

Annex IV: Self-Assessment Questionnaires

Note to Surveyors:

Note that the questions in these self-assessment questionnaires are very similar to the KII questions for members of the oversight body and PIOs/senior officials. If this self-assessment is likely to go to the same person again (instead of another person at the oversight body or public authority), it might make sense just to do one or the other (i.e. either the KII or the self-assessment but not both).

Self-Assessment 1: Oversight body

Please fill in this survey according to your best ability, providing as much detail as possible. If you need more space at any point, please feel free to continue on another page.

D. Independence

1. (a) Do you feel that overall the oversight body is independent?

☐ Yes ☐ No ☐ Partially

(b) If NO or PARTIALLY, why not?

(c) Could its independence be improved? ☐ Yes ☐ No

(d) If YES, how?

2. (a) Were appointments made in accordance with the law?

☐ Yes ☐ No ☐ Partially

(b) If NO or PARTIALLY, what were the differences?

3. (a) Have any members been removed? ☐ Yes ☐ No

(b) If YES, was this in accordance with the law? ☐ Yes ☐ No

4. (a) Have members been provided with appropriate training or onboarding programmes?

☐ Yes ☐ No ☐ Partially

(b) If YES or PARTIALLY, please describe the programme briefly:

5. (a) Is the membership as a whole diverse and representative, including in terms of gender?

☐ Yes ☐ No ☐ Partially

(b) If NO or PARTIALLY, please explain:

6. (a) Does the oversight body receive a sufficient allocation of funding (is it able to undertake all of the activities assigned to it)?

☐ Yes ☐ No

(b) If NO, by what amount (e.g. percentage) do you feel it needs to increase? _____

(c) Please explain your answer:

(d) Has funding ever been decreased year over year? ☐ Yes ☐ No

7. (a) Does the oversight body (i) recruit its own staff or (ii) are these allocated to it by government? ☐ (i) ☐ (ii)

(b) Are they on (i) long-term or (ii) short-term contracts? ☐ (i) ☐ (ii)

8. (a) Does the oversight body have a full or nearly full complement of staff?

☐ Yes ☐ No

(b) Do they have appropriate qualifications and training?

☐ Yes ☐ No ☐ Partially

(b) If NO or PARTIALLY, please explain:

E. Appeals

9. (a) Does the oversight body make an effort to be geographically accessible?

☐ Yes ☐ No

(b) If so, how?

10. (a) Have clear procedures for processing appeals been adopted?

☐ Yes ☐ No

(b) If YES, what protections for the basic due process rights of complainants do they provide for?

11. (a) How long, on average, does it take to process appeals? _____ days

(b) What about the longer appeals? _____ days

12. (a) Does the oversight body conduct follow up to assess whether its decisions have been implemented? ☐ Yes ☐ No

(b) If YES, what sort of follow up?

13. (a) Does the oversight body have an official system for managing appeals (including to ensure that they are getting processed in a timely fashion)?

☐ Yes ☐ No

(b) If YES, describe briefly how this works.

14. (a) Are appeal decisions posted online? ☐ Yes ☐ No ☐ Sometimes

(b) If YES or SOMETIMES, within how long after they were adopted? _____ days

15. (a) Beyond formal appeals, does the oversight body take steps of its own (*suo moto* steps) to ensure that public authorities are respecting the law?

☐ Yes ☐ No ☐ Sometimes

(b) If YES or SOMETIMES, what sorts of steps?

(c) Do these apply to both proactive and reactive disclosure or just one of these (check all that apply)?

☐ Proactive ☐ Reactive

(d) What about structural measures (such as whether or not a PIO has been appointed or how records are managed)?

☐ Yes ☐ No

(e) If YES, describe briefly how this works:

F. Other Functions

16. (a) Describe briefly the regulatory powers/functions the oversight body has (e.g. to set fees or records management standards, to discipline officials, and so on):

(b) Has the body taken steps to use these powers/undertake its regulatory functions?

☐ Yes ☐ No

(c) If YES, describe briefly how this works:

(d) Does it have the power to discipline officials? ☐ Yes ☐ No

(e) If YES, describe briefly how many times it has used these powers and what sorts of sanctions it has imposed:

17. (a) Has the oversight body taken steps to raise awareness about RTI?

☐ Yes ☐ No

(b) If YES, describe briefly what it has done:

18. (a) Has the oversight body participated in providing training for PIOs?

☐ Yes ☐ No

(b) For other officials? ☐ Yes ☐ No

(c) If the answer to either of these questions is YES, briefly describe what sorts of training activities it has undertaken:

19. (a) Has the oversight body produced an annual report for each of the last two years? ☐ Yes ☐ No ☐ Partially

(b) If YES or PARTIALLY, please indicate which years and where to find the reports, and describe briefly what is included in them:

20. (a) Has the oversight body provided comments on draft laws?

☐ Yes ☐ No ☐ Sometimes

(b) If YES or SOMETIMES, indicate which laws it has commented on and where to find these comments:

21. (a) Has the oversight body provided direct advice to public authorities?

☐ Yes ☐ No ☐ Sometimes

(b) If YES or SOMETIMES, indicate how many times and which public authorities:

(c) What about to members of the public?

☐ Yes ☐ No ☐ Sometimes

(d) If YES or SOMETIMES, indicate how many times and what sort of advice:

22. (a) Has the oversight body taken any other steps to improve implementation?

☐ Yes ☐ No

(b) If YES, indicate what sorts of steps:

Self-Assessment 2: Public Authorities

Please fill in this survey according to your best ability, providing as much detail as possible. If you need more space at any point, please feel free to continue on another page.

A. Institutional Measures

1. (a) Was the appointment of the PIO done in a formal way (i.e. in writing and with a written terms of reference (ToRs) setting out the responsibilities and powers of the post)? ☐ Yes ☐ No

(b) Was time for this task allocated to the PIO (i.e. were his or her other duties reduced)?

☐ Yes ☐ No

(c) Does the PIO have access to the equipment needed for this job (such as a photocopier/scanner)?

☐ Yes ☐ No

(d) What is the rank of the PIO? _____

(e) Have other staff been asked to cooperate with the PIO? ☐ Yes ☐ No

(f) Do they, in practice? ☐ Yes ☐ No

2. (a) Has the PIO been provided with any training? ☐ Yes ☐ No

(b) If YES, describe it briefly:

3. (a) Does the PIO face any institutional resistance relating to the job (whether formal or informal)? ☐ Yes ☐ No

(b) If YES, describe it briefly.

4. (a) Does the public authority have a formal plan of action, standard operating procedures or similar document for RTI? ☐ Yes ☐ No

(b) If YES, is it effective? ☐ Yes ☐ No

(c) Please describe briefly what it contains:

5. (a) Has the public authority adopted formal internal procedures for receiving and responding to RTI requests? ☐ Yes ☐ No

(b) Is it easy to lodge a request with the public authority? ☐ Yes ☐ No

(c) Can this be done electronically? ☐ Yes ☐ No

(d) In person? ☐ Yes ☐ No

(e) By post? ☐ Yes ☐ No

(f) Are the contact details of the PIO posted online? ☐ Yes ☐ No

(g) At the public offices of the authority? ☐ Yes ☐ No

6. (a) Has the public authority appointed someone to receive and process internal complaints (who is different from the PIO)? ☐ Yes ☐ No

(b) Has the public authority adopted procedures for these complaints?

☐ Yes ☐ No

(c) In practice, are they dealt with in a timely manner? ☐ Yes ☐ No

7. (a) Does the public authority publish annual reports on RTI which include statistics on requests? ☐ Yes ☐ No

(b) If YES, indicate when last report was published and describe briefly the information in that report:

8. (a) Has the public authority done anything to raise public awareness about the RTI law? ☐ Yes ☐ No

(b) If YES, please describe briefly what it has done:

9. (a) Has the public authority done anything to improve its records management standards? ☐ Yes ☐ No

(b) If YES, please describe briefly what it has done:

B. Proactive Disclosure

10. (a) Taking into account the list of types of information subject to proactive publication in the RTI law,, does the public authority disclose all or most of the types of information on the list?

☐ Yes ☐ No ☐ Partially

(b) If NO or PARTIALLY, how could it do better?

(c) Does it go beyond the minimum requirements in any respect? ☐ Yes ☐ No

(d) If YES, please describe briefly:

11. (a) Is your website WCAG 2.0 compliant (i.e. disabled accessible)?

☐ Yes ☐ No ☐ Partially

(b) If YES or PARTIALLY, what features does it have in this respect?

12. (a) Do you disseminate information other than over the website?

☐ Yes ☐ No

(b) If YES, please describe briefly how:

13. (a) Are there documents for which you create simple versions that people can understand (i.e. in addition to the main, formal document)? ☐ Yes ☐ No

(b) If YES, please describe which ones?

C. Reactive Disclosure

14. (a) Can citizens submit requests electronically? ☐ Yes ☐ No

(b) In person? ☐ Yes ☐ No

(c) By mail? ☐ Yes ☐ No

(d) Do they have to use a form? ☐ Yes ☐ No

(e) Is the form easily accessible? ☐ Yes ☐ No

(f) Do they need to prove citizenship? ☐ Yes ☐ No

(g) If so, how is this done in practice?

15. (a) When making a request, what information does a requester need to provide?

16. (a) What languages may requests be made in?

17. (a) Where the requester appears to need assistance, is this provided?

☐ Yes ☐ No ☐ Sometimes

(b) If YES or SOMETIMES, how often is such assistance provided (e.g. as a percentage of all requests)? _____

(c) What sorts of assistance are provided?

18. (a) When a request is lodged, is a receipt provided to the requester?

☐ Yes ☐ No ☐ Sometimes

(b) If YES or SOMETIMES, how is it provided?

19. (a) When the public authority does not hold the information, what does it do?

(b) If, in this situation, requests are transferred or the requester is informed that the authority does not hold the information, how long on average does this take?

_____ days

20. (a) How long on average does it take the public authority to respond to requests?

_____ days

(b) What standards are applied in terms of timeliness?

(c) Are extensions to the time limit sometimes imposed? ☐ Yes ☐ No

(d) If YES, how and when is that done?

(e) Are there cases where it takes longer than the time limit or any formal extension to respond to a request? ☐ Yes ☐ No

(f) If YES, how often does this happen as a percentage of all requests?

21. (a) Do requesters sometimes ask for information in a particular format?

☐ Yes ☐ No

(b) If YES, is it normally provided in this format? ☐ Yes ☐ No

(c) If NO, what conditions are used to justify providing it in a different format?

22. (a) What fees does the public authority charge when providing information?

(b) Does the public authority charge a fee when a requester first lodges a request?

☐ Yes ☐ No

23. (a) How often does the public authority refuse requests (e.g. as a percentage of all requests)? _____ percentage

(b) When this happens, is the requester informed about it? ☐ Yes ☐ No

(c) If YES, how and what is included in the notice?

24. (a) What is the most common exception used when refusing requests?

(b) What other exceptions are common?

25. (a) If the answer to the first part of Question 5 about having adopted formal internal rules on processing requests was YES, does the authority comply with the formal internal rules on processing requests?

☐ The answer to Question 5 was no ☐ Yes ☐ No ☐ Sometimes

(b) If NO or SOMETIMES, what are the most common ways the rules are not followed?
