

## **PERFORMANCE INDICATORS**

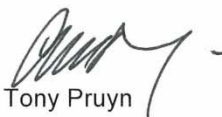
Performance Indicator Certification

We hereby certify that the performance indicators are based on proper records, are relevant and appropriate for assisting users to assess the performance of the Office of the Information Commissioner, and fairly represent the performance of the Office of the Information Commissioner for the financial year ended 30 June 2011.



Sven Bluemmel  
Information Commissioner

26 August 2011



Tony Pruyn  
Senior Investigations  
Officer

26 August 2011



## PERFORMANCE INDICATORS 2010-2011

### DESIRED OUTCOME

Access to documents and observance of processes in accordance with the *Freedom of Information Act 1992* ('the FOI Act').

### DESCRIPTION

Under the FOI Act, the main function of the Information Commissioner is to provide independent external review of agencies' decisions by dealing with complaints about decisions made by agencies under the FOI Act. The Commissioner's other responsibilities include:

- ❖ ensuring that agencies are aware of their responsibilities under the FOI Act;
- ❖ ensuring members of the public are aware of the FOI Act and their rights under it;
- ❖ providing assistance to members of the public and agencies on matters relevant to the FOI Act; and
- ❖ recommending to Parliament legislative or administrative changes that could be made to help the objects of the FOI Act to be achieved.

The Office of the Information Commissioner is made up of the Commissioner and the staff appointed by the Governor to assist the Commissioner to discharge those functions and responsibilities under delegated authority. These functions take the form of two outputs.

#### **Output 1: Resolution of Complaints.**

#### **Output 2: Advice and Awareness.**

The intent of the FOI Act is to ensure that proceedings on external review are conducted with as little formality and technicality as the requirements of the FOI Act and a proper consideration of the matters before the Commissioner permit. Therefore, when dealing with complaints, the policy of the Commissioner is to ensure that wherever possible the conduct of external review proceedings is not unduly legalistic or formal. Accordingly, the preferred method of resolving complaints is by negotiating a conciliated outcome between the parties. However, where a conciliated outcome cannot reasonably be achieved, the Commissioner is required to make a determination and publish a written decision with reasons.

Officers delivering the *Advice and Awareness* output also emphasise the spirit of the FOI Act when delivering advisory services. Wherever possible, agencies are encouraged to release information outside the FOI process where it is reasonable to do so or, where necessary, to follow the correct processes for dealing with an access application or an application for amendment of personal information under the FOI Act. Policy development within agencies which establishes routine information disclosure outside formal FOI processes is encouraged so that the impact of the obligations placed on agencies by the FOI Act on the day-to-day operations of those agencies is minimised. Many potential disputes are also resolved informally with assistance from the OIC.

The Performance Indicators ('the PIs') of the OIC detailed below have been designed to reflect the satisfaction of parties who utilise the services of the OIC, show the extent to which conciliation is achieved and measure efficiency by relating workload to costs. There are three Effectiveness PIs and two Efficiency PIs, which are summarised below:

**Effectiveness performance indicators**

- ❖ Satisfaction of parties with external review process.
- ❖ Satisfaction of agencies with advice and guidance provided.
- ❖ The extent to which complaints were resolved by conciliation.

**Efficiency performance indicators**

- ❖ Average cost of external reviews finalised.
- ❖ Average cost of advisory services delivered per recipient.

**1. EFFECTIVENESS PERFORMANCE INDICATORS**

**1.1 Satisfaction of parties with external review process**

	2007	2008	2009	2010	2011
Target	80%	85%	90%	90%	85%
Outcome	75%	88%	91%	84%	77%

The above indicator shows the level of satisfaction with the external review process by the parties to each of the complaints finalised during the year.

A Post Review Questionnaire (PRQ) is sent to the parties to an external review to seek their views on whether there was an independent, objective and fair process with an emphasis on user-friendly processes which met their needs. Four key questions are asked:

- ❖ Were you satisfied with the outcome of the external review?
- ❖ Regardless of the outcome, were you satisfied with the manner in which the external review was conducted by the Office of the Information Commissioner?
- ❖ Do you consider that you were kept adequately informed regarding the progress of the external review?
- ❖ Was the officer assigned to the external review professional in his or her dealings with you?

A PRQ was sent to each of 214 parties who participated in an external review process following finalisation of the review process. Of the 214 PRQs sent, 134 participants (63%) responded by returning a completed PRQ. 82 responses were received from agencies, 50 were received from complainants and 2 were received from third parties.

The outcome of answers to question 2 above is used to calculate this indicator. The answers to questions 1, 3 and 4 are also used by the OIC, but for internal performance management of complaints officers. Information in response to all four questions is taken

into account when reviewing external review procedures.

Of the 134 respondents, 103 (77%) answered 'yes' to question 2 and confirmed that they were satisfied with the manner in which the external review was conducted by the OIC.

**1.2 Satisfaction of agencies with advice and guidance provided**

	2007	2008	2009	2010	2011
Target	98%	98%	98%	98%	98%
Outcome	97%	97%	97%	98%	98%

The *Advice and Awareness* section of the OIC provides a range of advisory services. Those services are provided direct by telephone, email and counter enquiries and through group training presentations and briefings and indirectly through published information and the internet website of the OIC.

A survey is conducted on an annual basis in conjunction with the annual statistical returns of agencies. The survey was sent to each of 332 State and local government agencies and Ministers. Of the 332 surveys sent, 293 agencies (88%) responded by returning a completed survey. Of the 293 respondent agencies, 207 (71%) confirmed receiving advice and guidance from this office.

Of those 207 agencies that received advice, 203 agencies (98%) expressed satisfaction with the advice and guidance provided to them by this office.

**1.3 The extent to which complaints were resolved by conciliation**

The external review model adopted by the OIC emphasises informal resolution processes such as negotiation and conciliation, wherever possible. If a complaint cannot be resolved by conciliation between the parties to the complaint, the Commissioner is required to make a formal determination.

The PI set out in 1.3 is designed to represent the success rate of the preferred resolution method. Therefore, the PI shows, as a percentage, those complaints finalised by conciliation as opposed to those complaints that required a decision by the Commissioner.

	2007	2008	2009	2010	2011
Target	74%	75%	70%	65%	55%
Outcome	74%	62%	59%	56%	61%

In total, 346 matters of all types were finalised by the OIC in 2010/11. However, of those 346 matters, only 106 were complaints, as defined in s.65 of the FOI Act. Of the 106 complaints resolved in 2010/11, 65 (61%) were resolved by conciliation. That is, as a result of negotiations conducted by the OIC, the parties agreed that no issues remained in dispute which required a decision by the Commissioner.

## 2. EFFICIENCY PERFORMANCE INDICATORS

The OIC currently operates with 10 FTEs to deliver services under the two main functions prescribed by the FOI Act. As the primary function of the OIC is to deal with complaints received under the FOI Act, approximately 70% of the OIC's resources are allocated to the complaint resolution (external review) function. The other main function of the OIC is to provide advisory services to agencies and to the public. About 30% of the OIC's resources are allocated to the delivery of advice and awareness services.

### 2.1 Output 1 - Resolution of Complaints

#### Average cost of external reviews finalised

Included in calculating this PI are only those matters dealt with by the Resolution of Complaints section of the OIC in 2010/11 which were technically formal "complaints" (see s.65 of the FOI Act) and applications that required a determination under the FOI Act rather than general complaints or requests for assistance that are not technically "complaints". General requests for assistance or for the intervention of the OIC, including misdirected applications, are reported on as part of the output of the Advice and Awareness Services. Most of those kinds of matters are dealt with by officers in the Advice and Awareness section of the OIC.

	2007	2008	2009	2010	2011
Budget	\$5,548	\$6,692	\$6,006	\$6,875	\$8,752
Actual	\$6,456	\$5,869	\$7,234	\$7,426	\$8,429

The table above reflects the costs incurred in resolving complaints and applications (eg. to lodge a complaint out of time; permission not to consult; etc.) that may require a determination. It is calculated by dividing the number of complaints and applications resolved by the OIC in 2010/11 (143) into the "cost of services" for the Resolution of Complaints output.

Note: Variations in the actual and budget average cost are due to:

- (1) *Fluctuations in the number of matters received and resolved in particular financial years.*
- (2) *For budgeting purposes costs are apportioned 70% to Resolution of Complaints and 30% to Advice and Awareness. However, actual costs may vary slightly in any year. In 2010/11, actual costs allocated to the costs outputs resulted in 68% Resolution of Complaints and 32% Advice and Awareness.*

## 2.2 Output 2 – Advice and Awareness Services

### Average cost of advisory services delivered per recipient

In calculating this PI the total output units delivered by the Advice and Awareness section of the OIC in 2010/11 was used. The output units recorded by the OIC relate to where direct advisory services were provided. Those units will consist of a total of all telephone calls attended, written advice given by email and letter, counter inquiries attended and recipients of training and briefings.

	2007	2008	2009	2010	2011
Budget	\$120	\$152	\$187	\$233	\$184
Actual	\$92	\$107	\$133	\$176	\$150

The table above reflects the average cost of providing advice and awareness services to recipients. It is calculated by dividing the total number of recipients of advice and awareness services provided by the OIC in 2010/11 (3772) into “cost of services” for the *Advice and Awareness* output.

*Note: Variations in the actual and budget average cost are due to:*

- (1) *Fluctuations in the number of matters received and resolved in particular financial years.*
- (2) *For budgeting purposes costs are apportioned 70% to Resolution of Complaints and 30% to Advice and Awareness. However, actual costs may vary slightly in any year. In 2010/11, actual costs allocated to the costs outputs resulted in 68% Resolution of Complaints and 32% Advice and Awareness.*