

# Data Exchange Request Evaluation Checklist

## Introduction

### Overview

The Data Exchange Request Evaluation Checklist (checklist) is to be used by the department providing the data (Provider) when evaluating a data request made by a requesting department (Requestor).



Please refer to the Data Exchange Standard for the minimum requirements in undertaking a data exchange and the Data Exchange Guideline for further information on data request evaluation.



'Department' refers to all Victorian Government (government) departments and Victoria Police.



'Sensitive' data is data with a Business Impact Level (BIL) of Limited or higher or data with a protective marking of Cabinet-in-Confidence (as per the Office of the Victorian Information Commissioner's (OVIC) guidance on [Business Impact Levels](#) and [Protective Markings](#))

## Document Purpose

The purpose of the checklist is to enable a department that has been requested to provide data to examine the key considerations that should be covered when evaluating a data request. Completing the tasks on the checklist will help the Provider determine whether they have the right or authority to exchange the data and whether they are ready to undertake the exchange. Knowing what you can and cannot exchange and where accountability starts and finishes helps to protect the interests of not only the Provider, but the Requestor, the government, individuals and the community.

## Audience

Participants involved in the data exchange in the Provider organisation.

## Instructions for use

1. Complete the Required Information section.
2. Review and complete each task on the checklist.
3. The requirement number refers to the relevant requirement in the Data Exchange Standard.

4. Tasks can be completed and marked as 'yes', 'no', 'not applicable' or 'unsure' where relevant (see Table 1 below).

Table 1 – Completed – Yes, No, Not Applicable Unsure

|                       |  |
|-----------------------|--|
| <b>Yes</b>            | The task has been satisfactorily completed.  |
| <b>No</b>             | The task has not been completed or not to the level of satisfaction required by the Provider.  |
| <b>Not Applicable</b> | This task is not required to be completed for this data exchange initiative or as a result of a response above it is unnecessary.      |
| <b>Unsure</b>         | The Provider is unsure of the task or whether it has been completed and will need to seek further advice from a subject matter expert. |



The template should be adjusted to suit your specific department and or data exchange needs.

## Further information

For further information regarding this checklist, please contact Digital Strategy and Transformation, Department of Premier and Cabinet, at: [digital.transformation@dpc.vic.gov.au](mailto:digital.transformation@dpc.vic.gov.au).

## Template Document Control

|                    |                                     |                    |                                   |
|--------------------|-------------------------------------|--------------------|-----------------------------------|
| <b>Applies to</b>  | All departments and Victoria Police | <b>Authority</b>   | CIO Leadership Group              |
| <b>Period</b>      | 2019-2021                           | <b>Advised by</b>  | WOVG Information Management Group |
| <b>Issue Date</b>  | September 2019                      | <b>Document ID</b> | IM-TEMPLATE-04                    |
| <b>Review Date</b> | September 2021                      | <b>Version</b>     | 1.0                               |

## Template Approval

This document was approved by the WOVG Information Management Group under authority of CIO Leadership Group on 02/07/2019 and applies from the date of issue.

## Template version history

| Version | Date       | Comments                           |
|---------|------------|------------------------------------|
| 0.1     | 15/04/2019 | Version for review by stakeholders |
| 0.2     | 14/05/2019 | Incorporated feedback. Final draft |
| 1.0     | 07/06/2019 | Final                              |



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# Data Exchange Request Evaluation Checklist

| Required Information                          |  |
|---|--|
| Organisation completing checklist (Provider): |  |
| Organisation requesting the data (Requestor): |  |
| Brief description of the data requested:      |  |
| When was the data requested:                  |  |

| Task   | Requirement Number   | Completed   |
|--|--|---|
| <b>Request documentation</b>                             |  |   |
| Has the data exchange request been completed correctly?  | 1. Has the Requestor completed the Data Exchange Request template to the level of detail required?   | 1<br><input type="checkbox"/> Yes<br><input type="checkbox"/> No  |
| Is the data exchange request justified?                  | 2. Are the purpose and context for the request for data justified, i.e. does the initiative underlying the request support the Requestor's function and does the data requested support the initiative?  | 1<br><input type="checkbox"/> Yes<br><input type="checkbox"/> No  |
| <b>Right or authority to exchange data</b>               |  |   |
| Do you have the right or authority to exchange the data? | 3. Do you have the right to exchange data under? <ul style="list-style-type: none"> <li>Legislative authority or obligation to share under legislation (Acts) relevant to the department or portfolio</li> <li><i>Privacy and Data Protection Act 2014</i></li> <li><i>Victorian Data Sharing Act 2017</i></li> <li><i>Public Records Act 1973</i></li> <li><i>Freedom of Information Act 1982</i></li> <li>Other regulation and policies specifically relevant to the department or portfolio.</li> </ul> | 2, 3<br><input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> Unsure<br><input type="checkbox"/> Not applicable |
|  | 4. If you are not the owner of the data, are you permitted to exchange the data under: <ul style="list-style-type: none"> <li>a commercial agreement</li> <li>personal individual consent or</li> <li>data asset owner's consent (if the data is owned by another department or agency)?</li> </ul>  | 2, 3<br><input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> Unsure<br><input type="checkbox"/> Not applicable |

| Task  |  | Requirement Number | Completed   |
|---|--|--------------------|---|
|   | 5. If the data requested contains 'sensitive' data, are you satisfied that the data will only be used as permitted under the relevant authorities listed in questions 3 and 4?   | 2, 5               | <input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> Unsure<br><input type="checkbox"/> Not applicable |
|   | 6. If you are unsure about your right or authority to exchange data (i.e. ticked 'unsure' in any of questions 3 to 5), have you sought legal advice in regards to the data exchange?   | 2, 3               | <input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> Not applicable                                    |
| <b>Readiness to exchange data</b>                         |  |                    |   |
| Do the risks warrant the benefits of exchanging the data? | 7. If the data requested contains 'sensitive' data, do you need to undertake a Privacy Impact Assessment?  | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> Not applicable                                    |
|   | 8. Have you undertaken a risk assessment and obtained Executive approval if a Risk Management Strategy is required? Consider whether the benefits of the data exchange outweigh any significant or major risks.  | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |
| Is the Requestor enabled to undertake the exchange?       | 9. Does the Requestor have the appropriate technology, infrastructure, policies and processes to undertake the exchange and securely manage the data?  | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |
|   | 10. If no, have you liaised with the Requestor to mitigate the gaps?   | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |
| Is the Provider enabled to undertake the exchange?        | <b>Accessible data</b><br>11. Is the data accessible?  | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |
|   | 12. Have you investigated the impact on the system when extracting the data? If it is significant, have you determined the mitigating action?  | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |
|   | <b>De-identification of data</b><br>13. Is de-identification of the data required?<br><ul style="list-style-type: none"> <li>• If so, what method will be used?</li> <li>• Are there measures in place so that individuals cannot be re-identified?</li> </ul> | 4                  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> Not applicable                                    |
|   | <b>Process</b>   | 11                 | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |

| Task   | Requirement Number  | Completed   |
|--|---|---|
| 14. Are all participants in the process aware of their roles and responsibilities and the rules of the exchange?   |   |   |
| 15. Are there processes to handle issues and complaints? If no, do they need to be developed?  | 11  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No       |
| <b>Data quality</b><br>16. Can you supply a Data Quality Statement?  | 4   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No       |
| 17. Can you supply required metadata?  | 4   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No       |
| <b>Resource capacity</b><br>18. Do you have the capacity to undertake the exchange within the timeframe and on an ongoing basis, if the data provision is recurring? | 4   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No       |
| <b>Data exchange ownership and approval</b>  |   |   |
| Ownership and approval of the data exchange.   | <b>Ownership</b><br>19. Have you appointed an owner and custodian for the data exchange?  | 13<br><input type="checkbox"/> Yes<br><input type="checkbox"/> No |
|  | <b>Approval</b><br>20. Has the request been approved by the Data Owner or any other relevant person in the Provider organisation? | 12<br><input type="checkbox"/> Yes<br><input type="checkbox"/> No |

## Disclaimer

This document is provided “as is”, without warranty to the suitability of the data for unspecified use. The burden of assessment of fitness of the data lies completely upon the Requestor.

## Document control

### Version history

| Version | Date | Comments |
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