



# Information Management Maturity Measurement

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## Developing Information Management in Your Organisation

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# INTRODUCTION

## About This Document

This document provides information to assist with the use of the Public Record Office Victoria (PROV) Information Management Maturity Measurement (IM3) assessment tool. It contains information about each of the characteristics in the assessment, and includes:

- a description of each information and data management characteristic
- suggestions for developing your organisation's current level of maturity
- references to Victorian Government and other resources.

## Assessment Methods

When undertaking the IM3 assessment, there are several different approaches that can be taken depending on circumstances, resources, and the complexity of the organisation's environment regarding information and data management. The following are three assessment methods that may be used, either as stand alone or in combination. Other assessment methods may also be used.

### Direct observation

- This consists of real time observation of staff doing their work to see how well they manage their information and data responsibilities and tasks.
- It is useful for situations where an understanding of how specific work units, teams or departments undertake their information and data management tasks is required.

### Structured assessment

- There are various kinds of structured assessment methods available, which range from the general to those designed to target specific aspects, systems, or elements.
- Structured assessments are generally targeted assessments of specific areas based on documentation available (such as processes and procedures), reporting methods (including audit trails), and other tangible information and data systems and management methods.
- Structured assessment is useful for situations where there is an existing body of knowledge about information and data management in the organisation that can be mined for the information needed to complete the assessment.

### Panel of Experts

- This consists of gathering a panel of subject matter experts from across the organisation that cover all areas being assessed. For example, if there are different people who manage data and records, representatives from each field would be needed. If there are specific systems used in some parts of the organisation but not others, a person who understands how the system works would be included. And so on.
- This method is useful when a lot of specialised information is needed and resources to undertake the assessment is limited. Gathering the people who have the knowledge in a room (actual or virtual) to discuss the situation and go through the assessment questions can quickly flag gap areas and highlight what supporting evidence may be of relevance and where it is located.

## Assessing Overall Results

The IM3 results can be used to indicate an overall status of information management in your organisation. For example:

- If most characteristics (e.g., 10 out of 17) were assessed at Level 2, this may indicate an overall underdeveloped program of information and data management initiatives.
- If most characteristics were assessed at Level 3 or 4, you may want to consolidate practices at these levels by consulting the relevant standards and policies.

Examine your results to see if there are any patterns or trends that can inform your planning and actions.

For example:

- Are the results strong in one dimension but weak in other? For example, are the PEOPLE characteristics well developed, but all ORGANISATION characteristics underdeveloped?
- Do the results point to an issue in a particular business function? For example, are all operational characteristics underdeveloped but strategic characteristics strong?
- Do the less mature characteristics fall under the responsibility of a single area of the business or many? Do you have influence or control of these characteristics?
- Are there dependencies between the characteristics that you can identify? For example, the 'Accessibility and Discovery' characteristic is underdeveloped because it is dependent on developing 'Business Systems and Tools'.

## Using the Questionnaire

To complete the IM3 questionnaire, it will be necessary to gather information on various aspects of records, information and data management, and information technology across your organisation. Any (or all) of the above assessment methods may be needed to address the IM3 questions.

The IM3 questionnaire consists of 17 questions across four dimensions. To complete each question, a relevant maturity level rating must be selected. To help with determining an appropriate rating, each one has a statement describing what maturity at that level looks like. Each level also has two additional measures to help determine an overall score.

The following is recommended when undertaking an IM3 assessment using the questionnaire

- Circulate the questionnaire to representatives across your organisation. Different parts of an organisation may have different levels of information management maturity and different issues to contend with.
- Ensure that recordkeeping, information management and data management, and information technology perspectives are included. This may be achieved by having a panel of people from each discipline discussing what score should be applied and why.
- Use the **Percentage** box in the scoring table for each question to flag any differences in maturity across the organisation. For example, 50% of the agency is Aware, 10% Unmanaged and 40% Formative.
- Use the **Progress** score box in the scoring table for each question to flag how progressed the agency is in that maturity level. For example, for Aware the agency may be *2-Well Progressed*, Unmanaged may be *3 – at the top* and Formative may be *1 – early stages*.
- Use the combination to determine an overall maturity level rating. For example, from looking at the combined Percentages and Progress scores outlined above, the scores are clustered around the maturity level of Aware. While some of the organisation is Unmanaged, it is only 10% and they are at the top of that maturity level. While some of the organisation is Formative, even though this is 40% of the organisation, they are in the early stages of that maturity level. This would most likely result in an overall score of Aware.

Following the scoring table and overall rating box are two other spaces to record additional information for each question.

- The first is a space to record the evidence used to support the maturity level rating assigned.
- The second is a space to record what is required for your organisation to move to the next level.

The responses provided for each question can be used to flag what has been achieved so far and to plan next steps that build on those achievements.

# 1. PEOPLE

## 1.1: Information and Data Literacy and Responsibility

*Are staff in your organisation aware of their information and data management responsibilities? What is the capacity for staff in your organisation to exploit information and data? Do staff in your organisation value information and data as assets?*

### About this Characteristic

Information and data literacy is the ability to know when there is a need for information and data, be able to manage information and data responsibilities effectively, and to exploit information and data to complete a task at hand. An example of this would be the ability for staff to identify, locate, evaluate, and effectively use information and data to:

- report to management
- inform a new program of work
- provide relevant and accurate advice to a stakeholder or client.

Responsibility for information and data includes ensuring that people are aware of:

- the organisation's information and data needs
- the needs of stakeholders, including members of the public, in relation to the organisation's information and data
- the role and value of information and data as assets in the organisation
- the skills and knowledge required to use and manage information and data responsibly and effectively
- the future strategic direction for Victorian government in relation to the organisation's information and data and the specific roles for staff members in achieving it.

### Examples of Information and Data Literacy

Examples of evidence supporting information and data literacy include the following:

- A custodianship model has been deployed that identifies the responsibilities of staff in relation to the organisation's information and data assets.
- Staff are aware of the importance of information and data management to the organisation and of their responsibilities in relation to it.
- Staff are aware of and act in accordance with the Victorian Public Sector Code of Conduct requirements regarding information and data.
- Staff are educated and encouraged to exploit information and data to the fullest. They actively engage in new information and data management initiatives and seek better understanding of the organisation's information and data assets.
- Staff information and data management responsibilities are defined in documentation such as policies, processes, and job descriptions.
- Staff receive training to improve their information and data literacy and to manage information and data in line with their role within the organisation.

## 1.1: Information and Data Literacy and Responsibility, continued

### Victorian Government Resources

Resource	Link
<i>Information Management Framework for the Victorian Public Service</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-whole-victorian-government">https://www.vic.gov.au/information-management-whole-victorian-government</a>
<i>Information Management Policy</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>Victorian Public Sector Code of Conduct</i> , Victorian Public Sector Commission	<a href="https://vpsc.vic.gov.au/html-resources/code-of-conduct-for-victorian-public-sector-employees/">https://vpsc.vic.gov.au/html-resources/code-of-conduct-for-victorian-public-sector-employees/</a>
<i>A Future Ready Victoria: Victorian Government Digital strategy 2021-26</i> , Department of Premier and Cabinet	<a href="https://www.vic.gov.au/a-future-ready-victoria">https://www.vic.gov.au/a-future-ready-victoria</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Practitioner Guide: Identifying and Managing Information Assets</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/practitioner-guide-identifying-and-managing-information-assets/">https://ovic.vic.gov.au/data-protection/practitioner-guide-identifying-and-managing-information-assets/</a>

### Other Resources

Resource	Link
<i>Information management and data capabilities</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-management-and-data-capabilities">https://www.naa.gov.au/information-management/information-management-and-data-capabilities</a>
<i>APS Data Capability Framework</i> , Australian Public Service Commission	<a href="https://www.apsc.gov.au/publication/aps-data-capability-framework">https://www.apsc.gov.au/publication/aps-data-capability-framework</a>

## 1.2: Capability and Capacity

*Is the organisation's information and data capability and capacity sufficient to support and develop good information and data management?*

### About this Characteristic

Capability is a feature, faculty or process that can be developed or improved as well as the individual skills that can be applied to do this.

Capacity is the power to hold, receive or accommodate and addresses the 'amount' or 'volume' concerned.

Measuring capability and capacity to develop good information and data management requires:

- Identifying what is desired. This may be specific skill sets that the organisation needs to build capacity, or it may be a particular level of capability and capacity the organisation is aiming to reach.
- Strategically planning how to best achieve the desired level of capability and capacity. For example, it may be developing position descriptions that include the desired capabilities and filling those roles with people who have the desired knowledge and skills. Or it may be developing programs to grow the desired skills and knowledge.
- Determining the appropriate measures for achieving the level of capacity or capability required and implementing a relevant assessment program. This may be through development of key performance indicators, or learning and development goals for individual roles, for example. Or it may be through improved levels of information and data management practices across the organisation more broadly.

### Examples of Information and Data Management Capability and Capacity

Examples of evidence supporting information and data management capability and capacity include the following:

- Strategies and/or programs of work have been implemented to address any gaps in Information and data management skills, capability, and capacity.
- The organisation gives priority to recruiting specialists to help develop the organisation's information and data management capability.
- The human resource requirements for information and data management are regularly assessed in terms of capacity, skills, and knowledge.
- Information and data specialists are respected professionals who are consulted in the development and implementation of business initiatives.
- Information and data specialists have been appointed into dedicated roles.
- There are enough staff employed in information and data management roles in the organisation.
- Information and data management projects and initiatives are adequately resourced and funded within the organisation.

## 1.2: Capability and Capacity, continued

### Victorian Government Resources

Resource	Link
<i>Information Management Framework for the Victorian Public Service</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-whole-victorian-government">https://www.vic.gov.au/information-management-whole-victorian-government</a>
<i>A Future Ready Victoria: Victorian Government Digital strategy 2021-26</i> , Department of Premier and Cabinet	<a href="https://www.vic.gov.au/a-future-ready-victoria">https://www.vic.gov.au/a-future-ready-victoria</a>
<i>Recordkeeping Standards</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/standards-framework">https://prov.vic.gov.au/recordkeeping-government/standards-framework</a>
<i>Victorian Public Service Capability Framework</i> , Victorian Public Sector Commission	<a href="https://vpsc.vic.gov.au/resources/vps-capability-framework/">https://vpsc.vic.gov.au/resources/vps-capability-framework/</a>
<i>Digital Capability Uplift</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/digital-capability-uplift">https://www.vic.gov.au/digital-capability-uplift</a>

### Other Resources

Resource	Link
<i>Information Management Specialist</i> , Queensland Government CIO	<a href="https://www.ggcio.qld.gov.au/information-on/workforce-planning/ict-career-streams/information-management-specialist">https://www.ggcio.qld.gov.au/information-on/workforce-planning/ict-career-streams/information-management-specialist</a>
<i>Information management and data capabilities</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-management-and-data-capabilities">https://www.naa.gov.au/information-management/information-management-and-data-capabilities</a>
<i>Chief Information Governance Officer</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/chief-information-governance-officer-cigo">https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/chief-information-governance-officer-cigo</a>
<i>APS Data Capability Framework</i> , Australian Public Service Commission	<a href="https://www.apsc.gov.au/publication/aps-data-capability-framework">https://www.apsc.gov.au/publication/aps-data-capability-framework</a>



## 1.3: Training, Support and Knowledge Sharing

*What training, support or knowledge sharing is available to staff in your organisation to assist them in meeting their information and data management responsibilities?*

### About this Characteristic

Ongoing training and awareness program developed and delivered should enable staff in different roles and areas across the organisation to develop the recordkeeping competencies (skills and knowledge) required. Programs should be reviewed and updated when there are changes to systems, processes, legislation, government policy, or organisational policy. They should also be assessed for effectiveness, including whether and how well staff are applying what they have been taught.

Depending on the role and level of knowledge or competency required, training may consist of:

- general information and data management responsibilities in relation to undertaking business duties, and applying the associated processes, policies and strategies needed
- information about recordkeeping responsibilities and processes in the organisation's induction program and refresher training programs for all staff (including senior management)
- regular recordkeeping reminders in corporate communications
- instructions during training on how to use organisational systems and follow organisational processes
- guidance on managing information and data when receiving and responding to critical or sensitive communications (e.g., child protection, protected disclosure, harassment allegations etc.)
- guidance on recordkeeping, information, and data management requirements for making or documenting critical or contentious decisions, including board and committee records, and major projects
- Information required for any contractors, consultants or volunteers that will be creating records for the organisation (e.g., by inputting data into systems) or accessing confidential or sensitive information.
- Maintaining specialised skills in records management to address the requirements of specialised recordkeeping, information and data management, and information technology roles, including attaining formal qualifications, attending conferences or seminars, joining professional associations and communities of practice, establishing informal networks, personal research and reading.

Recordkeeping, information and data management, and information technology instructions and messaging may be inserted into other training or communications, such as training and communications about procurement, risk mitigation, business continuity, client services, project management and in training for using organisational systems and so on.

### Examples of Information and Data Management Training, Support and Knowledge Sharing

Examples of evidence supporting information and data management training, support and knowledge sharing include the following:

- The organisation has established initiatives to help build the information and data management culture, foster positive attitudes to information and data management and educate staff on their information and data management responsibilities.
- Staff have access to a range of internal or external information, data, and records management courses and/or knowledge sharing tools relevant to their job role.
- Training is regularly reviewed and updated to suit needs.
- Formal training has been established and is regularly maintained to build practical skills and knowledge.
- Staff are in place to deliver and maintain quality training.
- Documentation/tools such as contact information, information portals, manuals and reference guides are available to staff.

## 1.3: Training, Support and Knowledge Sharing, continued

### Victorian Government Resources

Resource	Link
<i>Recordkeeping Essentials</i> (online course - forthcoming), Public Record Office Victoria	<a href="https://www.prov.vic.gov.au/recordkeeping-government/learning-resources-tools/online-recordkeeping-training">https://www.prov.vic.gov.au/recordkeeping-government/learning-resources-tools/online-recordkeeping-training</a>
<i>PROS 19/04 Operational Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1904-operational-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1904-operational-management-standard</a>
<i>PROS 19/04 G Operational Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1904-g-operational-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1904-g-operational-management-guideline</a>
<i>Innovation Network</i> (various network groups, including the Information Management Group, have resources of relevance)	<a href="https://innovationnetwork.vic.gov.au/">https://innovationnetwork.vic.gov.au/</a>
<i>Events and Education</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/events-and-education">https://ovic.vic.gov.au/events-and-education</a>
<i>Privacy Resources for Organisations</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/privacy/privacy-resources-for-organisations/">https://ovic.vic.gov.au/privacy/privacy-resources-for-organisations/</a>
<i>Information Security Resources</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/information-security-resources/">https://ovic.vic.gov.au/data-protection/information-security-resources/</a>

### Other Resources

Resource	Link
<i>Support and professional development</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/support-and-professional-development">https://www.naa.gov.au/information-management/support-and-professional-development</a>
<i>Education and Training</i> , Records and Information Management Professionals Australia (RIMPA)	<a href="https://www.rimpa.com.au">https://www.rimpa.com.au</a>
<i>Data Management Body of Knowledge</i> , DAMA International	<a href="https://www.dama.org/cpages/body-of-knowledge">https://www.dama.org/cpages/body-of-knowledge</a>
<i>Institute for Information Management</i>	<a href="https://www.iim.org.au/">https://www.iim.org.au/</a>

## 2. ORGANISATION

### 2.1 Governance

*To what degree is information and data management formally governed in your organisation?*

#### About this Characteristic

Central governance within organisations is needed to ensure coordination, visibility, and appropriate sponsorship of information and data management activities.

Minimum requirements for information and data management governance are set out in the *IM STD 03 Information Management Governance Standard* (see resources section for link). This includes the establishment and maintenance of an internal Information and Data Management Governance Committee (IDMGC), or similar group to lead, monitor and report on information management activities. It also includes biannual participation in the Information Management Maturity Assessment Program (IMMAP).

The IDMGC provides leadership in information and data management in line with relevant frameworks, policies, and standards. These will range from records management, information and data management, information technology, and other related fields such as change management and project management.

The committee governs overall policy direction regarding information and data management for the organisation, enabling strategies and policies across the organisation to be aligned and form a single strategic approach to information and data management. This includes:

- connecting operational information and data management practices with the senior executive level strategic management of the organisation
- enabling multi-directional reporting on information and data management across the organisation
- delegating responsibilities for specific information and data management tasks or projects across the organisation.

#### Examples of Information and Data Management Governance

Examples of evidence supporting information and data management governance include the following:

- An internal governing body (IDMGC) has been established to lead, monitor, and report on information and data management activities.
- The IDMGC ensures coordination, visibility, and appropriate sponsorship of information management activities within the organisation.
- The IDMGC is chaired by an executive-level officer, reports to the department head (or a peak executive body chaired by the department head) and has representation from key business areas of the organisation.
- The organisation head supports and values the work of the IDMGC.

## 2.1: Governance, continued

### Victorian Government Resources

Resource	Link
<i>IM STD 03 Information Management Governance Standard</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>IM GUIDE 06 Information Management Governance Guide</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>Information Management Maturity Assessment Program</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/research-projects/information-management-maturity-assessment-program-immap">https://prov.vic.gov.au/recordkeeping-government/research-projects/information-management-maturity-assessment-program-immap</a>
<i>PROS 19/03 Strategic Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard</a>
<i>Victorian Protective Data Security Standards</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/standards/">https://ovic.vic.gov.au/data-protection/standards/</a>

### Other Resources

Resource	Link
<i>Information governance</i> , National Archives of Australia	<a href="http://www.naa.gov.au/information-management/information-governance/">http://www.naa.gov.au/information-management/information-governance/</a>
<i>Establishing an Information Governance Committee</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/establishing-information-governance-committee">https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/establishing-information-governance-committee</a>
<i>Data Management Body of Knowledge</i> , DAMA International	<a href="https://www.dama.org/cpages/body-of-knowledge">https://www.dama.org/cpages/body-of-knowledge</a>
<i>Best practices in implementing an information governance policy</i> , (podcast, 15 mins), Jonathan Gourlay, Techtarget	<a href="http://searchcontentmanagement.techtarget.com/podcast/Best-practices-in-implementing-an-information-governance-policy">http://searchcontentmanagement.techtarget.com/podcast/Best-practices-in-implementing-an-information-governance-policy</a>

## 2.2 Information and Data Management Strategy and Vision

*Does the organisation have a strategy that provides a roadmap for information and data management?  
Has the organisation formulated and articulated its vision for information and data management?*

### About this Characteristic

An information and data management strategy captures an organisation's vision for its information and data management and its systematic approach to achieving this vision. It acknowledges the extent to which a modern organisation depends on information and data and considers how these valuable assets should be managed. It also aligns the organisation's vision to its broader context and environment. This may be sector specific, or function based, and will include alignment with the broader Victorian government strategic landscape.

### Legislation

The organisation's strategy will reflect its legislative and regulatory landscape, including legislation that covers records, information, and data management. At a minimum, this should include:

- *Public Records Act 1973*
- *Privacy and Data Protection Act 2014*
- *Health Records Act 2001*
- *Data Sharing Act 2017.*

### Examples of Information and Data Management Vision and Strategy

Examples of evidence supporting information and data management vision and strategy include the following:

- An information and data management strategy has been developed, implemented, and endorsed to outline the organisation's vision for the systematic approach to the management of information and data.
- Other strategic documents are in place in the organisation, which adequately cover information and data management needs and initiatives.
- The strategy adequately highlights organisation-wide information and data management issues, major risks, desired results, and the resource implications.
- Strategy development was achieved through collaboration between information and data management, and business representatives, to align to the organisation's vision, strategic objectives, and business drivers.
- The information and data management strategy is assessed for improvement on an annual basis.
- The initiatives of the information and data management strategy are resourced and funded.

## 2.2: Information and Data Management Strategy and Vision, continued

### Victorian Government Resources

Resource	Link
<i>Information Technology Strategy</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-technology-strategy">https://www.vic.gov.au/information-technology-strategy</a>
<i>Digital Workplace Strategy</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/digital-workplace-strategy">https://www.vic.gov.au/digital-workplace-strategy</a>
<i>A Future Ready Victoria: Victorian Government Digital strategy 2021-26</i> , Department of Premier and Cabinet	<a href="https://www.vic.gov.au/a-future-ready-victoria">https://www.vic.gov.au/a-future-ready-victoria</a>
<i>PROS 19/03 Strategic Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Victorian Legislation</i> , Office of the Chief Parliamentary Counsel, and the Parliament of Victoria	<a href="https://www.legislation.vic.gov.au/">https://www.legislation.vic.gov.au/</a>

### Other Resources

Resource	Link
<i>Information management strategy</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/developing-information-management-strategy">https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/developing-information-management-strategy</a>
<i>Making the Case for the Information Strategy</i> , Terry Hanson, EDUCAUSE	<a href="http://www.educause.edu/library/resources/making-case-information-strategy">http://www.educause.edu/library/resources/making-case-information-strategy</a>
<i>Guidelines for Developing an Information Management Strategy</i> , Coopers and Lybrand and the JISC's Information Strategies Steering Group	<a href="http://web.archive.org/web/19980125112630/www.jisc.ac.uk/pub/infstrat/">http://web.archive.org/web/19980125112630/www.jisc.ac.uk/pub/infstrat/</a>
<i>Recordkeeping including the Management of Electronic Records</i> , Audit Report No. 6, 2006–07, Australian National Audit Office (ANAO)	<a href="https://www.anao.gov.au/work/performance-audit/recordkeeping-including-management-electronic-records">https://www.anao.gov.au/work/performance-audit/recordkeeping-including-management-electronic-records</a>

## 2.3 Strategic Alignment

*To what degree is the Information and Data Management Strategy aligned with and incorporated into other strategic planning in your organisation?*

### About this Characteristic

The information and data management strategy should demonstrate how it aligns with other business strategies of relevance for the following reasons:

- It helps the executive to understand the impact the information and data management strategy is likely to have on other business areas.
- It demonstrates relationships between strategies so that the executive may see the information and data management strategy as being part of current or future strategic direction.
- It can assist with communicating the importance of information and data management to all business areas by showing how information and data impacts on other strategies.
- It can identify potential conflicts between the strategies that need further discussion.

Other endorsed strategies may support the strategy's implementation and include the following:

- information technology (IT)
- security
- risk
- occupational health and safety
- records management
- freedom of information (FOI)
- privacy
- environmental management.

The relationship between an organisation's information and data management strategy and IT strategy are discussed in the following quote:

*"The concept of an IT strategy cannot be divorced from the broader notion of an information strategy. The former is a necessary component of the latter...It follows that the IT strategy should be designed to facilitate the objectives and requirements of the information strategy...then this would suggest that the [IM strategy] stands as the relatively fixed statement of principles, whilst the [IT strategy] would be somewhat more nimble as it responds to circumstances and opportunities. The IT strategy, then, might take the form of a rolling program covering no more than three years, based on the broader strategic principles, managed and monitored...through the governance machinery."*<sup>1</sup>

### Examples of Strategic Alignment

Examples of evidence supporting strategic alignment includes the following:

- information and data management obligations are identified and acknowledged in other key organisation policies.
- The information and data management strategy is aligned with and/or integrated with other strategic planning in the organisation (e.g. risk, privacy, Freedom of Information, IT, procurement, or environmental management strategies).
- information and data management capabilities are built into the business through strategy, policy, and projects.
- New organisation projects and initiatives identify IM implications, dependencies, and synergies.

<sup>1</sup> Hanson, T. 2011, Making the Case for the Information Strategy: ECAR Research Bulletin 12, 2011, EDUCAUSE Center for Applied Research, Boulder, Colorado, p. 10

## 2.3 Strategic Alignment, continued

### Victorian Government Resources

Resource	Link
<i>A Future Ready Victoria: Victorian Government Digital strategy 2021-26</i> , Department of Premier and Cabinet	<a href="https://www.vic.gov.au/a-future-ready-victoria">https://www.vic.gov.au/a-future-ready-victoria</a>
<i>PROS 19/03 Strategic Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Victorian Protective Data Security Standards</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/standards/">https://ovic.vic.gov.au/data-protection/standards/</a>

### Other Resources

Resource	Link
<i>Making the Case for the Information Strategy</i> , Terry Hanson, EDUCAUSE	<a href="http://www.educause.edu/library/resources/making-case-information-strategy">http://www.educause.edu/library/resources/making-case-information-strategy</a>
<i>Information Management Strategic Framework</i> , Department of Defence	<a href="https://defence.gov.au/publications/Docs/InformationManagementStrategicFramework2010.pdf">https://defence.gov.au/publications/Docs/InformationManagementStrategicFramework2010.pdf</a>



## 2.4 Management Support and Leadership

*Does management support information and data management in your organisation? Is there executive-level representation for information and data management initiatives?*

### About this Characteristic

The success of an organisation's information and data management strategy and practice rely upon the support of all levels of management and strong overall leadership and advocacy. This includes ensuring the link is made between information and data management capabilities and wider strategic objectives. The IDMGC has an important role in ensuring executive sponsorship of information management across the organisation.

Ownership and leadership need to be clear within and across organisations to ensure that significant risks associated with knowledge and information mismanagement are minimised. Questions to consider include the following:

- Does senior management actively support information and data management policies and practices?
- Do middle managers actively encourage staff to comply with information and data management policies and practices?
- Has a robust information and data management culture been instilled into your organisation?
- Have sufficient funding and other resources been allocated for information and data management?<sup>2</sup>

### Examples of Management Support and Leadership

Examples of management support and leadership in information and data management include the following:

- The organisation has appointed an executive level Chief Information Officer (CIO), Chief Data Officer (CDO), or equivalent.
- Information and data management interests and issues are represented at executive level and are given appropriate consideration.
- Information and data management policies and practices are actively supported by senior management and middle management.
- Leadership understands information and data management issues and practices and seek additional specialist information when needed.

<sup>2</sup> See 'Recommendation 3' in, Australian National Audit Office, 2003, *Recordkeeping in Large Commonwealth Organisations*, Canberra, ACT.

## 2.4 Management Support and Leadership, continued

### Victorian Government Resources

Resource	Link
<i>PROS 19/03 Strategic Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Information Sheet: Information Security Leads</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/information-security-leads/">https://ovic.vic.gov.au/data-protection/information-security-leads/</a>
<i>A Future Ready Victoria: Victorian Government Digital strategy 2021-26</i> , Department of Premier and Cabinet	<a href="https://www.vic.gov.au/a-future-ready-victoria">https://www.vic.gov.au/a-future-ready-victoria</a>
<i>Leadership Academy</i> , Victorian Public Sector Commission	<a href="https://vpssc.vic.gov.au/leadership-academy/">https://vpssc.vic.gov.au/leadership-academy/</a>

### Other Resources

Resource	Link
<i>Establishing an Information Governance Committee</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/establishing-information-governance-committee">https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/establishing-information-governance-committee</a>
<i>Recordkeeping including the Management of Electronic Records</i> , Audit Report No. 6, 2006–07, ANAO	<a href="https://www.anao.gov.au/work/performance-audit/recordkeeping-including-management-electronic-records">https://www.anao.gov.au/work/performance-audit/recordkeeping-including-management-electronic-records</a>
<i>Records and Information Management Professionals Australasia</i>	<a href="https://www.rimpa.com.au/">https://www.rimpa.com.au/</a>
<i>Institute for Information Management</i>	<a href="https://www.iim.org.au/">https://www.iim.org.au/</a>

## 2.5 Audit and Compliance

*How well does your organisation monitor compliance with your own information and data management standards and with Victorian Government-mandated legislation and requirements?*

### About this Characteristic

When monitoring compliance with information and data management the following must be addressed:

- How does your organisation comply with information and data management requirements outlined in legislation, standards, policies, and procedures?
- To what degree do staff perform tasks in accordance with these requirements?

Compliance must be monitored to ensure that information is created and effectively managed. Regular audits can identify gaps or problems and help to develop strategies to address these issues. All audits and reviews of organisation functions and activities should include an assessment of the compliance with legislation, standards and its own information and data management policies and procedures.

### Assessing Compliance

To assess your organisation's compliance, look for:

- established monitoring and compliance programs
- benchmarks for quantitative and qualitative measurement
- reporting arrangements
- evidence of follow-up action.

Reporting results through the appropriate channels is critical for ensuring that proper attention is paid, and improvement or remedial actions are supported and undertaken. Progress on implementing these improvement activities should then be monitored and reported on.

Management has a key role in ensuring that all staff are aware of their responsibilities, trained appropriately and carry out their duties accordingly.

### Examples of Audit and Compliance

Examples of audit and compliance for IM include the following:

- The organisation has an internal audit process/program in place to work towards achieving compliance against information and data management -relevant legislation, policies, and standards (such as those issued by Public Record Office Victoria and Office of the Victorian Information Commissioner).
- Information and data management compliance requirements are known, communicated, and applied within the organisation.
- Corrective actions have been implemented to address causes of non-compliance.
- Opportunities to improve information and data management compliance are explored and implemented.

## 2.5 Audit and Compliance, continued

### Victorian Government Resources

Resource	Link
<i>Information Management Framework for the Victorian Public Service</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-whole-victorian-government">https://www.vic.gov.au/information-management-whole-victorian-government</a>
<i>Record Keeping Assessment Tool (RKAT)</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/rkat">https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/rkat</a>
<i>Records Management Checklist</i> (to audit your recordkeeping practices against PROV standards), Victorian Auditor-General's Office (VAGO)	<a href="https://www.audit.vic.gov.au/records-management-checklist">https://www.audit.vic.gov.au/records-management-checklist</a>
<i>PROS 19/03 Strategic Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Agency Reporting Obligations Hub</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/agency-reporting-obligations-hub/">https://ovic.vic.gov.au/agency-reporting-obligations-hub/</a>

### Other Resources

Resource	Link
<i>Australian Standard Records Management</i> , AS ISO 15489.1, 2017, Standards Australia	Available from Standards Australia: <a href="https://www.standards.org.au/">https://www.standards.org.au/</a>
<i>Monitoring recordkeeping performance</i> , State Archives and Records NSW	<a href="https://www.records.nsw.gov.au/recordkeeping/advise/monitoring/recordkeeping-performance">https://www.records.nsw.gov.au/recordkeeping/advise/monitoring/recordkeeping-performance</a>

## 3. INFORMATION LIFECYCLE and QUALITY

### 3.1 Asset Management

*How well does the organisation identify, manage, and monitor their significant information and data assets? Have information and data management roles and responsibilities been defined in the organisation to properly manage information and data assets?*

#### About this Characteristic

Information and data assets are critical to decision-making and service delivery. Like other assets, information and data needs to be managed, maintained, and have their value maximised. This can be achieved through a custodianship program which:

- clearly assigns and records responsibilities
- educates staff on their responsibilities
- identifies high value and high-risk information assets.

#### Information Assets

A 'significant information asset' is a discrete collection of data or information that is recognised as valuable to the organisation. What is recognised as valuable depends on the organisational context, however the following criteria may be useful:

- Legislation mandates that the information be maintained and/or accessible.
- The information asset has reached a business impact level rating of 3 or higher.
- The information asset is used as input or output of a core business process or is fundamental to a key decision-making process, (i.e., without the information, business continuity is severely compromised.)
- The information asset contributes significantly to corporate knowledge.
- The information is of high public value and its replacement is cost prohibitive or impossible.

#### Examples of information asset management

Examples of information asset management include the following:

- The organisation's significant information assets and critical information assets (i.e., subsets of significant information assets which, if compromised, degraded, rendered unavailable for an extended period or destroyed, would significantly impact on the social or economic wellbeing of the organisation or Victorian community).
- An information asset register (IAR) has been established and maintained to document at minimum, the organisation's significant information assets.
- A custodianship model is in place so that assets have an assigned owner and custodian.
- The custodianship model supports work with information users to actively maintain assets and improve the accessibility, usability and sharing of information as required.
- Users can assess if assets are fit for their intended purpose.

### 3.1 Asset Management, continued

#### Victorian Government Resources

Resource	Link
<i>IM STD 03 Information Management Governance Standard</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>IM GUIDE 06 Information Management Governance Guide</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>Practitioner Guide Identifying and Managing Information Assets</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/practitioner-guide-identifying-and-managing-information-assets/">https://ovic.vic.gov.au/data-protection/practitioner-guide-identifying-and-managing-information-assets/</a>
<i>Sample Information Asset Register</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/sample-information-asset-register-template-v2-0/">https://ovic.vic.gov.au/data-protection/sample-information-asset-register-template-v2-0/</a>
<i>PROS 19/03 Strategic Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Information Management: an Introduction to Information Management</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/a-z-topics/information-management">https://prov.vic.gov.au/recordkeeping-government/a-z-topics/information-management</a>

#### Other Resources

Resource	Link
<i>Information assets and their classification guideline</i> , Queensland Government Chief Information Office	<a href="https://www.qgcio.qld.gov.au/documents/information-assets-and-their-classification">https://www.qgcio.qld.gov.au/documents/information-assets-and-their-classification</a>
<i>Information asset register guideline</i> , Queensland Government Chief Information Office	<a href="https://www.qgcio.qld.gov.au/documents/information-asset-register-guideline">https://www.qgcio.qld.gov.au/documents/information-asset-register-guideline</a>

## 3.2 Policies and Procedures

*Does the organisation have fully developed and implemented information and data management policies that align to relevant legislation and standards? Are these policies supported by documented procedures?*

### About this Characteristic

Department of Premier and Cabinet, Public Record Office Victoria and Office of the Victorian Information Commissioner have developed standards for information and data management. These include records management, information access, privacy, security, and intellectual property. Organisations should develop their own policies and procedures to inform staff how to practically implement those standards. The policies and procedures will provide the basis for staff to create and manage authentic, reliable, and usable information for business and accountability purposes.

Note that:

- A *strategy* defines the overall character, mission, and direction of an organization. The focus of a strategy is on an organisation's long-term relationship with its external environment and specifies what an organisation will be doing in future. Strategies are formulated and implemented with a view to achieve specific goals.
- A *policy* tells people what they should and should not do to contribute to the achievement of corporate goals. It explains how goals will be attained and makes the strategy of the business explicit. Specific procedures are then derived from policies.<sup>3</sup> A policy is a concise document that identifies responsibilities and rules.
- A *procedure* provides step-by-step details regarding how to do something according to the rules.

### Characteristics of an Effective Policy

An effective information and records management policy will:

- align with the organisation's environment, strategic direction, policy framework, and information and data management programme
- reflect current business and legislative needs
- be endorsed and actively supported and resourced by the senior executive
- be implemented and communicated regularly across the whole organisation
- cover all systems that contain information and data
- cover all practices associated with information and data
- be linked to related business policies and programmes
- be supported by sets of procedures, guidance, and tools
- enable compliance assessment to be monitored
- be assessed regularly.

### Evidence of Policies and Procedures

Evidence of IM policies and procedures include the following:

- The organisation has established information and data management policies that align to relevant legislation and standards (such as those issued by Public Record Office Victoria and Office of the Victorian Information Commissioner).
- The policies have been approved and endorsed by the Secretary or an executive level board/officer. The policies are actively communicated and available to all staff.
- Information and data management procedures have been established and implemented.
- Policy and procedures are appropriate to the organisation's business and are reviewed for improvement as required.
- Breaches of policy are actively addressed and rectified.

<sup>3</sup> Citeman, 2010, *Strategy versus Policy*, < <https://www.citeman.com/11817-strategy-versus-policy.html> >.

## 3.2 Policies and Procedures, continued

### Victorian Government Resources

Resource	Link
<i>Information Management Policy</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>PROS 19/03 G Strategic Management Guideline</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline</a>
<i>Information Management Policies and Standards</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>Standards Framework</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/standards-framework">https://prov.vic.gov.au/recordkeeping-government/standards-framework</a>
<i>Retention and Disposal Authorities</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/how-long-should-records-be-kept/retention-and-disposal-authorities-rdas">https://prov.vic.gov.au/recordkeeping-government/how-long-should-records-be-kept/retention-and-disposal-authorities-rdas</a>
<i>Victorian Protective Data Standards</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/standards/">https://ovic.vic.gov.au/data-protection/standards/</a>

### Other Resources

Resource	Link
<i>Australian Standard Records Management</i> , AS ISO 15489.1, 2017, Standards Australia	Available from Standards Australia: <a href="https://www.standards.org.au/">https://www.standards.org.au/</a>
<i>Information management policy</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/developing-information-management-policy">https://www.naa.gov.au/information-management/information-governance/establishing-information-governance-framework/developing-information-management-policy</a>



### 3.3 Meeting Business and User Needs

*Are information and data meeting the needs of the business and its users in terms of strategic importance, quality, and availability?*

#### About this Characteristic

One of the seven key information and data management principles is that ‘Information and data are fit for purpose, easy to use, access and discover’<sup>4</sup>. The rationale for this principle is that the way that information and data is created and managed is based on its operational and strategic importance, its risk profile, and the needs of all its users (citizens, government, partner organisations and industry).

#### Information and data Needs Analysis

To ensure that staff have access to information and data that meets their current and future needs, an information and data needs analysis can be conducted. This will provide a framework with which to proactively plan.

An analysis of information and data needs aims to answer two main questions:

- What information and data do we have now?
- What information and data do we want to have?

The shortfall between these two questions will provide you with the necessary direction to focus on.

#### Risks of Not Meeting Needs

Risks and symptoms of not meeting information and data needs appropriately may include:

- difficulty for staff to obtain a single and comprehensive source of information and data.
- evidence of a misalignment between strategic business direction and systems architecture .
- difficulties for staff in searching for and identifying information and data.
- staff not being aware of available information and data resources.
- the proliferation of processing systems, local systems, and fragmented information and data stores.

#### Evidence of Meeting Business and User Needs

Evidence of meeting business and user needs regarding information and data management includes the following:

- The organisation has established processes and/or a program to address information and data quality issues (ensuring information and data is accurate, consistent, complete, current, timely, representative and fit for purpose).
- An analysis of information and data assets has been conducted to determine if information and data is meeting business needs, accountability requirements, and community expectations.
- Data quality statements have been developed for at least the significant (including critical) information assets.
- Remediation processes are in place to address information and data quality and/or availability issues.
- Overall, information and data are fit for purpose and/or can be tailored to meet business needs.

<sup>4</sup> Digital strategy and Transformation, 2022, *Information Management Policy for the Victorian Public Service*, <<https://www.vic.gov.au/information-management-policies-and-standards>>.

### 3.3 Meeting Business and User Needs, continued

#### Victorian Government Resources

Resource	Link
<i>Victorian Centre for Data Insights (VCDI)</i>	<a href="https://www.vic.gov.au/victorian-centre-data-insights">https://www.vic.gov.au/victorian-centre-data-insights</a>
<i>Policy and Standards (including Access and IP Policies), DataVic</i>	<a href="https://www.data.vic.gov.au/datavic-access-policy">https://www.data.vic.gov.au/datavic-access-policy</a>
<i>Information Management Policy, Data Strategy and Transformation</i>	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>Stakeholder Engagement Plan (Human Centred Design Playbook), Victorian Government</i>	<a href="https://www.vic.gov.au/stakeholder-engagement-plan">https://www.vic.gov.au/stakeholder-engagement-plan</a>
<i>The Victorian Government Risk Management Framework, Department of Treasury and Finance</i>	<a href="https://www.dtf.vic.gov.au/planning-budgeting-and-financial-reporting-frameworks/victorian-risk-management-framework-and-insurance-management-policy">https://www.dtf.vic.gov.au/planning-budgeting-and-financial-reporting-frameworks/victorian-risk-management-framework-and-insurance-management-policy</a>
<i>Data policies and standards, including data quality standards and guidelines</i>	<a href="https://www.vic.gov.au/data-policies-and-standards">https://www.vic.gov.au/data-policies-and-standards</a>

#### Other Resources

Resource	Link
<i>Business Analysis Body of Knowledge, International Institute of Business Analysis</i>	<a href="https://www.iiba.org/career-resources/business-analysis-resources/">https://www.iiba.org/career-resources/business-analysis-resources/</a>

### 3.4 Accessibility and Discoverability

*How easy is it for organisation staff and other parties to find the information or data they are looking for? Is critical information and data able to be found in a timely manner when it is needed?*

#### About this Characteristic

The public, government employees and partner organisations must be able to find the information and data they need when they need it to function efficiently. To find and use information and data, it must be both discoverable and accessible.

For information and data to be discoverable it must be easily found and/or navigated. This involves concepts such as the following:

- *Metadata* – making information easier to find by applying appropriate metadata.
- *Security and Privacy* – restricting access to some information due to security, privacy, confidentiality, or commercial risks.
- *Collaboration* - organisations working towards a common cross-government information directory and other mechanisms for facilitating information discovery.

Note that while search technology is an important component of an overall information environment, it is not a substitute for good information and data management cultures and processes.

For information and data to be accessible it must be readable and useable. This includes concepts such as:

- interoperability
- multilingualism
- open-source software
- open content
- Creative Commons licences
- addressing the special needs of people with disabilities.

#### Evidence of Information and data Accessibility and Discoverability

Examples of evidence supporting information and data accessibility and discoverability include the following:

- An organisation-specific information and data repository and/or search applications have been developed and are used by staff.
- Information and data are collected and stored with access and discoverability in mind.
- Definitions and standards are used to increase the findability of information and data.
- Sufficient metadata is provided to correctly identify and locate information and data.
- Access to controlled information and data sources has been defined and implemented.
- Procedures have been implemented for information and data capture, the application of metadata, information and data access, storage, and retrieval.

### 3.4 Accessibility and Discoverability, continued

#### Victorian Government Resources

Resource	Link
<i>Information Management Policy, Data Strategy and Transformation</i>	<a href="https://www.vic.gov.au/information-management-policies-and-standards">https://www.vic.gov.au/information-management-policies-and-standards</a>
<i>Discover and Access Victorian Government Open Data, DataVic</i>	<a href="https://www.data.vic.gov.au/">https://www.data.vic.gov.au/</a>
<i>Make content accessible – Digital Guide, Department of Premier and Cabinet</i>	<a href="https://www.vic.gov.au/make-content-accessible">https://www.vic.gov.au/make-content-accessible</a>
<i>PROS 19/05 Create, Capture and Control Standard, Public Record Office Victoria</i>	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1905-create-capture-and-control-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1905-create-capture-and-control-standard</a>
<i>PROS 19/06 Access Standard, Public Record Office Victoria</i>	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1906-access-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1906-access-standard</a>
<i>Enhancing Victoria’s FOI Culture to be open by design, Office of the Victorian Information Commissioner</i>	<a href="https://ovic.vic.gov.au/freedom-of-information/enhancing-victorias-foi-culture-to-be-open-by-design/">https://ovic.vic.gov.au/freedom-of-information/enhancing-victorias-foi-culture-to-be-open-by-design/</a>

#### Other Resources

Resource	Link
<i>Information Accessibility, UNESCO, Information for all Programme (IFAP)</i>	<a href="http://www.unesco.org/new/en/communication-and-information/intergovernmental-programmes/information-for-all-programme-ifap/priorities/information-accessibility/">http://www.unesco.org/new/en/communication-and-information/intergovernmental-programmes/information-for-all-programme-ifap/priorities/information-accessibility/</a>
<i>Building Interoperability, National Archives of Australia</i>	<a href="https://www.naa.gov.au/information-management/building-interoperability">https://www.naa.gov.au/information-management/building-interoperability</a>

## 3.5 Information Use and Re-Use

*How usable is the information and data being produced by the organisation, both now and in the future?*

### About this Characteristic

- Information and data 'usability' addresses how information and data is collected, organised, described, presented defined and shared. The term 'usability' is often used in relation to web sites and user interface design but can apply to any information and data source.
- Information and data 'reuse' address the concept of 'Interoperability', which is the ability of organisations to share data and information using common standards, licences, and open data.

### Encouraging Usability

The following questions may be helpful when assessing the usability of digital information and data sources and systems:

- Is the structure and organisation of the document, system, or site clear to a user?
- Is there a site map, contents, index, search function or other finding aid?
- Does the structure of the information and data support the purpose of the information and data?
- Does the user have the freedom to control or filter the information and data they see?
- Is there the ability to undo a mistake?
- Can users exit the system or information and data when they choose to, or are they locked into a specific path?
- Is language clear, simple, and appropriate to the audience?
- Does the language follow real-world conventions, making information and data appear in a natural and logical order?
- Is there a feedback or help function available?
- Is the layout and design of the site/page consistent?
- Is terminology used consistently?
- Can users predict the content of a page or screen by its title?
- Is the layout of information and data clear, uncrowded and pleasing to the eye?
- Are labelling, sub-headings or tables used to provide better access to information and data?

### Information Reuse

Victorian government encourages the reuse of information and data through various means, including legislation (such as the *Victorian Data Sharing Act 2017*) and the Victorian government Data Directory (also known as [data.vic.gov.au](http://data.vic.gov.au)).

The *Victorian Data Sharing Act 2017* was developed to enable data sharing across government and address key priorities in the community. The Act provides a clear legal framework for sharing and using data across government, while providing strong safeguards and oversight. Under the Act, the Chief Data Officer (CDO) was appointed to lead the Victorian Centre for Data Insights (VCDI) and advocate for the better use of data across government. Sharing and using data across government improves policy making, service planning and design.

Organisations should refer to the VCDI's guidance materials as well as information management framework content related to data management (DM) and information and data sharing and release. Organisations are also encouraged to share their data with the public via [data.vic.gov.au](http://data.vic.gov.au). This is a specialised website that helps members of the public find datasets and data tools that exist on government websites.

## 3.5 Information Use and Reuse, continued

### Evidence of Information Use and Reuse

Examples of evidence supporting information use and reuse include the following:

- Organisation standards/procedures have been introduced to facilitate consistent information and data collection, description, and organisation, and to prevent duplication.
- Digital continuity strategies are in place. Information and data assets are shared and re-used across the organisation and with external stakeholders as appropriate.
- The organisation applies appropriate licences and quality statements when sharing information and data.
- Where appropriate, information and data are released to the public.
- Custodians work with information and data users to support the usability of information and data.
- The organisation can leverage their information and data for business intelligence and analytics.
- Data exchanges occur using standard interfaces and formats.

### Victorian Government Resources

Resource	Link
Victorian Centre for Data Insights (VCDI)	<a href="https://www.vic.gov.au/victorian-centre-data-insights">https://www.vic.gov.au/victorian-centre-data-insights</a>
<i>Victorian Government Data Directory</i> , DataVic	<a href="https://www.data.vic.gov.au/">https://www.data.vic.gov.au/</a>
<i>Policy and Standards</i> (including Access and IP Policies), DataVic	<a href="https://www.data.vic.gov.au/datavic-access-policy">https://www.data.vic.gov.au/datavic-access-policy</a>
<i>Information Management Framework for the Victorian Public Service</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-management-whole-victorian-government">https://www.vic.gov.au/information-management-whole-victorian-government</a>
<i>Understand the API Design Principles – Digital Guide</i> , Victorian Government	<a href="https://www.vic.gov.au/understand-our-api-design-principles">https://www.vic.gov.au/understand-our-api-design-principles</a>

### Other Resources

Resource	Link
<i>Data Interoperability Maturity Model</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/data-interoperability-maturity-model">https://www.naa.gov.au/information-management/data-interoperability-maturity-model</a>
<i>Use Existing Research and Data</i> , Digital Transformation Agency	<a href="https://www.dta.gov.au/help-and-advice/build-and-improve-services/user-research/planning-user-research/use-existing-research-and-data">https://www.dta.gov.au/help-and-advice/build-and-improve-services/user-research/planning-user-research/use-existing-research-and-data</a>

## 4. BUSINESS SYSTEMS and PROCESSES

### 4.1 Information Architecture

*Has the organisation developed an information and data architecture model? To what degree does it link to other relevant models?*

#### About this Characteristic

Information and data architecture refers to the design, arrangement and layout of an organisation's information and the inter-relationships of information systems. An Information and data architecture plan or document outlines how an organisation's information and records must be described and organised. This makes it easier for information to be delivered in the correct context to the correct people .

To ensure a high level of adoption throughout the organisation, the Information and data architecture should:

- be enterprise-wide in its scope
- have high-level endorsement for its intent, application, and evolution
- promote flexible, standards-based information sharing and re-use
- be intrinsic to governance decisions for new system initiatives and business process change management.<sup>5</sup>

#### Relationship to Enterprise Architecture

In a mature organisation, there will be a close and coordinated relationship between the Information and data architecture and the other strategies that make up the organisation's enterprise architecture. This may include the:

- *business architecture*, which articulates the functional structure of an enterprise in terms of its business services and business information
- *information technology architecture*, which is a blueprint of how an organization's IT and information management elements work together to efficiently accomplish the mission of the organization, including business activities, processes, data sets, information flows, applications, and software.

#### Evidence of Information and Data Architecture

Examples of evidence supporting Information and data architecture includes the following:

- The organisation has developed an Information and data architecture model which provides an overview and description of the organisation's information and its relationships to:
  - business requirements, systems, and processes
  - applications and technology
  - strategies, standards, and legislation.
- The model is managed and resourced and maintained accordingly.
- The Information and data architecture aligns to other models such as the IT and enterprise Architectures.

<sup>5</sup> National Archives of Australia, 2010, *Check-up 2.0*, Commonwealth of Australia, Canberra.

## 4.1 Information Architecture, continued

### Victorian Government Resources

Resource	Link
<i>Information Management Framework for the Victorian Public Service, Digital Strategy and Transformation</i>	<a href="https://www.vic.gov.au/information-management-whole-victorian-government">https://www.vic.gov.au/information-management-whole-victorian-government</a>

### Other Resources

Resource	Link
The Gartner Enterprise Information Management Framework	<a href="https://blogs.gartner.com/andrew_white/files/2016/10/On_site_poster.pdf">https://blogs.gartner.com/andrew_white/files/2016/10/On_site_poster.pdf</a>



## 4.2 Process Improvement

*How well have business processes been aligned with information and data management requirements? Has the organisation identified areas for improvement and eliminated duplicate processes?*

### About this Characteristic

Business process improvement is a systematic approach to help an organisation optimise its underlying processes to achieve more efficient results. Regarding information and data management process improvement can be used to:

- identify the sources and flow of information and data in the organisation
- identify and eliminate information and data duplication
- define the logical arrangement and grouping of information and data
- define business contextual links between information and data
- implement preventative or corrective actions.

### Business Process Management and Data Governance

Business process management can also benefit the information and data governance program. For example:

- Data at the source –The intelligent use of business process tools can help data custodians to reach back into upstream processes to fix data quality issues at the point of creation.
- Data custodian efforts –The information and data governance program will have a higher probability of success if it focuses on a high-impact business process and a handful of critical attributes.
- Value of data governance to the business –The business may say that IT owns the data, but they will never say that IT owns the business process. Starting from the business process is a good way to engage business users around information and data governance.

### Evidence of Process Improvement

Examples of evidence supporting process improvement for information and data management includes the following:

- Information and data management practices have been incorporated into business processes.
- Efforts have been made to look at where business processes can be re-engineered to improve efficiencies and reduce duplication of information and data.
- Process issues impacting information and data management are directed to appropriate staff or working groups for action.
- Process owners are open to making changes to improve process and information and data management outcomes and develop/update process documentation accordingly.

## 4.2 Process Improvement, continued

### Victorian Government Resources

Resource	Link
<i>Information Management Framework for the Victorian Public Service, Digital Strategy and Transformation</i>	<a href="https://www.vic.gov.au/information-management-whole-victorian-government">https://www.vic.gov.au/information-management-whole-victorian-government</a>

### Other Resources

Resource	Link
<i>Standard Information and documentation – Work process analysis for recordkeeping, SA/SNZ TR ISO 26122:2012, Standards Australia</i>	Available from SAI Global: <a href="https://infostore.saiglobal.com/">https://infostore.saiglobal.com/</a>

## 4.3 Business Systems and Tools

*Are information and data management capabilities built into business systems and tools?*

### About This Characteristic

The *Statements of Direction* were developed to guide future procurement and provide a common view on high-level requirements for government enterprise systems such as human resources, finance, and briefing systems. The Statements are in line with the technology reform area of the Victorian government's *Information Technology Strategy 2016 to 2020*

### What is a Business Information System?

A business information system is any system that assists an organisation to perform its business and manage information and data. Examples include case management systems, staff management, pay systems, and finance systems. In supporting your organisation's business, systems that manage information and data need to work so that records:

- can be proven to be genuine
- are complete, accurate and can be trusted
- are secure from unauthorised access, alteration, and deletion
- are findable and readable
- are related to other relevant records.

To achieve these characteristics, business information and data systems designers, owners and managers must take a systematic and consistent approach, by identifying information and data management requirements for their current and future systems.

Information and data are likely to be held in several different systems but should not exist in unmanaged environments where oversight is limited or impossible.

Organisations should plan for technology variables that might be needed to support its information and data assets in the future (for example, changing access requirements, the addition or removal of information and data and the impact of new or amended policy).

### Evidence of Business Systems and Tools

Examples of evidence supporting business systems and tools for IM includes the following:

- Information and data management specialists works together with IT and risk management specialists as required to manage existing and/or implement new systems and tools.
- Information and data managed within the organisation's business systems and tools is effectively managed according to requirements from the Department of Premier and Cabinet, Public Record Office Victoria, and the Office of the Victorian Information Commissioner.
- The organisation encourages and adopts improvements to system and tool information and data management capabilities.
- Systems and tools are effectively managed over their life, from acquisition to decommissioning, to ensure their integrity, reliability, and performance.

## 4.3 Business Systems and Tools, continued

### Victorian Government Resources

Resource	Link
<i>PROS 19/04 Operations Management Standard</i> , Public Record Office Victoria	<a href="https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1904-operational-management-standard">https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1904-operational-management-standard</a>
<i>Statements of Direction</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/digital-strategy-transformation-statements-direction">https://www.vic.gov.au/digital-strategy-transformation-statements-direction</a>
<i>Business systems, policies and standards</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/policies-standards-for-government-IT">https://www.vic.gov.au/policies-standards-for-government-IT</a>
<i>Information Technology Strategy 2016 to 2020</i> , Digital Strategy and Transformation	<a href="https://www.vic.gov.au/information-technology-strategy">https://www.vic.gov.au/information-technology-strategy</a>

### Other Resources

Resource	Link
<i>ISO 16175 - what you need to know</i> , National Archives of Australia	<a href="https://www.naa.gov.au/information-management/information-management-standards/iso-16175-what-you-need-know">https://www.naa.gov.au/information-management/information-management-standards/iso-16175-what-you-need-know</a>
<i>Checklist for assessing business systems</i> , State Archives and Records NSW	<a href="https://www.records.nsw.gov.au/recordkeeping/advice/checklist-for-assessing-business-systems">https://www.records.nsw.gov.au/recordkeeping/advice/checklist-for-assessing-business-systems</a>

## 4.4 Information Privacy and Security

*What is the status of information and data privacy and security in the organisation? Do staff have the knowledge and support to protect information and data and ensure their confidentiality, integrity, and availability? Is the organisation able to respond to information and data privacy and security incidents?*

### About this Characteristic

The secure management of information and data is critical to government service delivery, public trust, and confidence. Various legal, regulatory, and administrative requirements govern the protection of official information and data designed to reduce information security risks and maintain individual's privacy (i.e., *Privacy and Data Protection Act 2014, Health Records Act 2001* etc.).

Each agency or body operates under a variety of legal, regulatory, and administrative requirements, governing the protection of the information and data the organisation accesses, uses and holds.

### Information Privacy

Information privacy protections are embodied in ten Information Privacy Principles (IPPs) set out in Schedule 1 of the *Privacy and Data Protection Act 2014* (PDP Act). The IPPs set out the minimum requirements for how personal information and data is to be collected and handled by public sector organisations. Under the Section 3 of the PDP Act:

'Personal information' means information or an opinion (including information or an opinion forming part of a database), that is recorded in any form and whether true or not, about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion, but does not include information of a kind to which the *Health Records Act 2001* applies.'

### Protective Data Security (Information Security)

Protecting information (including personal information) is the practice of applying *risk-based controls*, commensurate with the *value* of an organisation's *information assets*. Selected security measures are used by organisations to ensure the continued **confidentiality, integrity, and availability** of their official information and data.

The PDP Act provides for the Victorian Protective Data Security Framework (VPDSF) which, with limited exceptions, applies to most Victorian public-sector agencies or bodies. It has been developed to help organisations:

- identify information assets
- assess the value of this information and data
- identify and manage protective data security risks
- apply security measures
- create a positive security culture
- mature their protective data security capability.

Organisations not directly in scope for Part 4 of the PDP Act, should still consider the VPDSF and accompanying security Standards as best practice, and align with the security conditions set out in the guidance material where possible. N.B. Public sector organisations not in scope for Part 4 of the PDP Act still retain data security obligations for personal information and data under IPP 4.

## 4.4 Information Privacy and Security, continued

### Evidence of Information Privacy and Security

Examples of evidence supporting information privacy and security include the following:

- The organisation is actively implementing requirements outlined in the *Victorian Protective Data Security Standards*, the *Information Privacy Principles*, and the *Victorian Government Cyber Incident Management Plan*.
- The organisation has information privacy and security strategies in place and an assurance program in place to manage information and data privacy and security risks.
- The organisation has conducted privacy impact assessments and security risk assessments.
- The organisation has appropriate plans in place which are reviewed and maintained (such as a *Protective Data Security Plan* and *Cyber Incident Response Plan*).
- The organisation has clear procedures and points of contact to seek out guidance regarding information and data privacy and security, and cyber security.
- Protective measures are embedded in day-to-day processes to prevent privacy and security breaches and incidents.
- If incidents occur within the organisation, they are reported in alignment to requirements of the *Information Security Incident Notification Scheme*.

### Victorian Government Resources

Resource	Link
<i>Victorian Protective Data Security Framework</i> Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/framework-vpdsf/">https://ovic.vic.gov.au/data-protection/framework-vpdsf/</a>
<i>Victorian Protective Data Security Standards</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/standards/">https://ovic.vic.gov.au/data-protection/standards/</a>
<i>Data Protection</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/">https://ovic.vic.gov.au/data-protection/</a>
<i>Privacy</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/privacy/">https://ovic.vic.gov.au/privacy/</a>
<i>Information Privacy Principles</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/privacy/for-agencies/information-privacy-principles/">https://ovic.vic.gov.au/privacy/for-agencies/information-privacy-principles/</a>
<i>Victorian Government Cyber Incident Management Plan</i> , Department of Premier and Cabinet	<a href="https://www.vic.gov.au/cyber-incident-management-plan">https://www.vic.gov.au/cyber-incident-management-plan</a>
<i>Information Security Incident Notification Scheme</i> , Office of the Victorian Information Commissioner	<a href="https://ovic.vic.gov.au/data-protection/agency-reporting-obligations/incident-notification/">https://ovic.vic.gov.au/data-protection/agency-reporting-obligations/incident-notification/</a>
<i>Privacy and Data Protection Act 2014</i>	<a href="http://www.legislation.vic.gov.au">www.legislation.vic.gov.au</a>