Public Record Office Victoria Report

**Information Management Maturity Assessment Program 2017-18
Version 2: De-identified Data**

Public Record
Office Victoria

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1   Executive Summary

1.1   Background

Information Management is a discipline employed by an organisation to plan, identify, create, receive, collect, organise, govern, secure, use, control, disseminate, exchange, maintain, preserve and dispose of its information. It is also the means through which the organisation ensures that the value of that information is identified and exploited[1].

This document reports on the findings of the Information Management Maturity Assessment Program (IMMAP) conducted during 2017-18. In this version of the report, the IMMAP participants are *de-identified*.

The Information Management Maturity Assessment Program is a biennial program administered by Public Record Office Victoria (PROV) that analyses and reports on Information Management (IM) maturity in Victorian Government (VG).

IM maturity assessments are completed by participating organisations using PROV's Information Management Maturity Measurement (IM3) tool. This round of IM3 assessments is the second to be completed within VG. The first occurred during the 2015-16 financial year.

1.2   Purpose

The IMMAP is designed to provide:
- a high-level overview of IM maturity for participating VG departments and agencies
- a mechanism for identifying and initiating IM enhancement opportunities in VG
- an evidence base to inform the strategic direction and priorities for IM decision makers across VG.

The program also assists individual organisations within VG to:
- self-assess their performance against IM requirements and best practice
- gain valuable insights and evidence into their own IM trends and gaps, and
- develop potential internal and collaborative IM opportunities and initiatives.

1.3   Participants

As outlined in the VG *Information Management Governance Standard[2],* it is a requirement for all VG departments and Victoria Police to participate in the IMMAP every two years. Submissions from other agencies in VG that are current members of the VG Information Management Group (IMG)[3] are also within scope. The following departments and agencies participated in the 2017-18 IMMAP:

Departments	Agencies
Department 1	Agency 1
Department 2*	Agency 2
Department 3[4]	Agency 3
Department 4	Agency 4*
Department 5	Agency 5*
Department 6	
Department 7*	

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[1] Department of Premier and Cabinet, 2018, *IM Guide 03 Information Management Glossary*, State of Victoria, Melbourne.
[2] Department of Premier and Cabinet, 2017, *IM STD 03 Information Governance Standard*, State of Victoria, Melbourne.
[3] The IMG is the governance body for information management coordination and leadership for the VG. It is a sub-committee of the CIO Leadership Group.
[4] Department 3 participated in the 2015-16 IMMAP but was not able to submit results in time for 2017-18.
*Indicates departments/agencies that did not participate in the 2015-16 IMMAP.

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1.4   Findings

Through the IMMAP results PROV identified the following:

1. All departments and agencies that participated in the previous IMMAP maintained their 2015/16 ratings (results indicate that it can take significant resources and time for investments in IM to become realised).

2. Departments and agencies are well advanced in *IM Support & Leadership*, *Governance, Vision & Strategy*.

3. Advancement in *IM Support & Leadership, Governance, Vision & Strategy* provides a solid foundation for further IM development and maturity[5].

4. The introduction of the Information Management Framework (IMF) by Enterprise Solutions Branch (ESB) of Department of Premier and Cabinet (DPC) has been key to improved IM performance overall; the IMF providing solid direction and a best practice model for VG organisations.

5. There is a correlation between the introduction of new standards and requirements, e.g. the Information Management Governance Standard and the Victorian Protective Data Security Framework (VPDSF) and ratings for information assets and security. IMMAP results indicate that VG organisations have re-baselined their performance against these Standards.

6. Organisational commitment to IM improvement is more likely if IM improvement initiatives are linked to business objectives, requirements and processes. Aligning IM strategy to organisational objectives is more likely to improve IM maturity.

7. Participants' responses to the *Meeting Business Needs* questions indicate rudimentary control of information integrity and access. An inability to achieve improvement in *Meeting Business Needs* is likely to reduce VG capacity to deliver services to the community effectively.

8. Results indicate a correlation between the low level of achievement for *Access & Discoverability* and *Use & Re-use.*

9. Targeted and locally relevant training, delivered by qualified staff, is materialising in improved IM awareness, understanding and capabilities within VG organisations.

10. Department 5, Department 2 and Agency 3, with an average rating of 'Formative' (level 3), have self-assessed their performance at a higher level of maturity than other participants.

11. The highest rating level assigned by a participant was a rating of 'Proactive' (level 5) by Agency 3 for *IM Governance*.

12. New participant, Agency 5 self-assessed its overall rating as 'Unmanaged' (level 1). While its *IM Management, Support & Leadership* is quite strong (level 3), its remaining IM performance is generally below the other participants at 'Aware' (level 2) or 'Unmanaged' (level 1).

13. Three participants identified *IM Training & Support* as 'Unmanaged' (level 1).

14. Users have identified the value of the IMMAP process and results. They have also proposed improvements to data collection, methodology and how to use the product.

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[5] See Appendix B for a comparison of the attributes of high and low rating organisations

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1.5   Recommendations

The following recommendations have been prepared by PROV to address low maturity ratings and flag enhancement opportunities for IM performance in VG:

1. Agencies and departments should continue to develop IM foundation components as IM maturity priorities, i.e. *Governance, IM Vision & Strategy, Strategic Alignment* and *Management Support & Leadership*. Once these components are in place and operational, organisations will be able to build effectively upon these and improve performance ratings over time[6].

2. Agencies and departments should align IM initiatives with organisational objectives to effect positive IM changes, gain adequate resourcing and nullify negative cultural attitudes to IM[7].

3. Agencies and departments should ensure that information is managed so that it meets business needs, thereby enhancing its value to the organisation[8].

4. System and process improvement should be prioritised to ensure that information is captured and is useable, trustworthy, reliable and accessible for as long as it is required[9].

5. Agencies and departments should invest in building IM knowledge, skills and capability within their organisations by appointing qualified staff and delivering targeted training[10].

6. Agencies and departments should continue to work towards meeting requirements of the Office of the Victorian Information Commissioner (OVIC), ESB and PROV to ensure information is created, captured, maintained and protected for VG and the wider Victorian community[11].

7. ESB should continue to develop IMF standards and guidelines to provide direction and define IM best practice for VG agencies and departments to work towards[12].

8. VG investment in the IMMAP should continue in order to measure, understand and improve upon IM practices in VG over time.

9. PROV should investigate how to present best practice to improve data collection and measure maturity[13].

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[6] See Findings 2, 3 and 11

[7] See Finding 7

[8] See Finding 7

[9] See Finding 6, 7 and 8

[10] See Finding 9

[11] See Finding 4 and 5

[12] See Finding 4

[13] See Finding 14

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2   Background

2.1   About the IMMAP

The Information Management Maturity Assessment Program (IMMAP) is a biennial program administered by Public Record Office Victoria (PROV) that analyses and reports on Information Management (IM) maturity in Victorian Government (VG).

IM maturity assessments are completed by participating organisations using PROV's Information Management Maturity Measurement (IM3) tool. This round of IM3 assessments is the second to be completed within VG. The first occurred during the 2015-16 financial year.

The IMMAP is designed to provide:

- a high-level overview of IM maturity in VG departments and five participating agencies
- a mechanism for identifying and initiating IM enhancement opportunities in VG
- an evidence base to inform the strategic direction and priorities for IM decision makers across VG.

The program assists individual organisations within VG to self-assess their performance against IM requirements and best practice. Evidence gathered provides an opportunity to gain valuable insights into organisational IM trends, gaps and seeds the development of intra and inter-organisational collaborative IM projects and initiatives.

As one 2017-18 participant noted, "The IMMAP exercise itself was very useful. It's provided me with a much clearer idea of what we're doing well and where the gaps are to focus on...."

2.1.1   IMMAP stages and timing

The Information Management Maturity Assessment Program (IMMAP) is administered by PROV every two years. The program is delivered in four stages. Table 1 below outlines the stages of the 2017-18 IMMAP.

Table 1 *2017-18 IMMAP Stages*

Stage No	Date	Actions
Stage 1	Jul 2017– Jun 2018	Department and agency IM3 self-assessments undertaken.
Stage 2	Jul 2018	Submission of all department and agency IM3 results to PROV.
Stage 3	Sep-Nov 2018	Collation and analysis of IM3 results and creation of an *Information Management Maturity Assessment Program Report*.
Stage 4	November 2018	Reports released.

2.1.2   IMMAP reporting

PROV collated 2017-18 results from July to September 2018 from participating departments and agencies in order to report on VG information management maturity to relevant government bodies and groups and the wider IM community. Results are utilised by the IMG for work planning purposes.

Two versions of the report are made available, as outlined in Table 2 below. This version of the report, Version 2, outlines *de-identified* results of the IMMAP participants.

Table 2 *Versions of the IMMAP Report*

Report Version	Description	Submitted to
Version 1	Report presents data that identifies the IM3 results for individual departments and agencies who participated in the IMMAP.	IMMAP participants; Enterprise Solutions Branch, DPC, applicable DPC executives, Deputy Secretary Committees and Public Records Advisory Council (PRAC).
Version 2	Report presents de-identified IM3 result data.	Information Management Group; information and records management communities via PROV website and government services e-newsletter.

2.2   IM3 tool

The IMMAP is based on data gathered from self-assessments completed by participants using PROV's Information Management Maturity Measurement (IM3) tool. The tool was developed by PROV and members of the IMG in 2013. It is composed of a self-assessment questionnaire and support documents presented around four key dimensions:

1. PEOPLE — *How the knowledge, skills, experience and attitudes of staff contribute to good IM.*

2. ORGANISATION — *How IM operates within the organisation and whether it receives support from senior management.*

3. INFORMATION LIFECYCLE AND QUALITY — *How information assets are managed in the organisation and whether there is a common view to long term access to quality information.*

4. BUSINESS SYSTEMS AND PROCESSES — *How business systems and processes (both electronic and manual) support Information Management practices.*

IM3 content is based on the Information Management Framework (IMF) — a navigational tool administered by the Enterprise Solutions Branch (ESB) of the Department of Premier and Cabinet (DPC) and co-developed by the IMG. The framework contains standards, policy, and guidelines that provide strategic and comprehensive direction on IM best practice for departments and agencies.

Minor revisions have been made to the IM3 since its creation. PROV is planning further updates to align the IM3 with new IMF content as it is released by Enterprise Solutions Branch of DPC. This work is scheduled to take place before the next IMMAP in 2019-2020 and will be done in collaboration with the IMG.

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3 Methodology

3.1 Participants

As outlined in *IM STD 03 Information Management Governance Standard,* it is a requirement for all VG departments and Victoria Police to participate in the IMMAP every two years.

PROV also accepted submissions from other agencies in VG that are current members of the IMG.

The participants of the 2017-18 IMMAP are not exactly the same as the 2015-16 IMMAP therefore it should be noted that the results are not exactly comparable.[14]

PROV is aware that other agencies across government use the IM3 tool, but currently these are not tracked or in scope of the IMMAP.

3.1.1 Participant complexity

PROV recognises that the participants of the IMMAP operate in varied and complex environments. For example, the operating environments of some of the larger departments can significantly impact and challenge IM maturity in these organisations.

These complexities include:

- nature, risk profile and complexity of functions and services (e.g., policy development, citizen service delivery)
- number of Ministers
- number of business units and/or statutory authorities
- number of sites and their distribution (e.g., metropolitan, and regional)
- number of staff.

Currently the IMMAP does not collect and report on participants' operating and legislative contexts. However, this should be considered when analysing and applying the results as evidence to inform strategic direction and priorities for IM improvement.

3.2 Data collection

Data for the IMMAP was collected using results from a common set of questions found in the IM3 tool. (See **Appendix C** for the full set of IM3 questions). Each participating department and agency downloaded the IM3 tool from the PROV website[15] and completed the questionnaire.

For each question, the department or agency selected their current 'maturity level' using a scale of one to five, with one being the least developed and five the most developed. See Figure 1 below for an overview of the maturity levels.

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[14] 2023- the staffing numbers and whether the Department or Agency was required to participate in IMMAP are not included in the deidentified report to retain anonymity.

[15] The IM3 can be downloaded from https://www.prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3
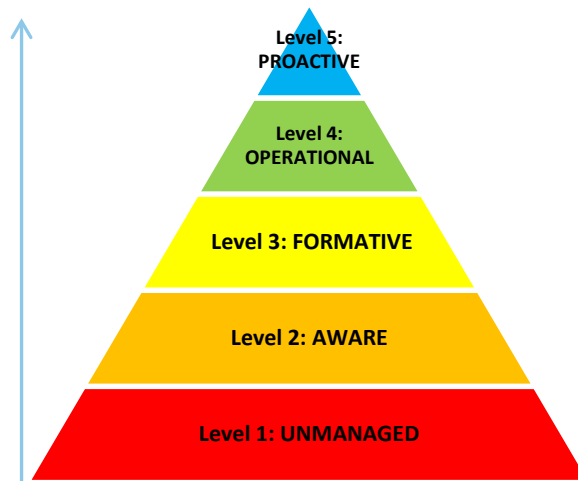
Figure 1 *IM3 Maturity Levels*

Due to variations in department and agency size, structure, resourcing and capability, PROV did not direct agencies to adopt a particular method to complete the IM3 questions. Each department and agency was responsible for determining the most suitable assessment methodology for its environment and selecting an appropriate maturity level rating. As such, the IMMAP participants utilised different methods and samples to complete the assessment including surveys, workshops and/or interviews.

To ensure consistency with 2015-16 IMMAP and support longevity, PROV recommended that agencies and departments repeat the methodology used for the 2015-16 IM3 assessments. Once the department or agency completed all of the questions, the IM3 generated a table and graph of results and these were emailed to PROV for analysis and summary reporting.

3.3   Analysis

PROV compared the maturity level ratings submitted by the IMMAP participants across all questions. Average rating levels were calculated for each participant and IM dimension addressed in the IM3 questionnaire. Patterns and trends were identified in the results to ascertain strengths and weaknesses and provide recommendations.

Each question in the IM3 tool provides a section for documenting the reasons for the selected rating and the provision of evidence. Some of this information is noted in the individual question ratings (section 4.6).

It is worth noting that more participants included the rationale for their ratings in the 2017-18 assessment than the previous assessment thus improving the value of the collected data.

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4 Results

The tables below summarise the average rating levels reported for the IM dimensions analysed and summary results for the individual questions. For detailed results, see Section 4.6 and **Appendix A**. Ratings are on a scale of one to five; 'Unmanaged' (level 1) to 'Proactive' (level 5).

4.1 IM Dimension ratings

Table 3 provides the average rating level for each of the four IM dimensions examined by the questionnaire. On average, agencies and departments achieved 'Aware' (level 2). The result indicating that it can take significant time for resources investment in IM to be realised[16].

Table 3 *Dimension ratings, comparison between 2015-16 and 2017-18*

Dimension	2015-16		2017-18
1. PEOPLE	AWARE	=	AWARE
2. ORGANISATION	AWARE	=	AWARE
3. INFORMATION LIFECYCLE AND QUALITY	AWARE	=	AWARE
4. BUSINESS SYSTEMS AND PROCESSES	AWARE	=	AWARE

4.2 Participant ratings

Table 4 provides overall ratings for each of the participants. Not all departments and agencies submitted results for every question. Agency 3 reported improvement in its overall IM practices, from 'Aware' to 'Formative'.

Table 4 *Participant ratings, comparison between 2015-16 and 2017-18*

Department / agency name	Abbreviated name	2015-16		2017-18
Department 1	D1	AWARE	=	AWARE
Department 2	D2	-		FORMATIVE
Department 3	D3	AWARE		-
Department 4	D4	AWARE	=	AWARE
Department 5	D5	FORMATIVE	=	FORMATIVE
Department 6	D6	AWARE	=	AWARE
Department 7	D7	-		AWARE
Agency 1	A1	AWARE	=	AWARE
Agency 2	A2	AWARE	=	AWARE
Agency 3	A3	AWARE	⬆	FORMATIVE
Agency 4	A4	-		AWARE
Agency 5	A5	-		UNMANAGED

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[16] To address this, some participants such as D1 implemented three points within each rating level to be able to record incremental improvements in performance.

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4.3   Question ratings

Overall ratings for each question are provided in Figure 2. Most responses are at the 'Aware' (level 2) rating. Both *Support & Leadership* and *Audit & Compliance* have improved by one level. While *Governance* and *Privacy & Security* have declined. This may be due to:

- different participants in this round of the IMMAP which altered the average ratings overall
- the introduction of the Victorian Protective Data Security Framework and standards.
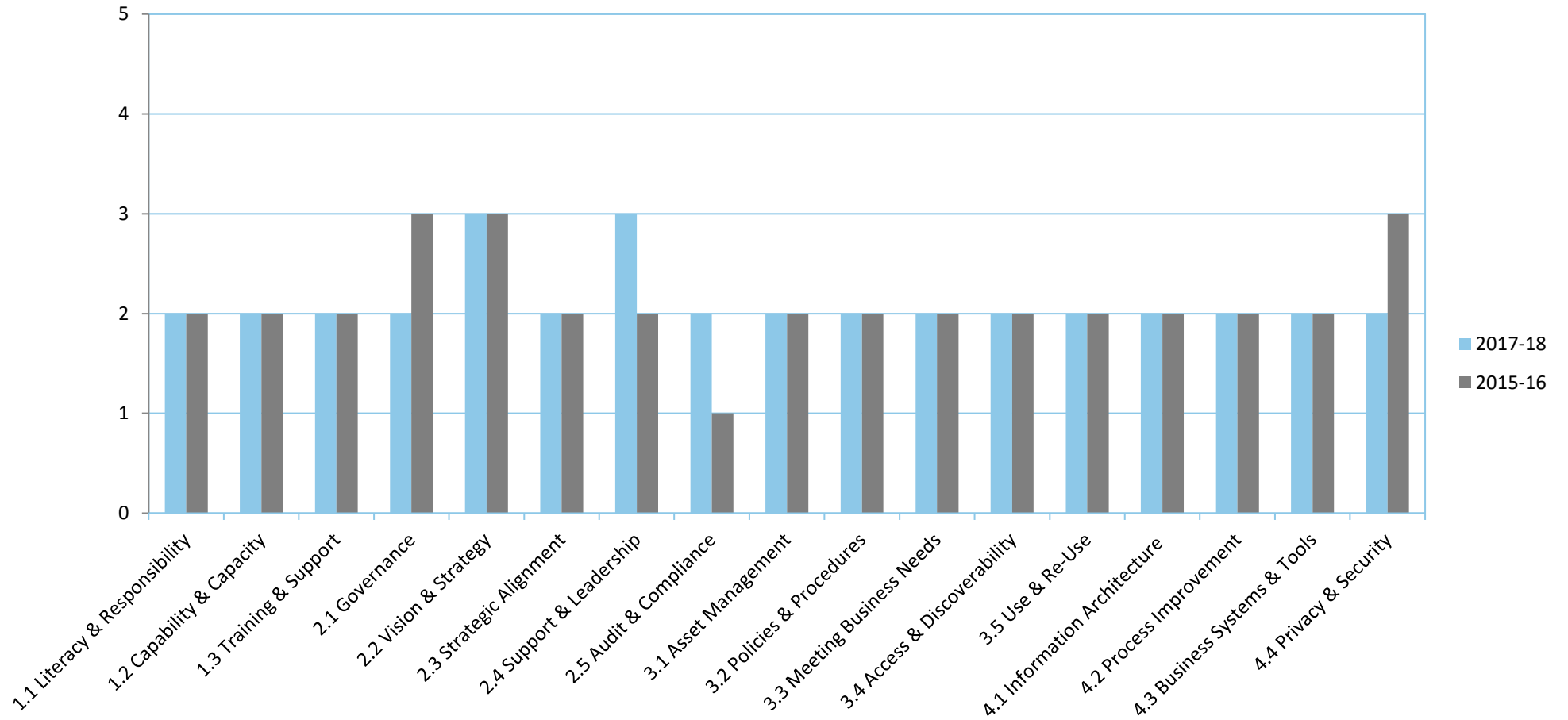
4.4   Strengths

Most departments and agencies have established good *Vision & Strategy* and *Support & Leadership*, reaching an overall 'Formative' (level 3) rating.

D5, D2 and A3 self-assessed their performance on average as 'Formative' (level 3), higher than other participants. The highest rating level assigned by a participant was a rating of 'Proactive' (level 5) by A3 for *IM Governance*.

4.5   Weaknesses

During this IMMAP three participants indicated their *IM Training & Support* was at 'Unmanaged' (level 1) rating.

New participant, A5 self-assessed its overall performance as 'Unmanaged' (level 1). While their *IM Management, Support & Leadership* is quite strong (level 3), the remainder of their IM performance is generally below the other participants at 'Aware' (level 2) or 'Unmanaged' (level 1).

4.6   Individual question ratings

In this section, each question in the IM3 tool is examined. Rating levels for each participant is provided, including a comparison against 2015-16 results (where available).

Question 1.1 Information Literacy & Responsibility

Are staff who are responsible for managing information in your organisation aware of their responsibilities?
Is information regarded and treated as a valuable asset?

While training and workshops for staff are occurring to boost IM literacy and responsibility in departments and agencies, most participants are at 'Aware' (level 2) or 'Formative' (level 3) rating levels. A3 has the highest rating, 'Operational' (level 4). Participants with lower ratings attribute this to:
- general lack of understanding of how IM contributes to the broader organisation
- siloed IM behaviours
- only a limited number of physically dispersed teams are aware of IM principles.
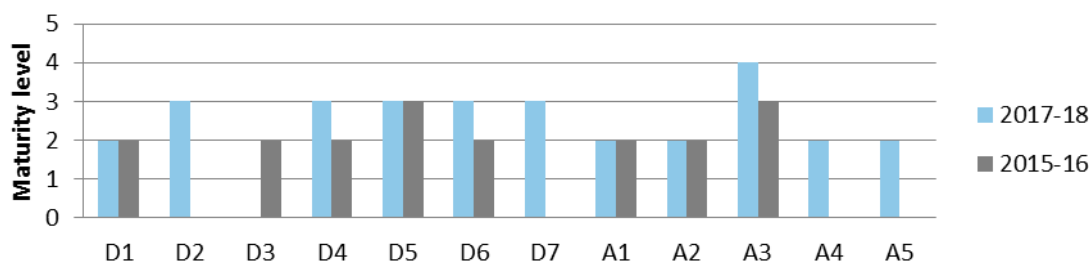
Figure 3 *Question 1.1 rating levels*

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

D2 and D5 reported the highest self-assessed performance by rating themselves at 'Operational' (level 4). Both departments report that IM specialists have been appointed across areas of the business and are consulted by other areas as required. In addition, IM is incorporated into performance plans and position descriptions. The remainder of

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the IMMAP participants self-assess at 'Formative' (level 3) and 'Aware' (level 2), with D6 improving a level since the previous IMMAP. Low performance is attributed to issues such as:

- existence of legacy IM problems
- insufficient IM resources, training and specialist staff.
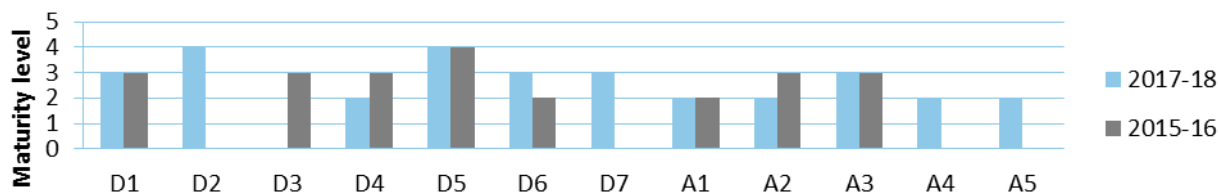
Question 1.3 Training, Support & Knowledge Sharing

What training, support or knowledge sharing is available to staff in your organisation to assist them in meeting their IM responsibilities?

Rating levels regarding *IM Training & Support* varies between the participants. While D5 and D2 report that they are delivering effective, targeted, face-to-face and online training to achieve the 'Operational' (level 4) rating, other agencies and departments report lower performance. Three participants, A2, A4 and A5 rate themselves as 'Unmanaged' (level 1) due to:

- inconsistent/non-existent training being offered
- lack of endorsement to implement holistic training approaches
- limited focus on records management for some staff only.
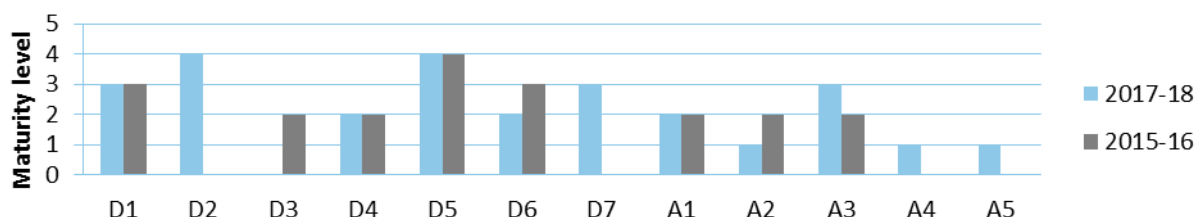
Question 2.1 Governance

To what degree is Information Management formally governed in your organisation?

D1, D2 and D6 report strong peformance in this area reaching 'Operational' (level 4) ratings, whilst A3 is at 'Proactive' (level 5). D4 and the remaining agencies reported 'Aware' (level 2) ratings, with some dropping down a level from the previous IMMAP. Obstacles affecting performance include:

- lack of governance structure
- IM being managed predominately at business unit or project level only
- existing committees focusing on technology and operational objectives and lacking true commitment to IM initiatives.

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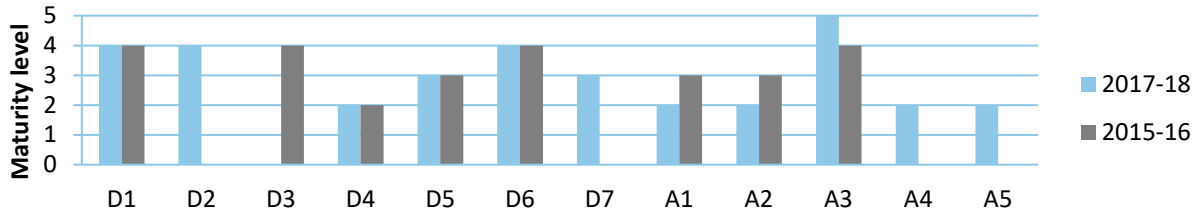
Question 2.2 Information Management Vision & Strategy

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

Overall *IM Vision & Strategy* is rating well among the IMMAP participants with D2, D5, D7 and A3 assessing themselves at 'Operational' (level 4). This is due to such factors as:

- endorsement and regular review of IM strategy
- IM actions and issues recognised as a priority
- investment in IM systems, people and processes to mature IM.

Other participants performed at 'Formative' (level 3) and 'Aware' (level 2). Lower ratings were assigned due to factors including, strategies not being:

- developed (or they are only in the planning stages)
- regularly refreshed or progressed to factor in prioritised IM initiatives.

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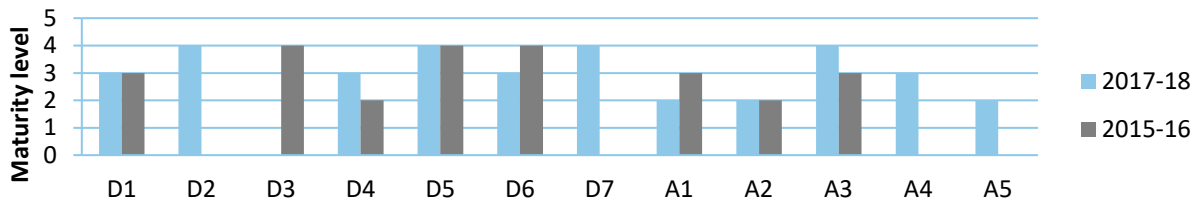
Question 2.3 Strategic Alignment

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

Almost half of the participants are at 'Formative' (level 3) rating, with D5 and D7 self-assessing at 'Operational' (level 4) as their IM strategies align to department-wide strategic planning. D4, A1, A2 and A5 assess their performance at 'Aware' (level 2) given factors such as:

- IM generally having a low profile
- IM strategies not being in place yet.
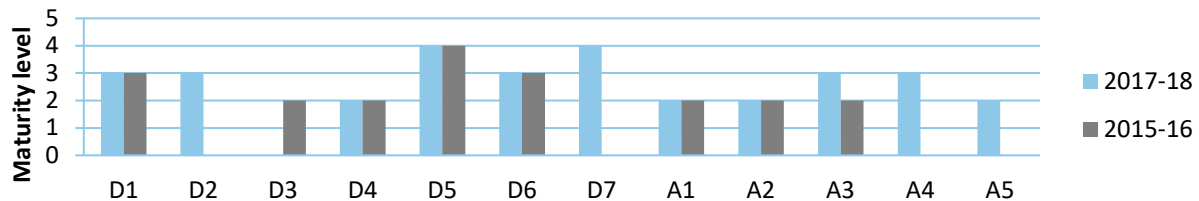
Question 2.4 Management Support & Leadership

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

Overall most participants have good *Management Support & Leadership*, most having self-assessed as either 'Formative' (level 3) or 'Operational' (level 4) and showing improvement since the previous IMMAP. A1 and A4 are at 'Aware' (level 2). A4 indicates it is just beginning to seek out opportunities to represent IM to executive level staff, whilst A1 notes that its management generally shows limited support to implement IM initiatives such as EDRMS and digitisation projects.

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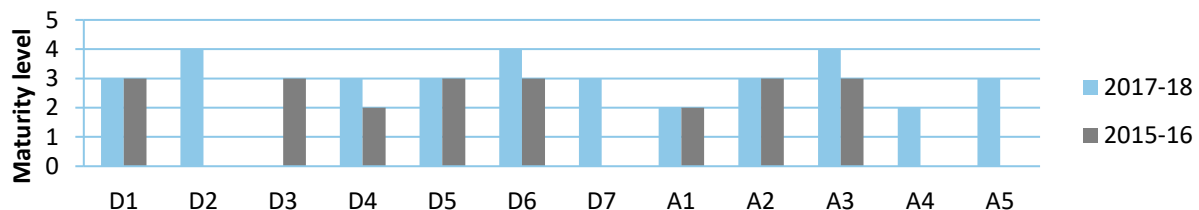
Question 2.5 Audit & Compliance

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

During the 2015-16 IMMAP, *Audit & Compliance* was the weakest performing area. Many participants have shown improvements now sitting at 'Aware' (level 2) or 'Formative' (level 3).

D2 is the standout having self-assessed at 'Operational' (level 4) rating, noting this is due to its internal audits that consider information and data management and governance. D2 policies, procedures and guidelines are reviewed routinely for alignment with VG standards, legislation and other requirements.

D4 and A5 are 'Unmanaged' (level 1) as neither has audit and review processes in place.
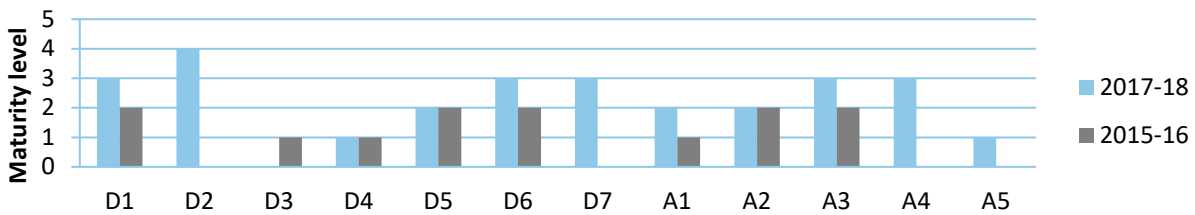
Question 3.1 Asset Management

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

D5, D6 and A3 have strong *Asset Management* having self-assessed at 'Operational' (level 4). D1 and D7 are at 'Formative' (level 3) while most of the remaining participants are 'Aware' (level 2), with A5 being the lowest at 'Unmanaged' (level 1). The lower ratings are attributed to the departments and agencies having:
- no defined responsibilities or consistency in custodian/owner roles
- no established information asset register
- inconsistencies with how assets are registered and managed.

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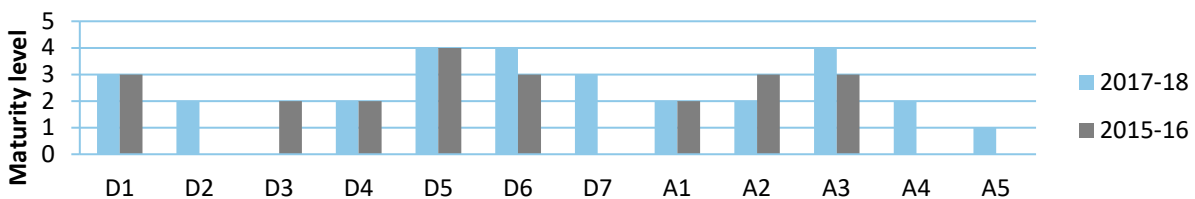
Question 3.2 Policies & Procedures

Does the organisation have fully developed and implemented Information Management and Records Management policies that reference WoVG Standards? Are these policies supported by documented procedures?

Most participants assess their IM Policies & Procedures at 'Formative' (level 3) whilst A3 rates itself at 'Operational' (level 4). Remaining participants have assessed themselves as 'Aware' (level 2) indicating:

- they do not have policies or procedures in place
- the standards are only being applied in an ad hoc manner
- non-compliance with policies and procedures is accepted practice.

Overall only A3 has shown improvement in this area since the previous IMMAP.

Question 3.3 Meeting Business Needs

Is information meeting the needs of the business and its users in terms of strategic importance, quality and access?

Most participants are either at 'Formative' (level 3) or 'Aware' (level 2) rating levels whilst A5 has self-assessed as 'Unmanaged' (level 1). Hindrances affecting information meeting the needs of departments and agencies include:

- a lack of information and data quality
- documents are managed inconsistently and often cannot be located
- information is not trusted as reliable due to high levels of duplication.

Overall, none of the participants show significant improvement in IM meeting the needs of the business since the previous IMMAP.

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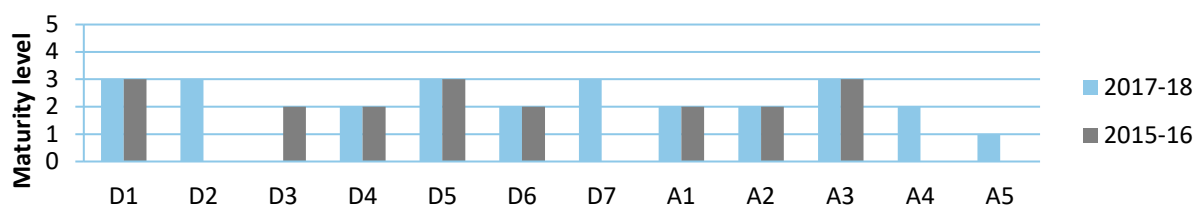
Question 3.4 Accessibility & Discoverability

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

D2 and D5 rate well for *Accessibility & Discoverability* due to:
- organisation-wide EDRMS
- access and capture of information is promoted and required for all staff
- access to controlled documents is defined and implemented
- well-organised information.

A3 rates at 'Formative' (level 3) while the remainder of participants are 'Aware' (level 2). A1 is the only participant to have improved a level since the previous IMMAP. The lower rating levels have been attributed to issues such as:
- having trouble locating information
- sometimes needing to re-create information so it is fit for purpose
- guidance around information retrieval is being applied sporadically.
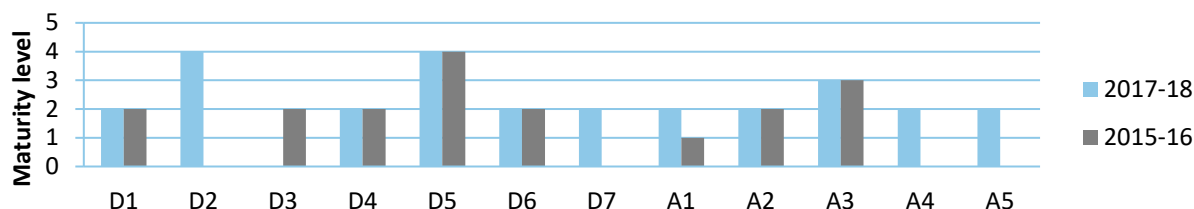
Question 3.5 Information Use & Re-Use

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

D6 and A3 have improved their information *Use & Re-Use* to reach 'Formative' (level 3) rating joining D1 and D5. The remainder of participants have self-assessed this area as 'Aware' (level 2) due to issues such as:
- being in the process of rolling out new information systems
- a lack of metadata around information and data
- record formats and systems not fostering information sharing.

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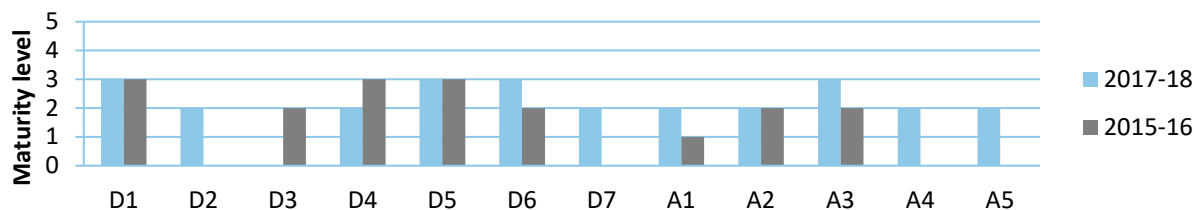
Question 4.1 Information Architecture

Has the organisation developed an Information Architecture model? To what degree does it link to the Business Architecture and IT Architecture models?

Most participants maintained a 'Formative' (level 3) rating, with D4 moving up to 'formative' since the previous IMMAP. D7 and D6 are at 'Aware' (level 2) and A5 is 'Unmanaged' (level 1) noting it does not have an information architecture model in place currently, nor the resources to develop one.
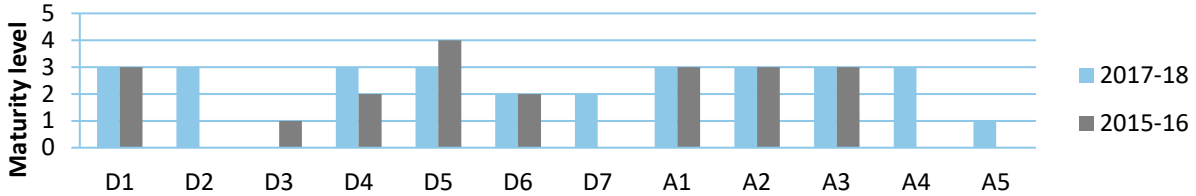
Question 4.2 Process Improvement

How well have business processes been aligned with information management requirements to ensure information quality? Has the organisation identified information integration points and eliminated duplicate processes?

The majority of participants rate themselves well for IM *Process Improvement* achieving 'Formative' (level 3) rating in this area. The rest of the participants self-assessed as 'Aware' (level 2) due to:

- having identified areas for improvement but have not yet fixed the issues process improvements being localised to applications and not being holistic
- IM processes not being questioned due to embedded behaviours.

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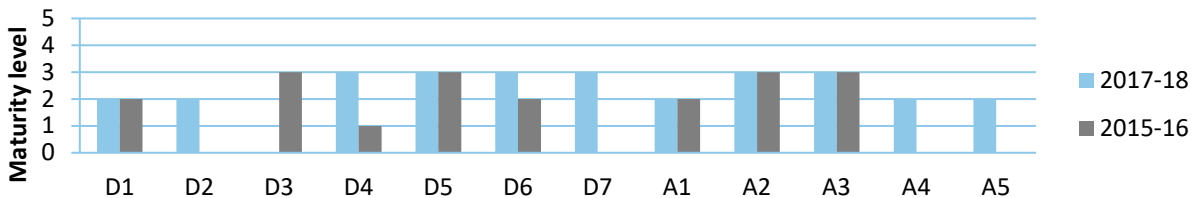
Question 4.3 Business Systems & Tools

Does the technology available in the organisation support and enable the delivery of the organisation's information management strategy?

Overall none of the participants have shown significant improvements in this area since the previous IMMAP. About half of the participants are 'Formative' (level 3) with their *Business Systems & Tools* supporting IM in their organisation. The remaining participants are at 'Aware' (level 2) with A5 self-assessed as 'Unmanaged' (level 1). Departments and agencies indicate these lower ratings are due to:

- having only just commenced work to assess and incorporate IM practices to improve business practices
- limited capture and storage options for digital information and data
- multiple systems rolled out that have not been appropriately configured or mapped
- high use of non-compliant cloud storage and shared drives.
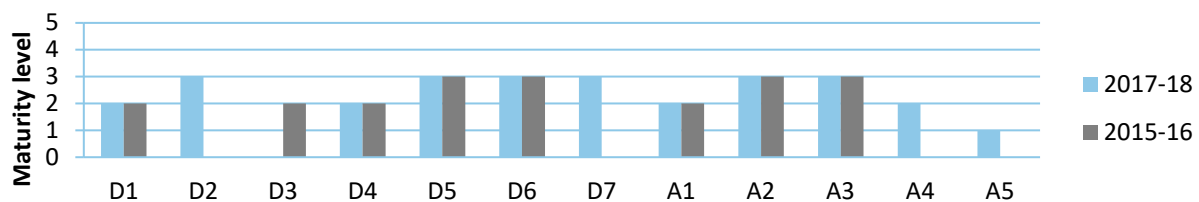
Question 4.4 Information Privacy & Security

What is the status of information security and privacy in the organisation? Do staff have the knowledge and support to secure information (including personal information) obtained, received or held by the organisation?

Performance in the area of *Information Privacy & Security* is varied among the participants. Interestingly, some participants dropped down a level since the previous IMMAP, while others gained a level.

D2, D5 and A3 self-assessed with the highest rating of 'Operational' (level 4), noting they have dedicated training and resources and they have successfully embedded privacy and security requirements into systems and processes.

Other participants self-assessed as either 'Formative' (level 3) or 'Aware' (level 2). A5 self-assessed as 'Unmanaged' (level 1) as:

- it is still in the process of meeting Victorian Protective Data Security Framework requirements
- its personnel is largely unaware of privacy and security requirements, evidenced by inappropriate data collection and storage behaviours.

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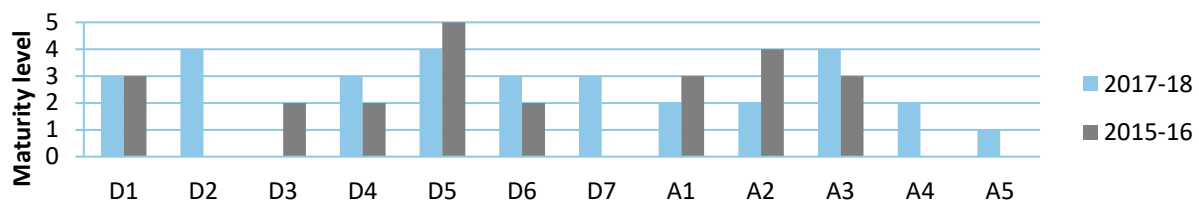
Appendix A: Results Overview

Table 5 *2017-18 IMMAP results with comparison against 2015-16 averages.*

Dimension	Question	D1	D2	D3	D4	D5	D6	D7	A1	A2	A3	A4	A5	2017-18	2015-16
1. PEOPLE	1.1 Information Literacy & Responsibility	2	3	-	3	3	3	3	2	2	4	2	2	**2.64**	**2.25**
	1.2 Capability & Capacity	3	4	-	2	4	3	3	2	2	3	2	2	**2.73**	**2.88**
	1.3 Training, Support & Knowledge Sharing	3	4	-	2	4	2	3	2	1	3	1	1	**2.36**	**2.5**
2. ORGANISATION	2.1 Governance	4	4	-	2	3	4	3	2	2	5	2	2	**3.00**	**3.38**
	2.2 Information Management Vision & Strategy	3	4	-	3	4	3	4	2	2	4	3	2	**3.09**	**3.13**
	2.3 Strategic Alignment	3	3	-	2	4	3	4	2	2	3	3	2	**2.82**	**2.5**
	2.4 Management Support & Leadership	3	4	-	3	3	4	3	2	3	4	2	3	**3.09**	**2.75**
	2.5 Audit & Compliance	3	4	-	1	2	3	3	2	2	3	3	1	**2.45**	**1.63**
3. INFORMATION LIFECYCLE AND QUALITY	3.1 Asset Management	3	2	-	2	4	4	3	2	2	4	2	1	**2.64**	**2.75**
	3.2 Policies & Procedures	2	3	-	2	3	3	3	3	2	4	3	2	**2.73**	**2.5**
	3.3 Meeting Business Needs	3	3	-	2	3	2	3	2	2	3	2	1	**2.36**	**2.38**
	3.4 Accessibility & Discoverability	2	4	-	2	4	2	2	2	2	3	2	2	**2.45**	**2.25**
	3.5 Information Use & Re-use	3	2	-	2	3	3	2	2	2	3	2	2	**2.36**	**2.25**
4. BUSINESS SYSTEMS AND PROCESSES	4.1 Information Architecture	3	3	-	3	3	2	2	3	3	3	3	1	**2.64**	**2.63**
	4.2 Process Improvement	2	2	-	3	3	3	3	2	3	3	2	2	**2.55**	**2.38**
	4.3 Business Systems & Tools	2	3	-	2	3	3	3	2	3	3	2	1	**2.45**	**2.50**
	4.4 Information Privacy & Security	3	4	-	3	4	3	3	2	2	4	2	1	**2.82**	**3.00**
	2017-18	2.76	3.29	-	2.29	3.35	2.94	2.94	2.12	2.18	3.47	2.24	1.65		
	2015-16	2.71	-	2.35	2.00	3.47	2.59	-	2.12	2.53	2.76	-	-		

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Appendix B: Attributes of High/Low Rating Organisations

Responding departments and agencies provided supporting explanatory text for assigned ratings. This information illustrates the attributes of high/low rating organisations. The following table summarises the responses.

Questions	Attributes of High Rating	Attributes of Low Rating
Information Literacy & Responsibility	*Responding departments/agencies didn't identify any attributes of high rating for information literacy and responsibility. Examples may be:* • *Widespread understanding of the role and principles of IM.* • *Demonstrated enterprise-wide IM behaviour.*	• Poor understanding of the role of IM. • Siloed IM behaviour. • Poor understanding of IM principles.
Capability & Capacity	• IM specialists appointed • IM specialists are involved in business decisions. • IM is incorporated into performance plans and position descriptions.	• Significant IM/ICT legacy problems. • Insufficient IM resources, training and specialist staff.
Training & Support	• IM training is targeted, relevant and uses multi-mode approaches (including face-to-face and online).	• Inconsistent/non-existent training being offered. • Lack of endorsement to implement IM training. • IM/RM responsibility is limited to specialist staff.
Governance		• Lack of governance structures. • IM is predominately managed at business unit or project levels. • Existing committees focus on technology and operational objectives. • The organisation lacks tangible/resourced support for IM initiatives.
Information Management Vision & Strategy	• IM strategy is endorsed and regularly reviewed. • IM actions and issues are recognised prioritised for support and resources. • Investment in IM systems, people and processes.	• IM strategy is not approved or only in the planning stages.
Strategic Alignment		• IM strategy doesn't align to business priorities.
Management Support & Leadership		• IM initiatives have not been formulated/developed for management support. • Management doesn't recognise or prioritise IM initiatives.

Questions	Attributes of High Rating	Attributes of Low Rating
Audit & Compliance	• Internal audits assess information and data management, governance, policies, procedures and guidelines • Internal audits are routinely reviewed for alignment with VG standards, legislation and other requirements.	• Lack of IM audit and review processes in place.
Asset Management		• Information asset registers are not in place. • Rules for registration of assets and management of asset registers are inconsistent. • Information assets are not linked to custodian/owner roles.
Policies & Procedures		• Lack of IM policies or procedures in place. • IM standards are applied in an ad hoc manner, • Non-compliance with policies and procedures is accepted practice.
Meeting Business Needs		• Information is not trusted as reliable by users due to high levels of duplication, data quality concerns. • Existing information can't be located for use/reuse.
Accessibility & Discoverability	• Organisation have implemented organisation-wide EDRMS. • Access and capture of information is promoted and required for all staff. • Access to controlled documents is defined and implemented.	• Information is hard to locate when required. • Guidance on information classification is inadequate and poorly understood • Information classification is applied inconsistently.
Information Use & Re-Use		• Information systems are not widely (or at all) available. • Information and data lacks sufficient/accurate/available metadata. • Record formats and systems don't support information sharing.
Information Architecture		• Organisation lacks (any/sufficient) information architecture. • Organisation has insufficient resources to develop information architecture.
Process Improvement		• Process improvements are localised to applications and don't consider wider requirements. • IM processes are not questioned due to embedded behaviours.

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Questions	Attributes of High Rating	Attributes of Low Rating
Business Systems & Tools		• IM practice is not aligned to business practice. • Limited capture and storage options for digital information and data. • Implemented systems have not been appropriately configured or mapped to IM requirements. • Reliance on non-compliant storage including cloud and shared drives.
Information Privacy & Security	• Dedicated training and resources • Privacy and security requirements are embedded into systems and processes.	• Victorian Protective Data Security Framework requirements has caused organisations to re-baseline their information security maturity • Privacy and security requirements are widespread and severe.

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Appendix C: IM3 Questions

Information Management Maturity Measurement

Questionnaire

Version 1.6, January 2018

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Questions

1. People

The questions in this section ask you to think about the extent to which the knowledge, skills, experience and attitude of staff in the agency contribute to good Information Management.

Question 1.1: Information Literacy & Responsibility
_____

One of the five key Information Management Principles is that 'Information is valued and governed as an asset'. Like other assets, information needs to be managed and maintained to maximise its value. This implies that staff are educated and encouraged to use available information responsibly and effectively.

Information Management Policy for the Victorian Public Service
https://www.enterprisesolutions.vic.gov.au/information-management/

> *Are staff who are responsible for managing information in your department aware of their responsibilities? Is information regarded and treated as a valuable asset? Choose the statement below that best describes your organisation's current situation.*

1 ❑ Staff are largely unaware of the organisation's information assets, the potential value of information and of their information management responsibilities.

2 ❑ Staff are aware of the information produced by their team or area only. Staff acknowledge that their role involves a certain amount of information management and recordkeeping, but apply it at a personal or team level only.

3 ❑ Staff apply appropriate information management practices to their role, as far as the available policies, procedures and technologies allow. Staff are aware of the information produced by their team or area, and of the broader organisation information assets.

4 ❑ Staff regard information management and recordkeeping as an integral part of their role; they understand the importance of proper management practices and act accordingly. The majority of staff are aware of the range of information assets produced by the organisation.

5 ❑ Staff are fully aware of the importance of information management to the organisation and their responsibilities in relation to it. Staff are educated and encouraged to exploit information to the fullest. They actively engage in new IM initiatives and seek better understanding of the organisation's information assets.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation.

Notes:
(Optional)

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Question 1.2: Capability & Capacity

_____

Capability is a feature, faculty or process that can be developed or improved, and individual skills that can be applied and exploited. In the case of information management, capability answers the questions:

- How can we improve our information management practices?
- What competencies do current staff have that can be applied and utilised?
- How easy is it to access, deploy or apply any additional capability if we need it?

Capacity is the power to hold, receive or accommodate and relates to the 'amount' or 'volume'. In the case of information management, capacity answers the questions:

- Do we have enough IM skills/knowledge/process/policies?
- How much is needed, now and in the future?

> *Is the organisation's information management capability and capacity sufficient to develop and support good information management? Choose the statement below that best describes your organisation's current situation.*

1 ❑ There are no specialist information management positions in the organisation and limited awareness of the need to build capabilities in this area. Business relies on local knowledge to solve information management challenges.

2 ❑ Information management experience in the organisation is present but inconsistent. There is awareness that the IM capability has to be developed.

3 ❑ Information management specialists have been appointed and are sometimes consulted by other areas of the business, e.g. IT and Risk. Gaps in the IM capability and capacity may have been identified.

4 ❑ The organisation's IM capacity and capability requirements are appropriately resourced. Dedicated IM specialists have been appointed and are involved across a range of business initiatives.

5 ❑ The organisation gives priority to recruiting IM specialists to help develop the organisation's IM capability. The HR requirements for the IM function are regularly assessed in terms of capacity, skills and knowledge. IM specialists are respected professionals who are consulted in the development and implementation of all business initiatives.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation.

Notes:
(Optional)

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Question 1.3: Training, Support & Knowledge Sharing

Successful Information Management in an organisation requires that appropriate training, support and/or knowledge sharing is provided to staff. This will enable staff to build their IM and records management (RM) skills and knowledge and ensure that all staff understand their IM and RM responsibilities.

What training, support or knowledge sharing is available to staff in your organisation to assist them in meeting their IM responsibilities? Choose the statement that best describes your organisation's current situation.

1 ❑ No specific training, support or knowledge sharing is available to staff to support their access to and use of information. Most advice is received informally from colleagues or technical support staff.

2 ❑ Some training in information management is available to staff, but is only provided at induction or in response to a business activity. For example, training associated with implementing a new business application. IM is not recognised as its own discipline that requires ongoing training or knowledge sharing.

3 ❑ Training requirements for the use of IM technologies and information resources have been identified. A formal IM training program and/or IM knowledge sharing plan has been proposed or is being developed, with the assistance of IM specialists.

4 ❑ Training is provided to agency staff on all aspects of relevant information technologies, information access and appropriate use. Staff can competently follow IM and recordkeeping procedures appropriate to their role. Training is based on analysis of staff requirements and feedback. A specific IM support team, or helpdesk, or an IM knowledge sharing platform is available to assist staff with IM questions and issues.

5 ❑ The agency has a mature IM culture with staff fully educated on the principles of IM and their specific roles and responsibilities. Staff have access to a range of internal and/or external IM courses and/or IM knowledge sharing tools relevant to their job role. IM training is regularly reviewed and updated to suit training needs.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation.

Notes:
(Optional)

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2. Organisation

The questions in this section ask you about the organisational context in which Information Management operates and the support IM receives from management.

Question 2.1: Governance

_____

Central governance within agencies is needed to ensure coordination, visibility and appropriate sponsorship of information management activities. Agencies must establish and maintain an internal Information Management Governance Committee (IMGC), or similar to lead, monitor and report on information management activities. The IMGC should be chaired by an executive-level officer, report to the department head (or a peak executive body chaired by the department head) and have representation from key business areas.

IM STD 03 Information Management Governance Standard
https://www.enterprisesolutions.vic.gov.au/information-management/

> _To what degree is Information Management formally governed in your organisation? Choose the statement below that best describes your organisation's current situation._

1 ❑ Management is ignorant of the role information plays in the business and of its potential value. There is limited awareness of the requirement to manage information, nobody with Information Management Governance Committee (IMGC) responsibilities, and no definition of information management components and practices.

2 ❑ The organisation is attempting to manage information at the business unit or project level, without any over-arching organisation governance. There is a growing awareness in the organisation that information IS the business, and of the need to communicate this to key stakeholders.

3 ❑ There is recognition in the organisation of the need to establish an information management governance structure and that improved management of data and information is a prerequisite to better business outcomes. IM-related topics are included in leadership discussions and meetings.

4 ❑ A whole-of-government information governance standard has been adopted and applied organisation-wide. An Information Management Governance Committee (IMGC) or equivalent, has been appointed to lead, monitor and report on IM activities.

5 ❑ The business has significant involvement in the governance policies and process to ensure that IM initiatives support business outcomes. Enterprise information management is applied based on IM, IT and business collaboration. The IMGC provides leadership in line with WoVG information management principles and standards and is chaired by an executive-level officer

    ❑ Unknown/Need to obtain more information

    ❑ Not applicable to my organisation.

Notes:
(Optional)

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Question 2.2: Information Management Vision & Strategy

An Information Management Strategy will outline an organisation's vision for its information management, and the systematic approach to the management of information and records. This may be a stand-alone document or incorporated in another strategic document.

Contents of an IM Strategy may include:

- vision and objectives for the organisation's IM approach
- links to corporate and strategic objectives
- organisational SWOT analysis (strengths, weaknesses, opportunities, threats)
- identification of information assets and types
- reference to applicable policy and regulation
- detail about standards adopted in your organisation
- a high-level implementation and action plan.

> *Does the organisation have a strategy that provides a roadmap for Information? Has the organisation formulated and articulated its vision for information management? Choose the statement below that best describes your organisation's current situation.*

1 ❑ Information management is not considered as part of strategic planning activities. IM planning and development is not a priority in the organisation.

2 ❑ Although strategic and business plans are prepared for the organisation, they do not specifically address information management. IM may be recognised by certain internal experts as being of strategic importance, but this has not been adopted across the organisation.

3 ❑ The need for an Information Management Strategy is acknowledged. Both the IM area and the business understand that their respective strategies should not be developed in a vacuum. Formulation of desired results, strategic priorities and resources in the IM area is commencing.

4 ❑ An executive-endorsed IM Strategy has been developed and implemented, appropriate to organisation needs, corporate culture, technological environment and risk exposure. It highlights organisation-wide IM issues, major risks, desired results and the resource implications. The needs of clients and stakeholders are reflected in planning. Resources are adjusted annually to reflect priorities in the IM Strategy.

5 ❑ Strategy development between IM and business is done in a collaborative and concurrent manner, using proper metrics. IM planning links the organisation's vision and strategic objectives to its overall management of information. IM knowledge underpins business strategic decision-making and delivers tangible business benefits. The IM strategy is assessed for improvement on an annual basis.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

Notes:
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Question 2.3 Strategic Alignment

_____

To support organisation-wide strategic coordination, the Information Management Strategy must be aligned with other strategic planning in the organisation, for example, the Risk Strategy, Privacy Strategy, FOI Strategy, ICT Strategy, Procurement Strategy and Environmental Management Strategy.

> *To what degree is the Information Management Strategy aligned with and incorporated into other strategic planning in your organisation? Choose the statement that best describes your organisation's current situation.*

1 ❑ There is little or no alignment between the organisation's IM Strategy and other business strategies, plans and initiatives. Strategies are developed and funded separately.

2 ❑ There is some recognition that IM initiatives have relevance to other organisation strategies and projects, but IM and other areas of the business are still considered largely separate.

3 ❑ Some links exist between the organisation's strategic objectives and priorities, and the IM functional plans, operational plans and budgets. Some dependencies and synergies have been identified and acted upon.

4 ❑ The IM strategy is integrated with other relevant management strategies. There is close IM-to-business engagement. IM capabilities are built into the business through strategy, policy and projects.

5 ❑ IM obligations are identified and acknowledged in other key organisation policies. Relevant actions and initiatives are incorporated into the business plans of the organisation's major functional and operational groups. New organisation projects and initiatives always identify IM implications, dependencies and synergies.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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Question 2.4 Management Support & Leadership

_____

Strong overall leadership and advocacy are critical for the success of information management. This includes ensuring the link is made between information management capabilities and wider strategic objectives. There are significant risks associated with knowledge and information mismanagement, therefore ownership and leadership of information management needs to be clear within departments and across government.

Does management support information management in your organisation? Is there executive-level representation for information management initiatives? Choose the statement that best describes your organisation's current situation.

1 ❑ The organisation does not have strong support for information management from anyone at an executive level. Information management issues are largely regarded as recordkeeping issues and do not move beyond the recordkeeping sphere.

2 ❑ While there is awareness of IM issues by management, other issues are prioritised for planning, action and funding. IM is not currently represented on any executive level strategic, risk or quality forums.

3 ❑ There is a developing information management culture in the organisation. Some IM issues are being addressed at a senior level, but it may be difficult to secure sufficient resources for information management initiatives.

4 ❑ There is evidence of whole-of-organisation coordination, planning and leadership. IM interests and issues are represented at executive level and are given appropriate consideration. Information and records management policies and practices are actively supported by Senior Management and Middle Managers actively encourage staff to comply.

5 ❑ There is a strong information management culture in the organisation. There is ownership of information management issues and risks at Board or executive leadership level. Leadership understands information management issues and practices in the department and seek additional specialist information when needed. Cultural change is encouraged through understanding information management, and recognising and rewarding good behaviours.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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Question 2.5 Audit & Compliance

_____

Compliance must be monitored to ensure that appropriate information and records are 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 organisation's compliance with legislation, standards and its own information management policies and procedures encompassing information and data management, records management, privacy and security.

How well does your organisation monitor compliance with your own information management standards and with Victorian Government-mandated legislation and requirements? Choose the statement that best describes your organisation's current situation.

1 ❑ The organisation does not have any audit and review process in place to ensure compliance with its own IM policies, or government-mandated legislation, policies and standards.

2 ❑ The organisation has initiated a program for compliance to relevant legislation, policies and standards. The audit and review process has not been fully implemented across the organisation.

3 ❑ The audit and review process ensures an adequate level of awareness and compliance with applicable legislation, policies and standards.

4 ❑ Compliance requirements are communicated throughout the organisation and are consistently applied to recordkeeping and information management initiatives. Corrective actions are undertaken in a systematic and timely fashion.

5 ❑ The organisation is confident that they are compliant with all relevant legislation, policies and standards. Corrective actions address the root causes of non-compliance. Opportunities to improve compliance are explored and implemented. There is active interest in benchmarking compliance practices against other agencies and organisations.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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3. Information Lifecycle & Quality

The questions in this section ask you about the management of specific information assets in your agency, with a view to long-term access to quality information.

Question 3.1: Asset Management

_____

The *Information Management Governance Standard* requires that a register of significant information assets must be established and maintained, and significant information assets must be assigned an owner and custodian (or equivalent).

A 'significant information asset' is a discrete collection of data or information that is recognised as valuable to the organisation.

An Information Asset Register (IAR) allows you to document what you know about your information assets, requirements and the technical environment, and to understand the relationships and dependencies between them.

IM GUIDE 06 Information Management Governance Guideline
https://www.enterprisesolutions.vic.gov.au/information-management/

How well does the organisation identify, manage and monitor their significant information assets? Have IM roles and responsibilities been defined in the organisation to properly manage information assets? Choose the statement that best describes your organisation's current situation.

1	❑	There is no identification of significant information assets, and no clear custodianship or ownership of information. Strategic or high value information assets are left unidentified and unmanaged.
2	❑	Information ownership and custodianship responsibilities have been defined and communicated; however, it is still practiced inconsistently across the organisation. There is general acknowledgement that information assets could be better managed and the IAR requires a review and update.
3	❑	An IAR is in place within the organisation and information asset roles and responsibilities are generally practiced organisation-wide. Plans to improve the efficiency of the IAR and custodianship model are in progress.
4	❑	A significant information asset register has been developed and custodianship model is operational in the organisation. Resources are committed to ensuring strong custodianship of information. Custodians understand their responsibilities, and register and maintain information assets through their lifecycle, regularly updating the IAR.
5	❑	A mature custodianship model and asset register has been implemented into the agency in line with WoVG standards. Significant assets are managed throughout their lifecycle. Custodians maintain the IAR, have appropriate business experience and understanding, and work actively with information users to improve usability, sharing and the identification and management of high value and high risk records.
	❑	Unknown/Need to obtain more information
	❑	Not applicable to my organisation

Notes:
(Optional)

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Question 3.2: Policies & Procedures

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While Department of Premier and Cabinet, Public Record Office Victoria and Office of the Victorian Information Commissioner have developed standards related to information management, recordkeeping, information privacy and security, organisations should develop their own policies and procedures to inform staff how to practically implement these standards.

Information Management Framework Standards
https://www.enterprisesolutions.vic.gov.au/information-management/

Recordkeeping Standards
https://www.prov.vic.gov.au/recordkeeping-government/about-standards-framework-policies

Privacy and Data Protection Standards
https://www.cpdp.vic.gov.au/

> *Does the organisation have fully developed and implemented Information Management and Records Management policies that reference WoVG Standards? Are these policies supported by documented procedures? Choose the statement that best describes your organisation's current situation.*

1 ❑ No standards have been adopted. There are no formal organisation policies related to information management. Business teams set and apply their own procedures relevant to the team function.

2 ❑ Some standards are being applied in an ad-hoc manner. There is no organisation IM Policy, but some recognition that it is required. There are some standard procedures being applied across the organisation.

3 ❑ Standards have been mandated and are being incorporated into business practices. An Information Management Policy has been developed and socialised. Most staff are aware of and follow the policy, but breaches of policy are probably still occurring.

4 ❑ Staff conduct records and information management procedures in line with organisation policy and to a consistent standard. Policy and procedures are appropriate to the organisation's business and periodically reviewed for improvement. Breaches of policy are actively addressed and rectified.

5 ❑ The agency has adopted standards that are reflected in policies, and integrated throughout business procedures. Policies are actively communicated and available to all staff, and are frequently reviewed and updated to ensure relevance and effectiveness. The application of policies has been assessed to confirm that they adequately meet the organisation's information management needs and requirements.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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Question 3.3: Meeting Business Needs

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One of the five key Information Management Principles is that 'Information is fit for its intended purposes and is easy to find, access and use'. The rationale for this principle is that the way that information 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 Management Policy
https://www.enterprisesolutions.vic.gov.au/information-management/

> *Is information meeting the needs of the business and its users in terms of strategic importance, quality and access? Choose the statement below that best describes your organisation's current situation.*

1 ❑ Information available in the organisation is unreliable and incomplete. There is little understanding of the business's information needs and how to meet them. Information quality issues are dealt with in a reactive and ad-hoc manner.

2 ❑ It is recognised that information quality is uneven across the organisation, and that full and accurate records of activities and decisions are not being captured. The existence of 'shadow systems' may be noted where existing systems are not meeting information needs. The issue has been raised at management level.

3 ❑ Management has taken steps towards acknowledging and embracing information quality principles. An analysis of information needs and assets has been conducted. Organisation level information is generally accurate, consistent, complete and current.

4 ❑ Organisation information is fit for purpose and regarded as high quality. Remediation processes are in place to address information quality issues. The organisation demonstrates compliance with recognised information quality standards. Business needs, accountability requirements and community expectations are being met.

5 ❑ The organisation's information assets are recognised as a source of authentic and reliable information by both internal and external users. Data quality statements are developed for significant information assets. The organisation has a proactive information quality program that is often cited as best practice.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

Notes:
(Optional)

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Question 3.4: Accessibility & Discoverability

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For government to function effectively, the public, government employees and partner organisations must be able to find the information they need.

Critical information may become difficult to locate when large amounts of information with limited or no value are being stored unnecessarily.

> _How easy is it for organisation staff and other parties to find the information they are looking for? Is critical information able to be found in a timely manner when it is needed? Choose the statement below that best describes your organisation's current situation._

1 ❑ Staff spend excessive time searching for electronic and paper information using a variety of methods. Information is stored in ad-hoc and unstructured ways with little or no associated metadata.

2 ❑ Some internal guidelines exist for the storage and retrieval of information, but these are applied erratically. Basic metadata may be applied to file storage systems to assist findability, but it is known that there is a lot of 'invisible' information in the organisation, and that a lot of unnecessary information is being retained.

3 ❑ Access to information is provided via a single or limited number of portals using an agreed metadata or classification system. Information is largely organised on a departmental or team basis, rather than a functional basis. Staff are reasonably confident that they can find the information they are looking for.

4 ❑ An organisation specific information repository and/or search applications have been developed and are used by staff. Information is collected and stored with access and discoverability in mind. Common definitions and standards are used to increase the findability of information. Sufficient metadata is provided to correctly identify and locate information. Access to controlled documents has been defined and implemented.

5 ❑ Ease of information classification, storage and retrieval is a central organisation operation. Information access and sharing is facilitated and actively promoted. Proven operational procedures have been implemented for information capture, the application of metadata, information access, storage and retrieval. Data elements are well-defined and definitions are shared across the organisation or interest group. The organisation works towards building a common cross-government information directory and other mechanisms for facilitating inter-organisation information discovery.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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Question 3.5: Information Use & Re-Use

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Information use and re-use addresses how information is collected, organised, described, stored and shared. Information that is not easily usable or able to be re-used in the future is of little value to the organisation:

- Mechanisms that make information easier to use and interpret are classification systems and metadata.
- Interoperability is the ability of organisations to share data and information by the use of common standards and is actively encouraged by WoVG policies.
- Digital continuity is the ability to maintain digital information in such a way that the information will continue to be available, as needed, despite changes in digital technology.
- Intellectual property (IP) refers to the set of legal rights that protect the results of creative efforts including copyright, patents and trade marks.

Victorian Centre for Data Insights
https://www.vic.gov.au/datainsights.html

DataVic Policy and Standards
https://www.data.vic.gov.au/policy-and-standards-0

How usable is the information being produced by the organisation, both now and in the future? Choose the statement below that best describes your organisation's current situation.

1 ❑ Information is frequently duplicated across different areas of the organisation and saved in multiple and non-standardised formats. No metadata is applied and there is little information sharing between business areas or with other interest groups. Digital continuity and IP issues have not been considered by the organisation.

2 ❑ Some attempts at rationalising information management and use across the organisation has occurred, but individual teams are largely protective of their own information. Information created is largely single-use with little consideration for future access. The need to consider digital continuity and IP have been acknowledged.

3 ❑ Organisation standards have been introduced to facilitate standard information collection, description and organisation, and to prevent information duplication and breaches of IP policy. Information sharing across the organisation is increasing and some digital continuity strategies are under development.

4 ❑ Current and future use of information is considered as the information is being collected and developed. Digital continuity, usability and IP issues are being addressed. Information assets are shared and re-used across the organisation and with external stakeholders as appropriate.

5 ❑ Information use and re-use is considered during creation, collection and development. Polices relating to digital continuity, IP and access are applied across the organisation.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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4. Business Systems & Processes

The questions in this section ask you about the systems and processes (both electronic and manual) that support the organisation's Information Management practices.

Question 4.1: Information Architecture

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Information Architecture (IA) refers to the design and arrangement of an organisation's information and the inter-relationships of information systems. An IA statement will include a description of:

- business processes in the organisation
- which business systems store which data and records and in what formats
- the relationships between different business systems
- standards to be used when labelling and categorising information
- the design of navigation, indexing and search systems.

In a mature organisation, there will be a close and coordinated relationship between the organisation's Information Architecture, Business Architecture and IT Architecture.

> *Has the organisation developed an Information Architecture model? To what degree does it link to the Business Architecture and IT Architecture models? Choose the statement that best describes your organisation's current situation.*

1 ❑ The organisation has not developed an Information Architecture and has little understanding of what this may involve.

2 ❑ The organisation has a general Enterprise Architecture and/or IT Architecture, but this does not directly address Architecture issues.

3 ❑ An Information Architecture is being or has been developed, but it is largely tied to and dependent on the IT Architecture.

4 ❑ An Information architecture or framework has been established, including long-term vision and goals, information needs and the strategies to meet them.

5 ❑ A fully developed organisation Information Architecture that brings the principles of design and architecture to the digital landscape has been implemented. The IA is an integral part of the organisation's overall Enterprise Architecture and is managed and resourced accordingly.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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Question 4.2: Process Improvement

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Aligning Information Management and business processes provides efficiency and quality improvements to both.

For example, a government service organisation identified that client details were being captured at the point of first contact, captured again when the client booked a service, then a third time in the financial system. Re-engineering of business processes to align with Information management principles meant that client details only had to be captured once and were available for re-use by the whole organisation.

How well have business processes been aligned with information management requirements to ensure information quality? Has the organisation identified information integration points and eliminated duplicate processes? Choose the statement below that best describes your organisation's current situation.

1 ☐ Business processes do not generally take information management considerations into account. There is evidence of overlap and/or duplication of processes and information between business units.

2 ☐ There is an awareness that information management can be/must be incorporated into business processes. An effort is being made to look at where business processes can be re-engineered to improve efficiencies and reduce duplication of information.

3 ☐ Some information management practices have been incorporated to improve existing business practices. Some duplicate processes have been eliminated and there is better integration of processes and information flow.

4 ☐ Significant effort has been put into re-engineering business processes to eliminate information duplication and improve information flow. There is visibility into the process details and process owners are open to change. Process issues impacting information quality are directed to appropriate staff or working groups for rectification.

5 ☐ Continuous improvement activities are conducted regularly to ensure that business processes are optimised for information quality, flow and sharing. Process collaboration between teams/business units is high and reflects industry best practice.

☐ Unknown/Need to obtain more information

☐ Not applicable to my organisation

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Question 4.3: Business Systems & Tools

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A business information system is any system that assists an organisation to perform its business and manage information. Business information systems designers, owners and managers should take a systematic and consistent approach to identify information and records management requirements for their current and future systems. Enterprise Solutions at the Department of Premier and Cabinet has developed Statements of Direction 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.

In addition, the PROV *Recordkeeping Standard for Operations Management* requires that '**all** systems which contain public records must be effectively managed over their life, from acquisition to decommissioning, to ensure the system's integrity, reliability and performance quality'. This includes websites, databases and email systems.

Enterprise Solutions Statements of Direction
https://www.enterprisesolutions.vic.gov.au/enterprise-systems/

PROS 10/17 Operations Management Standard
http://prov.vic.gov.au/government/standards-and-policy/operations-management

> *Does the technology available in the organisation support and enable the delivery of the organisation's information management strategy? Choose the statement below that best describes your organisation's current situation.*

1 ❑ There are no common business systems with strong information management capabilities built in across the organisation. Multiple systems, requiring different logons, may store the same information within the organisation. Information management tools, if any, are selected, owned and operated by the IT area.

2 ❑ The organisation is making initial attempts to implement information management into business systems aimed at delivering improved information management. Efforts to find appropriate technologies and tools have commenced, involving IT and IM specialists.

3 ❑ Appropriate information management tools and systems are in place with a focus on business-critical information. There has been an attempt to combine or integrate information systems across business units.

4 ❑ There is evidence that managing integrated business systems is a core IT skill in the organisation. IT and IM are not regarded as separate disciplines. Information management standards and practices have been successfully implemented across the agency to create a consistent and reliable information environment.

5 ❑ Compliant business systems, customised to the requirements of the organisation, are fully operational and play a critical part in managing the information lifecycle. The organisation encourages and adopts improvements from departmental levels and other agencies. Systems are effectively managed over their life, from acquisition to decommissioning, to ensure their integrity, reliability and performance. The long-term sustainability of systems has been considered. The organisation demonstrates proactive experimentation and learning about emerging IM technologies and tools.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

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Question 4.4: Information Privacy & Security

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The secure management of information is critical to Government service delivery, public trust and confidence. Various legal, regulatory and administrative requirements govern the protection of official information across Victorian Government and are designed to reduce information security risks and maintain individual's 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. The IPPs set out the minimum requirements for how personal information is to be collected and handled by public sector organisations.

Protective Data Security (Information Security) is about protecting information (including personal information). It 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.

Information Privacy Principles, Victorian Protective Data Security Framework (VPDSF) and supporting Standards (VPDSS)
https://www.cpdp.vic.gov.au/

What is the status of information security and privacy in the organisation? Do staff have the knowledge and support to secure information (including personal information) obtained, received or held by the organisation? Choose the statement below that best describes your organisation's current situation.

1 ❑ Personnel are largely unaware of legal, regulatory and administrative obligations pertaining to information security and privacy and do not seek out guidance regarding these requirements. Unintentional breaches of information security and privacy are probably occurring. Information risks are un-managed.

2 ❑ Some knowledge of the legal, regulatory and administrative obligations pertaining to information security and privacy are present in some areas within the business, but there are no clear procedures or points of contact to seek out guidance regarding privacy and security requirements. Information risks are managed in an ad-hoc fashion.

3 ❑ Personnel have an appreciation of legal, regulatory and administrative obligations pertaining to information security and privacy at a local level, however a central strategy to formally educate and train all staff has not been formalised. The organisation has plans in place to address information security and privacy requirements at an enterprise level (i.e. plan to conduct Privacy Impact Assessments (PIAs), Security Risk Assessments and Data Security Plans).

4 ❑ The majority of personnel actively display good information security and privacy awareness when managing information (e.g. the organisation is actively implementing the requirements outlined in the VPDSS and its privacy obligations). The business has information privacy and security strategies in place across the organisation and is tracking any associated activities or programs.

5 ❑ All personnel are fully aware of the business benefits of embedding information security and privacy. Protective measures are embedded in day-to-day processes. The agency continually manages information security and privacy risks and proactively addresses these via their assurance program.

❑ Unknown/Need to obtain more information

❑ Not applicable to my organisation

Notes:
(Optional)

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