principles
19. Are training materials related to ATI created and maintained for future reference by public officials?
- All training materials related to ATI are kept online or in an easily accessible reference center for consultation by public officials
 - Some but not all training materials related to ATI are made available for consultation
 - Training materials related to ATI are not created or they are not made available
20. Does the public official(s) tasked/appointed responsible for ATI functions and duties have regular access to necessary equipment?
- The responsible public official(s) has dedicated or regular access to **all** of the following:
 - computers with internet;
 - scanners; and
 - photocopy machines
 - The responsible public official(s) has dedicated or regular access to some but not all of the above
 - The responsible public official(s) has no access or irregular access
21. Does the agency specifically allocate the financial resources necessary for fulfilling its ATI functions and duties?
- Yes
 - No

Fundamental Functions: Monitoring

22. Does the agency monitor its ATI functions and duties?
- The agency regularly monitors its ATI functions and duties and written reports with findings and recommendations are issued
 - The agency regularly monitors its ATI functions but written reports with findings and recommendations are not issued
 - The agency does not regularly monitor its ATI functions

23. Is an agency report on its ATI functions and duties prepared and released annually to the public?
- a. A report on the agency's ATI functions and duties is prepared and released annually to the public, including qualitative and quantitative information and user end data
 - b. A report with general information on the agency's ATI functions and duties is prepared and released annually to the public
 - c. A report related to the agency's ATI functions and duties is prepared but not released annually to the public
 - d. A report on the agency's ATI functions and duties is not prepared annually
24. Does the agency's internal oversight body/auditing mechanism take into account ATI functions and duties?
- a. Yes
 - b. No
25. Does the agency's performance review take into account ATI?
- a. The agency's performance review takes into account ATI for all public official(s) who handle and manage information
 - b. The agency's performance review takes into account ATI for public official(s) tasked with specific ATI functions and duties
 - c. The agency's performance review does not take into account ATI

Fundamental Functions: Wild Card

26. In your expert opinion, in practice does the agency effectively fulfill its fundamental function related to access to information?
- a. In practice, the agency fulfills its fundamental function related to access to information by effectively incorporating **all** of the following components:
 - i. leadership
 - ii. rules;
 - iii. systems;
 - iv. resources; and
 - v. monitoring
 - b. In practice, the agency partly fulfills its fundamental function by effectively incorporating some of the components but not all
 - c. In practice, the agency does not effectively fulfill its fundamental function related to access to information

Receive and respond to requests: Rules

27. Has the agency created or adopted written guidelines for receiving requests?
- a. The agency has created or adopted written guidelines for receiving requests that include **all** of the following:
 - i. determining what constitutes a request;
 - ii. providing an acknowledgment of receipt; and
 - iii. assisting the requester
 - b. The agency has created or adopted written guidelines that include some but not all of the above
 - c. The agency has not created or adopted written guidelines for receiving requests
28. Has the agency created or adopted written guidelines for processing requests?
- a. The agency has created or adopted written guidelines for processing requests that include **all** of the following:
 - i. coordination within the agency;
 - ii. timeframes;
 - iii. cost determination;
 - iv. fee collection; and
 - v. transfer (where applicable)
 - b. The agency has created or adopted written guidelines that include some but not all of the above
 - c. The agency has not created or adopted written guidelines for processing requests
29. Has the agency created or adopted written guidelines for responding (release or deny) to requests?
- a. The agency has created or adopted written guidelines for responding to requests that include **all** of the following:
 - i. process for determining release;
 - ii. means for providing requested information;
 - iii. means for providing notice of denial; and
 - iv. reason for denial of information requested
 - b. The agency has created or adopted written guidelines that include some but not all of the above
 - c. The agency has not created or adopted written guidelines for responding to requests
30. Has the agency created or adopted written guidelines for internal review?
- a. The agency has created or adopted written guidelines for internal review that include **all** of the following:
 - i. receiving requests for review;
 - ii. reviewing agency's motives for initial decisions; and
 - iii. issuing findings and decisions
 - b. The agency has created or adopted written guidelines that include some but not all of the above
 - c. The agency has not created or adopted guidelines for internal review
 - d. Not applicable, if the law does not mandate/provide for internal review

31. Does the document(s) detailing instructions for implementation and/or operations have the necessary components for receiving and responding to requests?
- a. The document(s) detailing instructions for implementation and/or operations includes **all** of the following:
 - i. developing or adjusting procedures (receiving requests, redaction, transfer, responding, internal review);
 - ii. training for key personnel;
 - iii. assigning functions and responsibilities; and
 - iv. developing/operationalizing systems and forms
 - b. The document(s) detailing instructions for implementation and/or operations includes some but not all of the above
 - c. There is no document(s) that details instructions for implementing and/or operations for receiving and responding to requests

Receive and respond to requests: Systems

32. Has the agency created or adopted a system for logging and tracking requests and responses?
- a. The agency has created a logging and tracking system that includes **all** of the following:
 - i. is kept current;
 - ii. tracks a request in one place; and
 - iii. details the request from submission through resolution, including processing agent(s), transfers, and internal reviews
 - b. The agency has created or adopted a logging and tracking system that includes some but not all of the above
 - c. The agency has not created or adopted a logging and tracking system
33. Has the agency created or adopted a system for processing a request?
- a. The agency has created or adopted a system for processing a request that includes **all** of the following:
 - i. identifying who in the agency holds the information
 - ii. searching and finding information; and
 - iii. determining release, redaction, or denial
 - b. The agency has created or adopted a system for processing a request that includes some but not all of the above
 - c. The agency has not created or adopted a system for processing a request

34. Has the agency created or adopted a system for transferring requests to other agencies?
- a. The agency has created or adopted a system for transfer of requests that includes **all** of the following:
 - i. identifying the correct agency;
 - ii. transferring requests; and
 - iii. providing notice of transfer to the requester
 - b. The agency has created or adopted a system that includes some but not all of the above
 - c. The agency has not created or adopted a system for transferring requests
 - d. Not applicable, if the law does not provide for transfers
35. Has the agency created or adopted a system for issuing and serving responses?
- a. The agency has created or adopted a system for issuing and serving responses that includes **all** of the following:
 - i. provision of requested documents;
 - ii. notice and collection of fees, where applicable; and
 - iii. sending notice of denial and right of review or appeal
 - b. The agency has created or adopted a system for issuing and serving responses that includes some but not all of the above
 - c. The agency has not created or adopted a system for issuing and serving responses

Receiving and Responding to Requests: Resources

36. Is there a designated space, physical or virtual, for receiving and responding to requests?
- a. Yes
 - b. No

Receiving and Responding to Requests: Monitoring

37. Does the agency capture statistics related to receiving and responding to requests?
- a. The agency systematically captures statistics including **all** of the following:
 - 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. Some of the statistics are systematically captured but not all of the above
 - c. The agency does not systematically capture statistics

Receive and respond to requests: Wild Card

38. In your expert opinion, in practice does the agency effectively fulfill its function related to receiving and responding to requests?
- a. In practice, the agency fulfills its function related to receiving and responding to requests by effectively incorporating **all** of the following components:
 - i. rules;
 - ii. systems ;
 - iii. resources; and
 - iv. monitoring
 - b. In practice, the agency partly fulfills its function related to receiving and responding to requests by effectively incorporating some of the components but not all
 - c. In practice, the agency does not effectively fulfill its function related to receiving and responding to requests

Proactive Disclosure: Rules

39. Has the agency created or adopted written guidelines for proactive disclosure?
- a. The agency has created or adopted written guidelines for proactive disclosure that includes **all** of the following:
 - i. development of the publication scheme;
 - ii. updating and maintaining the scheme;
 - iii. guidance for clearly identifying/listing classes of documents to be proactively disclosed; and
 - iv. how documents will be disclosed
 - b. The agency has created or adopted written guidelines for proactive disclosure that includes some but not all of the above
 - c. The agency has not created or adopted written guidelines for proactive disclosure

40. Does the document(s) detailing instructions for implementation and/or operations have the components necessary for proactive disclosure?
- a. The document(s) detailing instructions for implementation and/or operations for proactive disclosure includes **all** of the following:
 - i. public official responsible for developing and maintaining publication scheme;
 - ii. public official responsible for gathering, systematizing, and placing the documents in the public realm;
 - iii. timeframes;
 - iv. actions necessary to-proactively disclose the documents; and
 - v. actions for maintaining current the automatic publication and disclosure of documents
 - b. The document(s) detailing instructions for implementation and/or operations for proactive disclosure includes some but not all of the above
 - c. There is no document(s) detailing instructions for implementation and/or operations for proactive disclosure

Proactive Disclosure: Systems

41. Has the agency created or adopted a system for proactive disclosure?
- a. The agency has created or adopted a system for proactive disclosure that includes **all** of following:
 - i. creating and maintaining publication scheme;
 - ii. placing documents in public realm;
 - iii. updating and adding document(s) for proactive disclosure; and
 - iv. publishing previously requested document(s)
 - b. The agency has created or adopted a system for proactive disclosure that includes some but not all of the above
 - c. The agency has not created or adopted a system for proactive disclosure

Proactive Disclosure: Resources

42. Has one or more public official been formally tasked/appointed responsible for proactive disclosure functions and duties?
- a. One or more public official has been formally tasked/appointed responsible for proactive disclosure functions and duties
 - b. One or more public official has been informally tasked/appointed responsible for proactive disclosure functions and duties
 - c. There is no specific tasking of proactive disclosure functions and duties

43. Does the public official(s) tasked/appointed responsible for proactive disclosure have the time and staff necessary to effectively fulfill his/her functions and duties?
- The public official(s) tasked/appointed responsible for proactive disclosure has both the time and staff needed to fulfill his/her functions and duties
 - The public official(s) tasked/appointed responsible for proactive disclosure has the time but not the staff needed to fulfill his/her functions and duties
 - The public official(s) tasked/appointed responsible for proactive disclosure does not have the time but does have the staff needed to fulfill his/her functions and duties
 - The public official(s) tasked/appointed responsible for proactive disclosure does not have the time or the staff needed to fulfill his/her functions and duties
44. Is the public official(s) responsible for proactive disclosure trained to comply with their duties?
- The public official(s) responsible for proactive disclosure receives specialized training in order to effectively do their job
 - The public official(s) responsible for proactive disclosure receives some specialized training but not sufficient in order to effectively do their job
 - The public official(s) responsible for proactive disclosure does not receive specialized training
45. Has the agency established space, physical or virtual, for public viewing of information proactively disclosed?
- Yes
 - No

Proactive Disclosure: Monitoring

46. Does the agency capture statistics related to proactive disclosure?
- The agency captures statistics on proactive disclosure that include **all** of the following:
 - the number of documents placed in the public realm;
 - how often documents are published proactively; and
 - the number of documents automatically disclosed following a specific request
 - The agency systematically captures some statistics related to proactive disclosure but not all of the above
 - The agency does not systematically capture statistics related to proactive disclosure

47. Does the agency monitor its proactive disclosure?
- a. The agency regularly monitors its proactive disclosure and written reports with findings and recommendations are issued
 - b. The agency regularly monitors its proactive disclosure but written reports with findings and recommendations are not issued
 - c. The agency does not regularly monitor its proactive disclosure

Proactive Disclosure: Wild Card

48. In your expert opinion, in practice does the agency effectively fulfill its function related to proactive disclosure?
- a. In practice, the agency fulfills its function related to proactive disclosure by effectively incorporating **all** of the following components:
 - i. rules;
 - ii. systems ;
 - iii. resources; and
 - iv. monitoring;
 - b. In practice, the agency partly fulfills its function related to proactive disclosure by effectively incorporating some of the components but not all
 - c. In practice, the agency does not effectively fulfill its functions related to proactive disclosure

Records Management: Leadership

49. Does an agency official with authority over policy actively participate in creation, adoption, or review of records management policy?
- a. Yes
 - b. No
 - c. Not applicable, agency official does not have authority to create, adopt or review records management policy
50. Has the agency created or adopted an information policy for managing paper based and electronic information?
- a. Yes
 - b. No

Records Management: Rules

51. Has the agency created or adopted written guidelines for records management, regardless of format (including electronic records, maps etc.)?
- a. The agency has created or adopted written guidelines for records management that include **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 created or adopted some written guidelines for records management but do not include all of the above
 - c. The agency has not created or adopted written guidelines for records management
52. Has the agency created or adopted written guidelines for classification of documents?
- a. The agency has created or adopted written guidelines for classification of documents that 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 created or adopted some written guidelines for classification of documents but do not include all of the above
 - c. The agency has not created or adopted written guidelines for classification of documents
53. Does the document(s) detailing instructions for implementation and/or operations for a records-management system have the necessary components?
- a. The document(s) detailing instructions for implementation and /or operations for a records management system incorporates **all** of the following:
 - i. reference to public officials responsible for establishing or maintaining records management system;
 - ii. actions necessary to establish or maintain records management system, including inventory; and
 - iii. a timeframe for completion of action to establish or maintain records management system
 - b. The document(s) detailing instructions for implementation and/or operations include some but not all of the above
 - c. There are no document(s) detailing instructions for implementation and/or operations of records management system

Records Management: Systems

54. Has the agency created or adopted a system for classifying documents?
- a. The agency has created or adopted a system for classifying documents that 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 created or adopted a system for classifying documents that includes some but not all of the above
 - c. The agency has not created or adopted a system for classifying documents
55. Has the agency created or adopted a system to manage its paper records?
- a. The agency has created or adopted a system to manage paper records that includes **all** of the following:
 - i. creation and classification;
 - ii. survey and inventory;
 - iii. indexes and circulation logs;
 - iv. security rights and access permission; and
 - v. retention and disposal
 - b. The agency has created or adopted a system for managing paper records but it does not include all of the above
 - c. The agency has not created or adopted a paper records management system
56. Has the agency created or adopted a system to manage its electronic records?
- a. The agency has created or adopted a system to manage electronic records that 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 created or adopted a system for managing electronic records but it does not include all of the above
 - c. The agency has not created or adopted an electronic records management system

57. Has the agency created or adopted a system to retrieve and access paper records?
- a. The agency has created or adopted 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 created or adopted a system for retrieving and accessing paper records, but does not include all of the above
 - c. The agency has not created or adopted a paper records retrieval and access system
58. Has the agency created or adopted a system to retrieve and access electronic records?
- a. The agency has created or adopted a system to retrieve and access electronic records that 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 created or adopted a system to retrieve and access electronic records but does not include all of the above
 - c. The agency has not created or adopted an electronic records retrieval and access system

Records Management: Resources

59. Has one or more public official been formally tasked/appointed responsible for records management?
- a. One or more public official(s) has been formally tasked/appointed with records management functions and duties
 - b. One or more public official(s) has been informally tasked/appointed with records management functions and duties
 - c. There is no specific tasking of records management function and duties
60. Does the public official(s) tasked/appointed responsible for records management functions and duties have the time and staff needed to fulfill his/her responsibilities?
- a. The public official(s) tasked/appointed responsible for records management functions and duties has both the time and staff needed to fulfill his/her responsibilities
 - b. The public official(s) tasked/appointed responsible for records management functions and duties has the time but not the staff needed to fulfill his/her responsibilities
 - c. The public official(s) tasked/appointed responsible for records management functions and duties does not have the time but does have the staff needed to fulfill his/her responsibilities
 - d. The public official(s) tasked/appointed responsible for records management functions and duties does not have the time or the staff needed to fulfill his/her responsibilities

61. Does the public official(s) tasked/appointed responsible for records management and his/her staff receive specialized training on records management?
- The public official(s) tasked/appointed responsible for records management and his/her staff receive specialized and formal training on records management
 - The public official(s) tasked/appointed responsible for records management and his/her staff receives only formal basic records management training
 - The public official(s) tasked/appointed responsible for records management and his/her staff receives no formal training
62. Are all public officials made aware of basic records management procedures?
- All public officials are periodically made aware of basic records management procedures through formal institutional mechanisms
 - All public officials receive periodic communication regarding basic records management procedures but not formally
 - All public officials receive formal communication regarding basic records management procedures but not periodically
 - No systematized formal mechanisms are undertaken by the agency to make public officials aware of basic records management procedures
63. Has the agency created space for storage (including electronic records) and archives of records?
- The agency has created space (physical and electronic) to store and preserve all relevant documents
 - The agency has created space (physical and electronic) to store and preserve all relevant documents but it is not sufficient
 - The agency has not created space to store all relevant documents

Records Management: Monitoring

64. Does the agency monitor its records management system?
- The agency regularly monitors its records management system and written reports with findings and recommendations are issued
 - The agency regularly monitors its records management system but written reports with findings and recommendations are not issued
 - The agency does not regularly monitor its records management system

Records Management: Wild Card

65. In your expert opinion, in practice does the agency effectively fulfill its function related to records management?

- a. In practice, the agency fulfills its function related to records management by effectively incorporating all of the following components:
 - i. leadership;
 - ii. rules;
 - iii. systems;
 - iv. resources; and
 - v. monitoring;
- b. In practice, the agency partly fulfills its function related to records management by effectively incorporating some of the components but not all
- c. In practice, the agency does not effectively fulfill its functions related to records management