Implementation Assessment Tool
Final Indicators

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 are scored using 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 types of indicators; 1) self reporting indicators which are addressed through an interview and 2) indicators which can be verified through desk research or document review. All findings will then go through a validation process and two forms of peer review (blind peer review and focal groups).

It is important to note that these indicators have been tested in three pilot phases in more than 10 countries. While these are the final indicators emerging from the pilot testing and reviews, there is a possibility that additional changes/amendments will be made in the future.
Indicators:

Fundamental Functions: Leadership

1. Does the agency’s strategic plan incorporate ATI, such as by including specific mention of access to information and/or principles of openness and transparency?
   a. Yes
   b. No

2. How often does an 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

Fundamental Functions: Rules

3. Has the agency created or adopted specific guidelines on ATI?
   a. Yes
   b. No

4. 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

5. 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

6. 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 for reference or do not exist

7. Does the agency have a document(s) that establishes instructions for ATI implementation and/or
operation?
   a. Yes
   b. No

8. Does the document(s) detailing instructions for ATI implementation and/or operation currently reflect the agency's ATI policy?
   a. Yes
   b. No

9. Has the agency internally disseminated the document(s) detailing instructions for ATI implementation and/or operation?
   a. The document(s) has been disseminated electronically and/or in print to all public officials who handle and manage information
   b. The document(s) has only been disseminated to some public officials
   c. The document(s) has only been referenced and not disseminated or there is no document(s)

Fundamental Functions: Procedures

10. Does the agency's public outreach specifically include a component regarding ATI?
    a. Yes
    b. No

11. Does the agency specifically provide information on how to make a request and to find proactively published information?
    a. Yes
    b. No

Fundamental Functions: Resources

12. Has one or more public official been made responsible for ATI functions and duties?
    a. One or more public official(s) has been formally appointed with ATI functions and duties
    b. One or more public official(s) has been informally tasked with ATI functions and duties
    c. There is no specific appointment/tasking of ATI functions and duties

13. Has the name of the public official(s) appointed/tasked responsible for ATI functions and duties been made known to the public?
    a. Yes
    b. No

14. Does the public official(s) appointed/tasked responsible for ATI functions and duties have the authority needed to comply with ATI mandate?
    a. Yes
    b. No
15. Does the public official(s) appointed/tasked responsible for ATI functions and duties have the time and staff needed to fulfill his/her ATI responsibilities?
   a. The public official(s) appointed/tasked responsible for ATI functions and duties has both the time and staff needed to fulfill his/her ATI responsibilities
   b. The public official(s) appointed/tasked responsible for ATI functions and duties has the time but not the staff needed to fulfill his/her ATI responsibilities
   c. The public official(s) appointed/tasked responsible for ATI functions and duties does not have the time but does have the staff needed to fulfill his/her ATI responsibilities
   d. The public official(s) appointed/tasked responsible for ATI functions and duties does not have the time or the staff needed to fulfill his/her ATI responsibilities

16. Does the public official(s) appointed/tasked responsible for ATI functions and duties and his/her staff receive specialized training on ATI?
   a. The public official(s) appointed/tasked responsible for ATI functions and duties and his/her staff receive specialized training on ATI in order to effectively do their job
   b. The public official(s) appointed/tasked 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
   c. The public official(s) appointed/tasked responsible for ATI functions and duties and his/her staff do not receive specialized training on ATI

17. Are all public officials made aware of basic ATI principles?
   a. All public officials periodically receive formal communication regarding basic ATI principles
   b. All public officials receive periodic communication regarding basic ATI principles but not formally
   c. All public officials receive formal communication regarding basic ATI principles but not periodically
   d. No systematized formal mechanisms are undertaken by the agency to periodically make public officials aware of basic ATI principles

18. Are training materials related to ATI created and maintained for future reference by public officials?
   a. All training materials related to ATI 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 are made available for consultation
   c. Training materials related to ATI are not created or they are not made available

19. Does the public official(s) responsible for ATI functions and duties 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

20. Has the agency created a space, physical or virtual, to make requests, review documents, and share proactively published information?
   a. The agency has created space for making requests, reviewing documents, and sharing proactively published information.
b. The agency has created some of the spaces, but not all
c. The agency has not created space for making requests, reviewing documents, or sharing proactively published information

21. Does the agency specifically allocate the financial resources necessary for fulfilling its ATI functions and duties?
   a. Yes
   b. No

**Fundamental Functions: Monitoring**

22. Does the agency monitor its ATI functions and duties?
   a. The agency regularly monitors its ATI functions and duties and written reports with findings and recommendations are issued on an annual basis
   b. The agency regularly monitors its ATI functions but written reports with findings and recommendations are not issued on an annual basis
   c. The agency does not regularly monitor its ATI functions

23. Does the agency’s internal oversight body/auditing mechanism take into account ATI functions and duties?
   a. Yes
   b. No

24. Does the agency’s performance review of persons appointed/tasked with ATI functions and duties takes these responsibilities into account in their review?
   a. Yes
   b. No

**Fundamental Functions: Wildcard**

25. In your expert opinion, in practice does the agency effectively fulfill its fundamental functions related to access to information?
   a. In practice, the agency fulfills its fundamental functions related to access to information
   b. In practice, the agency partly fulfills its fundamental functions related to access to information

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information

c. In practice, the agency does not effectively fulfill its fundamental functions related to access to information

**Receive and respond to requests: Rules**

26. Does the agency have 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

27. Does the agency have 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

28. Does the agency have 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

29. Does the agency have 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
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

Receive and respond to requests: Procedures

30. Does the agency have a procedure for logging and tracking requests and responses?
   a. The agency has created a logging and tracking procedure that includes all of the following:
      i. updating to keep current;
      ii. tracking a request in one place; and
      iii. detailing 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 procedure that includes some but not all of the above
   c. The agency has not created or adopted a logging and tracking procedure

31. Does the agency have a procedure for processing a request?
   a. The agency has created or adopted a procedure 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 procedure for processing a request that includes some but not all of the above
   c. The agency has not created or adopted a procedure for processing a request

32. Does the agency have a procedure for transferring requests to other agencies?
   a. The agency has created or adopted a procedure 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 procedure that includes some but not all of the above
   c. The agency has not created or adopted a procedure for transferring requests
   d. Not applicable, if the law does not provide for transfers

33. Does the agency have a procedure for issuing and serving responses?
   a. The agency has created or adopted a procedure 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 procedure for issuing and serving responses that includes some but not all of the above
c. The agency has not created or adopted a procedure for issuing and serving responses

Receiving and Responding to Requests: Monitoring

34. Does the agency regularly capture statistics related to receiving and responding to requests?
   a. The agency systematically captures statistics on an annual basis 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 on an annual but not all of the above
   c. The agency does not systematically capture statistics on an annual basis

Receive and respond to requests: Wildcard

35. 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
   b. In practice, the agency partly fulfills its function related to receiving and responding to requests
   c. In practice, the agency does not effectively fulfill its function related to receiving and responding to requests

Proactive Disclosure: Rules

36. Does the agency have 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

Proactive Disclosure: Procedures
37. Does the agency have a procedure for proactive disclosure?
   a. The agency has created or adopted a procedure 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 procedure for proactive disclosure that includes some but not all of the above
   c. The agency has not created or adopted a procedure for proactive disclosure

Proactive Disclosure: Resources

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

39. Does the public official(s) responsible for proactive disclosure have the time and staff necessary to effectively fulfill his/her functions and duties?
   a. The public official(s) tasked/appointed responsible for proactive disclosure has both the time and staff needed to fulfill his/her functions and duties
   b. 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
   c. 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
   d. 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

40. Is the public official(s) responsible for proactive disclosure trained to comply with their duties?
   a. The public official(s) responsible for proactive disclosure receives specialized training in order to effectively do their job
   b. The public official(s) responsible for proactive disclosure receives some specialized training but not sufficient in order to effectively do their job
   c. The public official(s) responsible for proactive disclosure does not receive specialized training

Proactive Disclosure: Monitoring

41. Does the agency capture statistics related to proactive disclosure on an annual basis?
   a. Yes
   b. No
42. Does the agency regularly monitor its proactive disclosure?
   a. The agency regularly monitors its proactive disclosure and written reports with findings and recommendations are issued on an annual basis
   b. The agency regularly monitors its proactive disclosure but written reports with findings and recommendations are not issued on an annual basis
   c. The agency does not regularly monitor its proactive disclosure

Proactive Disclosure: Wildcard

43. 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
   b. In practice, the agency partly fulfills its function related to proactive disclosure
   c. In practice, the agency does not effectively fulfill its functions related to proactive disclosure

Records Management: Leadership

44. How often does an agency official with authority over policy participate in meetings with public officials responsible for records management?
   a. Twice a year
   b. Once a year
   c. Rarely or never

45. Has the agency created or adopted a records management policy for managing paper based and digital information?
   a. Yes
   b. No

Records Management: Rules

46. Does the agency have written guidelines for records management, regardless of format (including digital records, maps etc.)?
   a. The agency has created or adopted written guidelines for records management that include all of the following:
      i. creating records;
      ii. organizing records;
      iii. storing/preserving;
      iv. retention;
      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

47. Does the agency have written guidelines for security classification of documents?
   a. The agency has created or adopted written guidelines for security 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 or other means of identifying classified documents
   b. The agency has created or adopted some written guidelines for security classification of documents but they do not include all of the above
   c. The agency has not created or adopted written guidelines for security classification of documents

48. Does the agency have a document(s) that establishes instructions/guidelines for implementation and/or operations for records management?
   a. Yes
   b. No

Records Management: Procedures

49. Does the agency have a procedure for security classification of documents?
   a. The agency has created or adopted a procedure for classifying documents that includes all of the following:
      i. assessing documents for security classification when created, received, transmitted and/or requested;
      ii. security measures and access control;
      iii. timelines for classification; and
      iv. creating and disseminating an index or other means of identifying classified documents
   b. The agency has created or adopted a procedure for security classification of documents that includes some but not all of the above
   c. The agency has not created or adopted a procedure for security classification of documents

50. Does the agency have a procedure to manage its paper records?
   a. The agency has created or adopted a procedure to manage paper records that includes all of the following:
      i. creation;
      ii. organization/aggregation of files (non-security related classification);
      iii. survey and inventory;
      iv. indexes and circulation logs;
      v. access permission; and
      vi. retention and disposal
   b. The agency has created or adopted a procedure to manage paper records but it does not
include all of the above
c. The agency has not created or adopted a procedure to manage paper records

51. Does the agency have a procedure to manage its digital records?
   a. The agency has created or adopted a procedure to manage digital records that includes all of the following:
      i. creation, including structured metadata;
      ii. organization/aggregation of files (non-security related classification);
      iii. survey and inventory;
      iv. organization;
      v. security rights and access permissions; and
      vi. retention/preservation and disposal
   b. The agency has created or adopted a procedure to manage digital records but it does not include all of the above
   c. The agency has not created or adopted a procedure to manage digital records

52. Does the agency have a procedure to retrieve and access paper records?
   a. The agency has created or adopted a procedure to retrieve and access paper records, which includes all of the following:
      i. Indexes or registries;
      ii. scheme to physically locate records; and
      iii. a log that tracks circulation and retrieval
   b. The agency has created or adopted a procedure to retrieve and access paper records, but does not include all of the above
   c. The agency has not created or adopted a procedure to retrieve and access of paper records

53. Does the agency have a procedure to retrieve and access digital records?
   a. The agency has created or adopted a procedure to retrieve and access digital records that includes all of the following:
      i. an organization (non-security classification) structure;
      ii. naming conventions for records in shared drives; and
      iii. location of systems holding digital records
   b. The agency has created or adopted a procedure to retrieve and access digital records but does not include all of the above
   c. The agency has not created or adopted a procedure to retrieve and access of digital records

Records Management: Resources

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

56. Does the public official(s) appointed/tasked responsible for records management and his/her staff receive specialized training on records management?
   a. The public official(s) appointed/tasked responsible for records management and his/her staff receive specialized and formal training on records management
   b. The public official(s) appointed/tasked responsible for records management and his/her staff receive only formal basic records management training
   c. The public official(s) appointed/tasked responsible for records management and his/her staff receive no formal training

57. Are all public officials made aware of basic records management procedures?
   a. All public officials periodically receive formal communication of basic records management procedures
   b. All public officials receive periodic communication regarding basic records management procedures but not formally
   c. All public officials receive formal communication regarding basic records management procedures but not periodically
   d. No systematized formal mechanisms are undertaken by the agency to make public officials aware of basic records management procedures

58. Has the agency created space and facilities for storing paper and digital records?
   a. The agency has created space/facilities to store and preserve all relevant paper and digital records
   b. The agency has created space/facilities to store and preserve all relevant paper and digital records but it is not sufficient
   c. The agency has not created space/facilities to store all relevant paper and digital records

Records Management: Monitoring

59. Does the agency regularly monitor its records management functions and duties?
   a. The agency regularly monitors its records management system and written reports with findings and recommendations are issued on an annual basis

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b. The agency regularly monitors its records management system but written reports with findings and recommendations are not issued on an annual basis

   c. The agency does not regularly monitor its records management system

**Records Management: Wildcard**

60. 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
   b. In practice, the agency partly fulfills its function related to records management
   c. In practice, the agency does not effectively fulfill its functions related to records management