

Public Record Office Victoria Report

Information Management Maturity Assessment Program 2019-20
De-identified Data



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<i>Approved by</i>	Alison McNulty, Senior Manager Standards and Policy
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<i>Business Owner</i>	Alison McNulty, Senior Manager Standards and Policy
<i>Author</i>	Xander Hunter, Senior Officer Standards and Policy
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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 an organisation ensures that the value of that information is identified and exploited¹.

This document reports on the findings of the Information Management Maturity Assessment Program (IMMAP) conducted during 2019-20. In this report the IMMAP participants have been *de-identified*.

The Information Management Maturity Assessment Program is a biennial program administered by Public Record Office Victoria (PROV) to analyse and report on Information Management (IM) maturity in the Victorian government.

IM maturity assessments are completed by participating organisations using PROV's online Information Management Maturity Measurement (IM3) tool. This round of IM3 assessments is the third to be completed within the Victorian government. The previous two took place during the 2015-16 and 2017-18 financial years.

Due to machinery of government (MOG) changes, the number of departments in this assessment increased to eight (one more than for previous years).

As a result of the coronavirus (COVID-19) pandemic, the completion date for the IMMAP 2019-20 was extended by several months to the end of September 2020. This was to allow agencies time to respond to major changes in work practices and reprioritisation of resources. Additional extensions into November and December were provided upon request.

1.2 Purpose

The IMMAP is designed to provide:

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

The program also assists individual organisations within the Victorian government to:

- self-assess their performance against IM requirements and best practice
- gain valuable insights and evidence into their own IM trends and gaps
- develop potential internal and collaborative IM opportunities and initiatives.

1.3 Participants

As outlined in the Victorian government *Information Management Governance Standard*², it is a requirement for Victorian government departments and Victoria Police to participate in the IMMAP every two years. Submissions from other agencies in Victorian government that are current members of the Victorian government Information Management Group (IMG)³, or who have previously participated in the IMMAP are also within scope. Eight departments and two agencies participated in the 2019-20 IMMAP. They have been de-identified in this report.

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 Victorian government. It is a sub-committee of the CIO Leadership Group.

1.4 Findings

Through the IMMAP results, PROV identified the following:

1. MOG changes, technological and system changes, and the coronavirus (COVID-19) pandemic, have strongly impacted on prioritisation and resourcing available for IM activities this assessment cycle. As a result, the maturity levels this cycle were similar to and in some cases less than the levels achieved in the last cycle.
2. The *Information Management Framework* and the *Victorian Protective Data Security Framework* (VPDSF) continue to be leveraged for strong IM governance, strategic alignment, and direction. This includes executive level investment, and top-down engagement led by multi-divisional committees. Tools used as part of these frameworks, such as the information asset register (IAR), are proving to be central to progressing IM activities across an organisation.
3. Organisations with a strong digital focus and investment appear to have transitioned to remote working more smoothly than others. A possible reason for this is that business processes were already being embedded within a digital environment prior to the need for all employees (where possible) to work remotely. This meant that staff were able to find relevant information more easily when needed and that approval mechanisms were less likely to hamper business services. Therefore, maturity levels related to information use and accessibility were higher for these participants than those who needed to build a digital working environment.
4. Those who approached engagement from multiple points have had a broader reach across the organisation than those whose focus was purely top down. Combining online engagement (eLearning, resources, and online group chat services) with skilled liaison officers, consultation, collaboration opportunities, and divisional representation on IM committees has had a positive impact on maturity levels achieved. This is especially the case regarding training and guidance that has been tailored for the needs of specific divisions, systems, or competencies.
5. Regular and ongoing review, analysis, reporting and management of identified gaps or risks as part of a dedicated and resourced program of work are essential for improved IM maturity. Those organisations who incorporated a program of this kind (whether it be an audit, risk management, compliance management or based on another area of expertise) generally achieved a higher maturity rating.
6. Improved analytics and review processes are likely to identify additional risks or gaps not previously identified. While this can negatively impact the current assessment by identifying new issues, it will ultimately result in improved IM maturity through addressing the gaps. This is reflected by the ratings of some participants this cycle who have both reported improvements in reviewing processes and flagged a decrease in ratings in other areas.

1.5 Recommendations

The following recommendations address low maturity ratings and opportunities for improvement of IM performance within the Victorian government:

1. Organisations should continue to leverage the IM Framework, PROV standards and VPDSF as drivers for developing and extending IM initiatives across their organisations.
2. A combination of top-down and ground-up engagement should be implemented to foster awareness, improve skills and knowledge, and increase the value of information to all staff including information specialists.
3. IM should be fully resourced and invested in across the organisation so that all information (not just security or privacy related information) is valued and managed appropriately by all staff (not solely IM specialists).
4. Organisations should utilise analytics, monitoring and other review tools to gain a deeper understanding of specific business areas and behaviours regarding IM, as well as the tools, processes and systems used within those business areas.

1.6 Other considerations

The following questions arose as a result of preparing this report:

1. MOG changes occur quite frequently, requiring a lot of resources and impacting on all aspects of IM when they occur. How can we manage and minimise the effect MOG changes have on an organisation's IM Framework, structures, processes, resources, and program?
2. Technologies and systems are constantly being updated and replaced, with control over changes increasingly held by external parties. How can we maintain best practice IM in a constantly changing environment?
3. The IMMAPP assessment area consistently receiving the poorest result is the section on People. How can we improve the attitude of all staff towards managing information and the take up of good IM practice? What is it that causes people within organisations to treat information as a valuable asset and to not consider information management tasks to be a burden?

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) to analyse and report on Information Management (IM) maturity in the Victorian government.

IM maturity assessments are completed by participating organisations using PROV's online Information Management Maturity Measurement (IM3) tool. This round of IM3 assessments is the third to be completed within the Victorian government. The previous two were done during the 2015-16 and 2017-18 financial years.

The IMMAP is designed to provide:

- a high-level overview of IM maturity in Victorian government organisations
- a mechanism for identifying and initiating IM enhancement opportunities in Victorian government
- an evidence base to inform the strategic direction and priorities for IM decision makers across the Victorian government.

The program assists individual organisations within Victorian government 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.

2.1.1 IMMAP stages and timing

The IMMAP is administered by PROV every two years. The program is delivered in four stages. The table below outlines the stages of the 2019-20 IMMAP. As a result of the coronavirus (COVID-19) pandemic, the completion date for the IMMAP 2019-20 was extended by several months to allow agencies time to respond to the challenges of the pandemic and major changes in work practices.

Stage No	Date	Actions
Stage 1	Mar-Sep 2020	Organisation's IM3 self-assessments undertaken.
Stage 2	Oct-Nov 2020	Submission of all organisation IM3 results to PROV.
Stage 3	Nov 2020 – Mar 2021	Collation and analysis of IM3 results and creation of an Information Management Maturity Assessment Program Report.
Stage 4	Apr 2021	Report released.

Table 1 2019-20 IMMAP Stages

2.1.2 IMMAP reporting

PROV collated 2019-20 results from participating organisations in order to report on Victorian government IM maturity to relevant government bodies and groups and the wider IM community. Results are utilised by the IM Group for work planning purposes.





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

Report Version	Description	Submitted to
Identified	Report presents data that identifies the IM3 results for individual organisations who participated in the IMMAP.	IMMAP participants; Information Management Group (IMG); Digital Strategy and Transformation, DPC; applicable DPC executives; Deputy Secretary Committees; and Public Records Advisory Council (PRAC). This version is NOT publicly available.
De-identified	Report presents de-identified IM3 result data.	IMG members; information and records management communities via publication on the PROV website and promotion in government e-newsletters. This version IS publicly available via the PROV website

Table 2 Versions of the IMMAP Report

2.2 IM3 tool

The IMMAP is based on data gathered from self-assessments completed by participants using PROV’s 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		<i>How the knowledge, skills, experience and attitudes of staff contribute to good IM.</i>
2. ORGANISATION		<i>How IM operates within the organisation and whether it receives support from senior management.</i>
3. INFORMATION LIFECYCLE AND QUALITY		<i>How information assets are managed in the organisation and whether there is a common view to long term access to quality information.</i>
4. BUSINESS SYSTEMS AND PROCESSES		<i>How business systems and processes (both electronic and manual) support Information Management practices.</i>

IM3 content is based on the *Information Management Framework (IMF)*— a navigational tool administered by the Digital Strategy and Transformation (DST) branch 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 organisations.

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 the DST Branch of DPC.

3 Method

3.1 Participants

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

PROV also accepted submissions from other agencies in Victorian government that are current members of the IMG, or who have previously participated in the IMMAP.⁴

Please note that the participants of the 2019-20 are different to the previous years which prevents direct comparisons.⁵ Part of this is due to MOG changes, which increased the number of departments to eight.

3.1.1 Participant complexity

PROV recognises that the participants of the IMMAP operate in varied and complex environments.⁶ 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 organisation downloaded the IM3 tool from the PROV website⁷ and completed the questionnaire.

For each question, the organisation 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.

⁴ PROV is aware that other agencies across government use the IM3 tool, but currently these are not tracked or in scope of the IMMAP.

⁵ 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. Departments and Agencies are referred to as Organisations throughout.

⁶ For example, the operating environments of some of the larger departments can significantly impact and challenge IM maturity in these organisations.

⁷ The IM3 can be downloaded from <https://www.prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

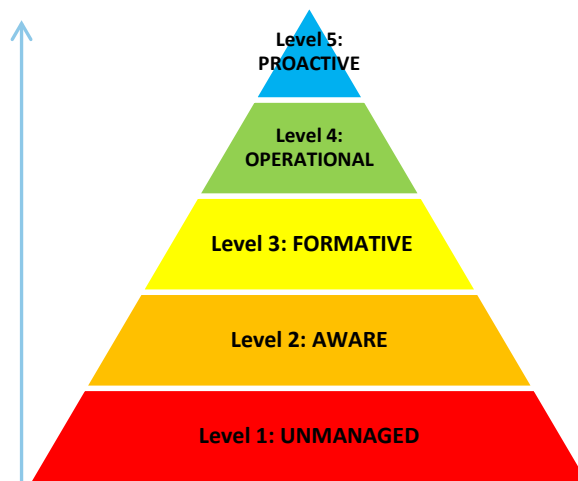


Figure 1 IM3 Maturity Levels

Due to variations in organisation size, structure, resourcing, and capability, PROV did not direct agencies to adopt a particular method to complete the IM3 questions. Each organisation 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.

Once the organisation 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 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 (see Section 4.6) and the strengths and weaknesses recorded in Appendix 2.

4 Results

The tables below summarise the average rating levels⁸ reported for the IM dimensions analysed, the summary results for individual questions and overall rating for each participant. For detailed results, see Section 4.6 and **Appendix A**.

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, organisations achieved 'Aware' (level 2). The result remains the same as previous years, indicating that it can take significant time for resources investment in IM to become realised.

Dimension	2015-16		2017-18		2019-20
1. PEOPLE	AWARE	=	AWARE	=	AWARE
2. ORGANISATION	AWARE	=	AWARE	=	AWARE
3. INFORMATION LIFECYCLE AND QUALITY	AWARE	=	AWARE	=	AWARE
4. BUSINESS SYSTEMS AND PROCESSES	AWARE	=	AWARE	=	AWARE

Table 3 Dimension ratings, comparison between 2015-16, 2017-18 and 2019-20

4.2 Participant ratings

Table 4 provides overall ratings for each of the participants.

Name	Abbreviated name	2017-18		2019-20	Score
Organisation 1	Org1	NA		Formative	3.12
Organisation 2	Org2	Aware	↑	Formative	3.24
Organisation 3	Org3	NA		Aware	2.47
Organisation 4	Org4	Unmanaged	↑	Aware	2.59
Organisation 5	Org5	Formative	=	Formative	3.12
Organisation 6	Org6	Aware	=	Aware	2.71
Organisation 7	Org7	Formative	=	Formative	3.06
Organisation 8	Org8	Aware	=	Aware	2.29
Organisation 9	Org9	Aware	=	Aware	2.94
Organisation 10	Org10	NA		Aware	2.88

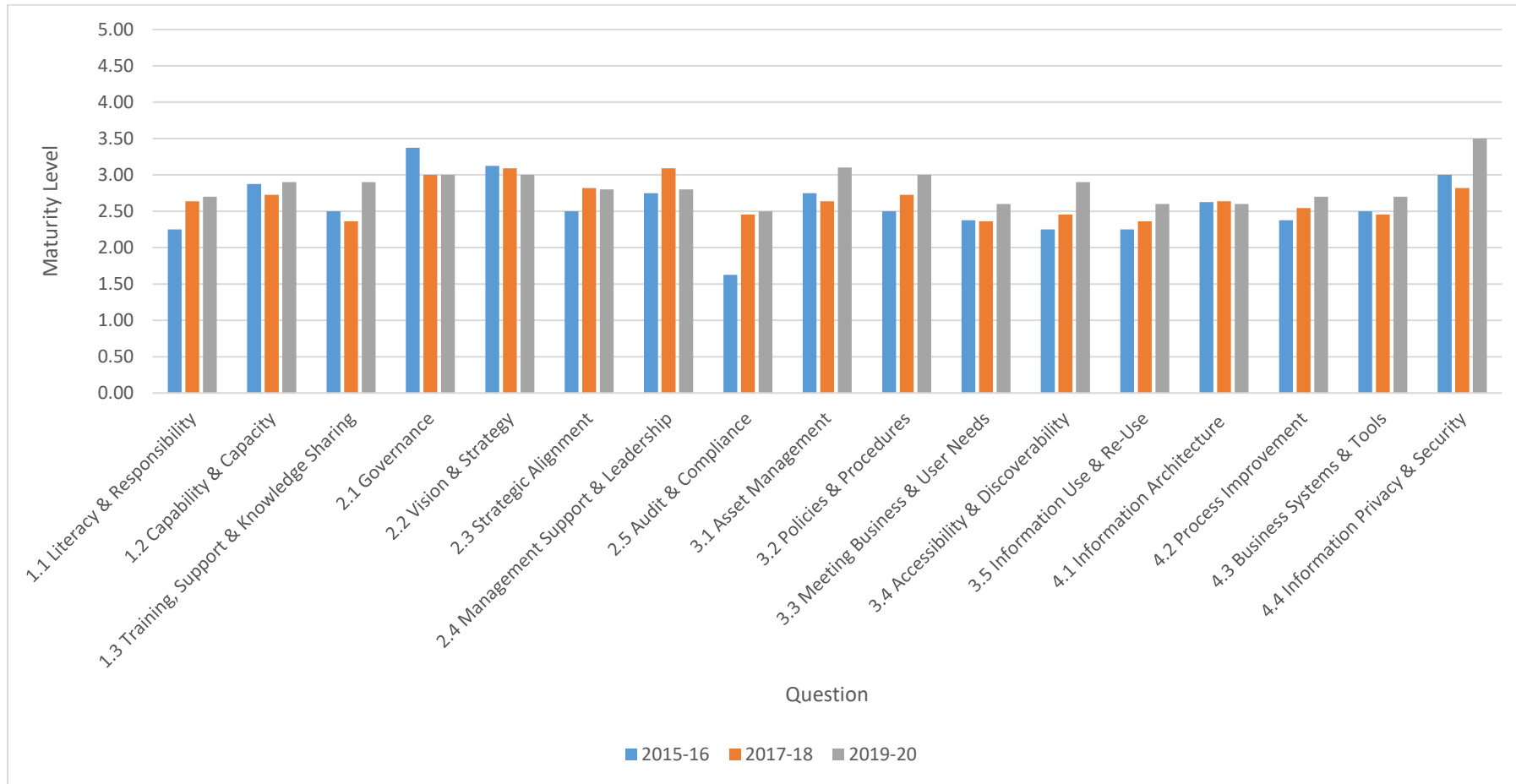
Table 4 Participant ratings, comparison between 2017-18 and 2019-20

⁸ Ratings are on a scale of one to five; 'Unmanaged' (level 1) to 'Proactive' (level 5).

4.3 Question ratings

Overall ratings for each question are provided in Figure 2. The majority of responses remain at 'Aware' (level 2). This may be due to:

- MOG changes and coronavirus (COVID-19) impacting on resources and business processes
- implementation of new technologies and systems
- culture and attitudes within specific business units towards information, particularly relating to IM being a burden rather than something of value.



4.4 Strengths

Organisations continue to be very strong in areas related to information security, privacy and lifecycle management. This is potentially due to their direct relationship to systems and technology (always something that is highly valued), as well as mandatory reporting requirements that are associated with strong top-down executive driven governance models.

The areas of *Information Lifecycle and Quality* and *Business Systems and Processes* have significantly increased in maturity since the last assessment. This appears to be due to implementation of the VPDSF and increased use of privacy impact assessments (PIAs) as IM tools, as well as increased investment in the IAR as a key management tool. An executive-led committee overseeing IM implementation and strategic direction across an organisation also appears to be a key factor.

4.5 Weaknesses

The area that is in dire need of improvement continues to be *People*. Maturity level scores related to *Section 1: People* have remained unchanged throughout the three assessment cycles conducted so far. Real change in this area requires investment in ground-up activities that include multiple opportunities for two way engagement⁹. For people to be invested in IM it has to be of value to the way they operate and the work they do. This requires deeper understanding of specific business areas and behaviours, as well as the tools, processes and systems used within those business areas. Improved analytics, monitoring and increased consultation when reviewing IM strategies, policies and programs will also be useful.

Participants recorded that cultural change was required for information that is not related to security, privacy or the information lifecycle¹⁰ to be valued by staff members. They also noted that IM is often perceived as a burden by non- IM specialist staff.

Multiple participants reported scores for the individual questions that showed a decrease on scores from the previous cycle. This indicates that maintaining maturity levels for IM can be difficult for a range of reasons. Two possible factors are MOG changes and technological changes that result in reprioritisation of resources, work plan activities and strategic direction.

⁹ Two way engagement - A dialogue between multiple parties where there is equal opportunity to speak and listen to each other so that business needs can be raised, discussed, clarified and addressed.

¹⁰ Information lifecycle – the lifecycle of the data, record or information from creation and capture through storage and management to disposal.

4.6 Individual question ratings

In this section, each question in the IM3 tool is examined. Rating levels for each participant are provided, including a comparison of 2019-20 against 2015-16 and 2017-18 results (where available).

Also included in this section are average response score comparisons for each question; a summary of which is provided below. To more clearly demonstrate progress made, the maturity level rating axis on the average comparisons includes a half score gradient.

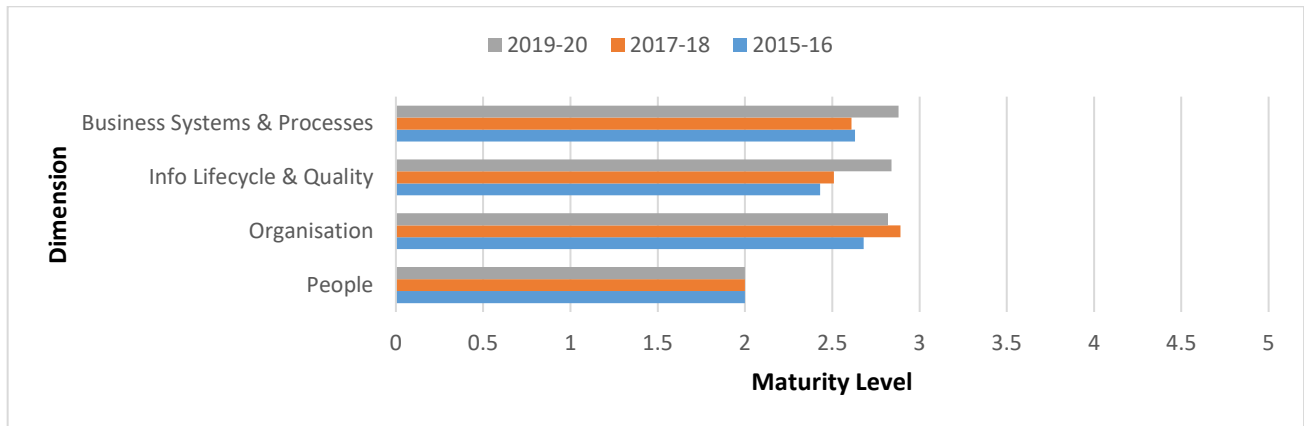


Figure 3 – Average response by quarter

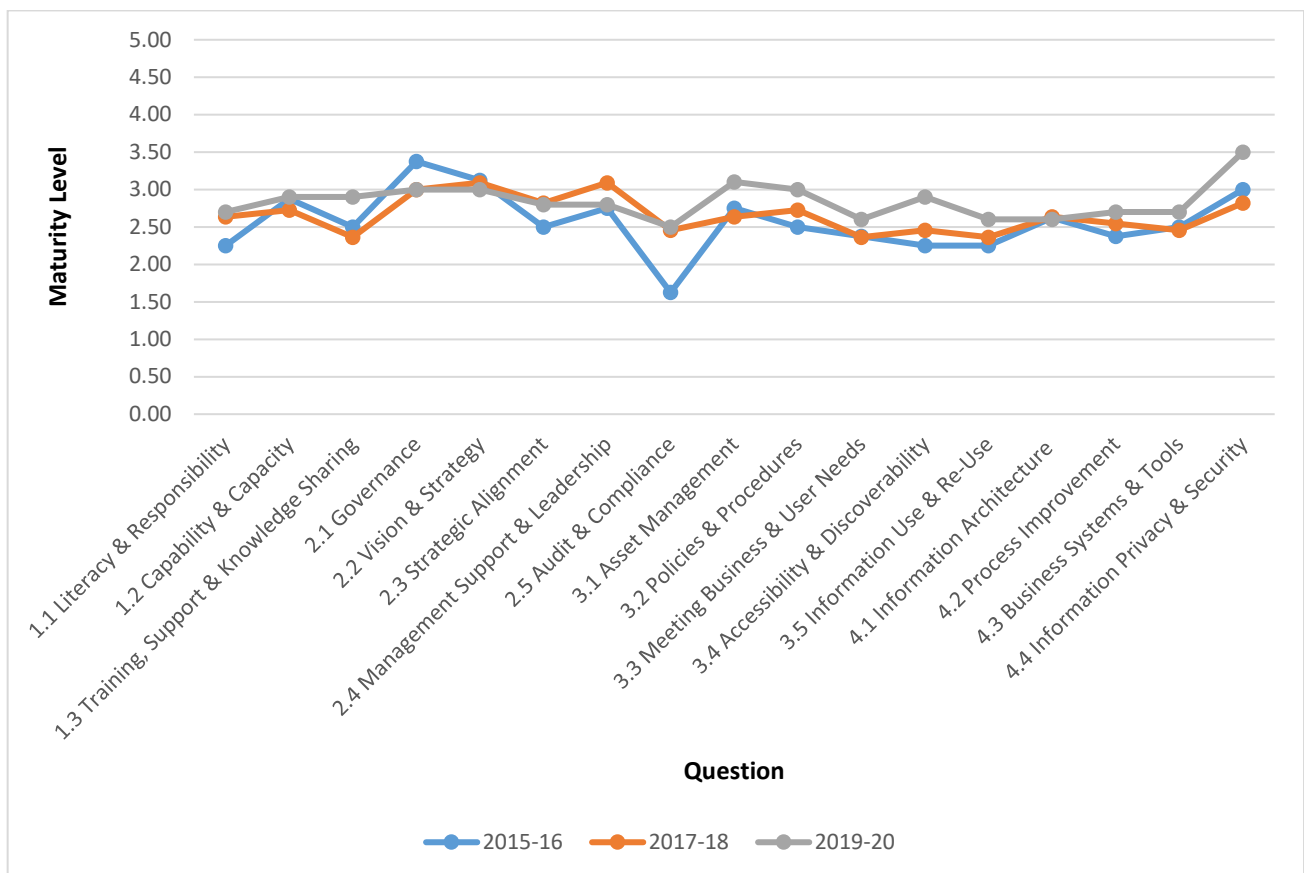


Figure 4 – Average response by question

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?*

All but one organisation (see Figure 5a) sits at the category of 'Formative' (level 3) while the remaining organisations are at 'Aware' (level 2), which is similar to the last assessment. While progress is slow, the average assessment ratings (see Figure 5b) clarify that some progress is being made.

Much work has been done to provide training and guidance on IM, data, and recordkeeping to all staff. Stronger ratings addressed the tailored needs of specific divisions, systems, or competencies, and included liaison officers to help build capability from the ground up. Information is being treated as a valuable asset, with stronger ratings showing a focus on improving discoverability, awareness of information value and making use of the IAR.

Some example strengths identified by the participants include the following:¹¹

- the definition of information asset has been refined to make registering valuable information assets easier and to improve discoverability of data
- there is mandatory training in records management and the EDRMS for all new starters; this is an annual requirement for all staff
- eLearning is supported by targeted training as required and through a network of records liaison officers to build capability and compliance.

Sticking points for progression to a higher maturity level lie with people and practices. For example, IM literacy or responsibility being documented in position descriptions for IM specialist roles only, rather than being everyone's assigned responsibility. A lack of understanding of how IM, data and records management responsibilities interrelate, and how this impacts IM being clearly specified and addressed in projects and services, is another example. A third would be the general perception of IM as a burden to be avoided rather than as something that adds value.

Some example weaknesses flagged by the participants include the following:

- there is evidence of staff's lack of commitment through non-compliant behaviours and practices
- only IM specialist roles address IM literacy or responsibility in position descriptions
- recordkeeping is often viewed as a burden as IM is not embedded into business as usual (BAU) practices
- the current state is predominantly based on manual processes and paper records, which presents a number of gaps.

¹¹ In this section, a maximum of four strengths or weaknesses is shown. Please refer to **Appendix B: Attributes of High and Low Ranking Organisations** for a more complete list of strengths and weaknesses for each question.

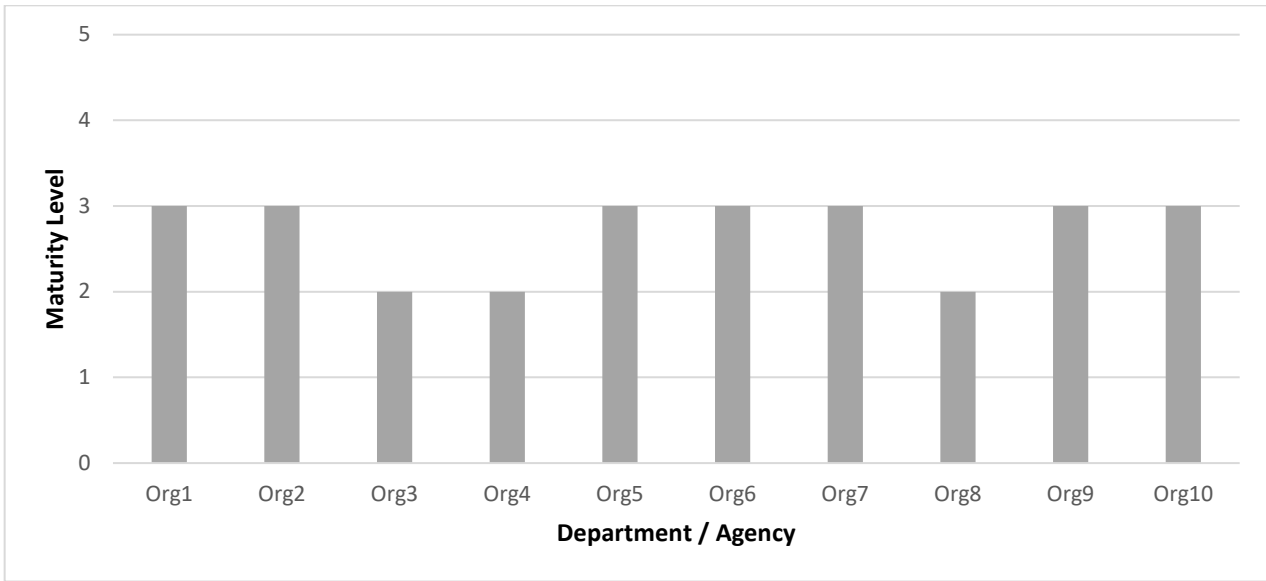


Figure 5a Question 1.1 rating levels – 2019-20 assessment

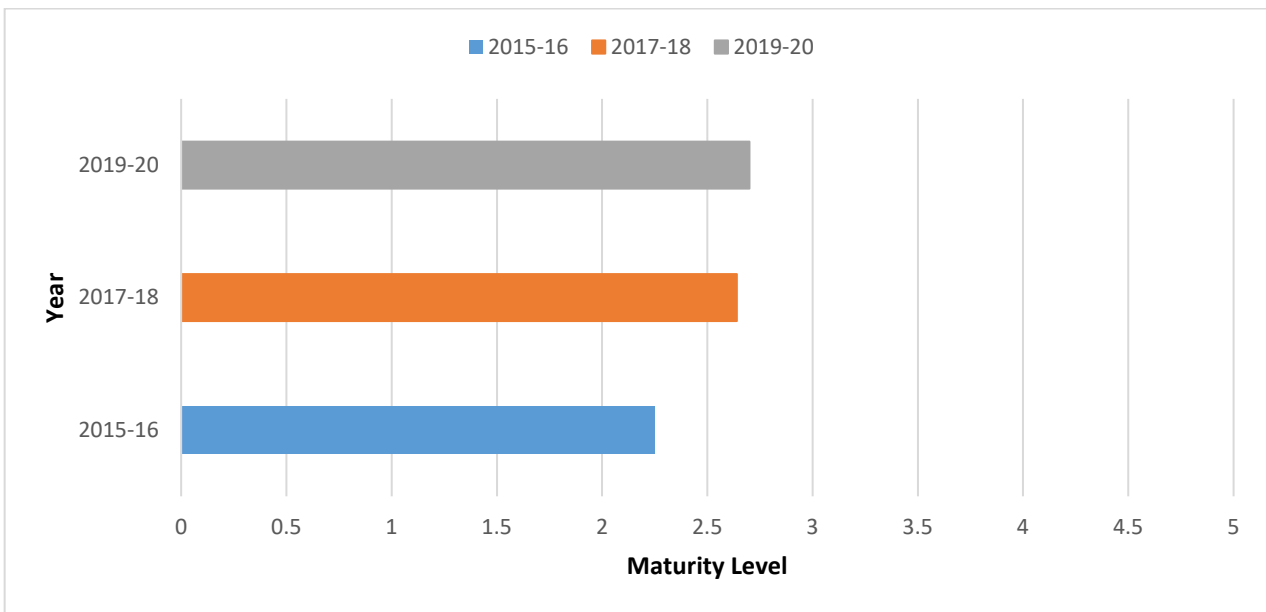


Figure 5b Question 1.1 rating levels – average comparison

Question 1. 2 Capability & Capacity

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

Org5 recorded a maturity rating of 'Operational' (level 4) (see Figure 6a), while the majority of other organisations are at 'Formative' (level3) and the remaining two are at 'Aware' (level2). While most organisations have been stable, several have shown an improvement on scores from the last assessment, and one has recorded a decrease. The average assessment ratings (see Figure 6b) show an overall rise after dipping in the last assessment cycle.

Stronger ratings built on their IM Framework and strategic direction by determining and leveraging the key knowledge, skills and behaviours required to promote active engagement, and by ensuring that work needed was appropriately resourced. Utilising various kinds of assessments to document behaviours, identify gaps and work towards addressing them was another mechanism used.

Some example strengths identified by the participants include the following:

- recruiting IM and data specialists to roles that predominately deal with data and IM
- resourcing and funding programs of work to address IM capability, within budget constraints
- documenting the key skills, knowledge and behaviours required of IM professionals and IM accountabilities in an IM Professional Capability Set
- considering IM staff to be subject matter experts who are consulted by other areas of the business on a regular basis.

Lower maturity ratings were affected by MOG changes, insufficient funding, as well as a lack of ownership and custodianship of information assets. Another factor has been improved understanding of actual practice identified through the assessments conducted, which has identified additional gaps that need to be addressed.

Some example weaknesses flagged by the participants include the following:

- consultation with data specialists in the development and implementation of business initiatives in the early stages is not yet established as common practice
- the significant impact that MOG changes have made on the ability to implement parts of the IM strategy
- IM security and data specialist roles are appointed, but are not sufficient for the amount of data managed
- a lack of information asset ownership and custodianship.

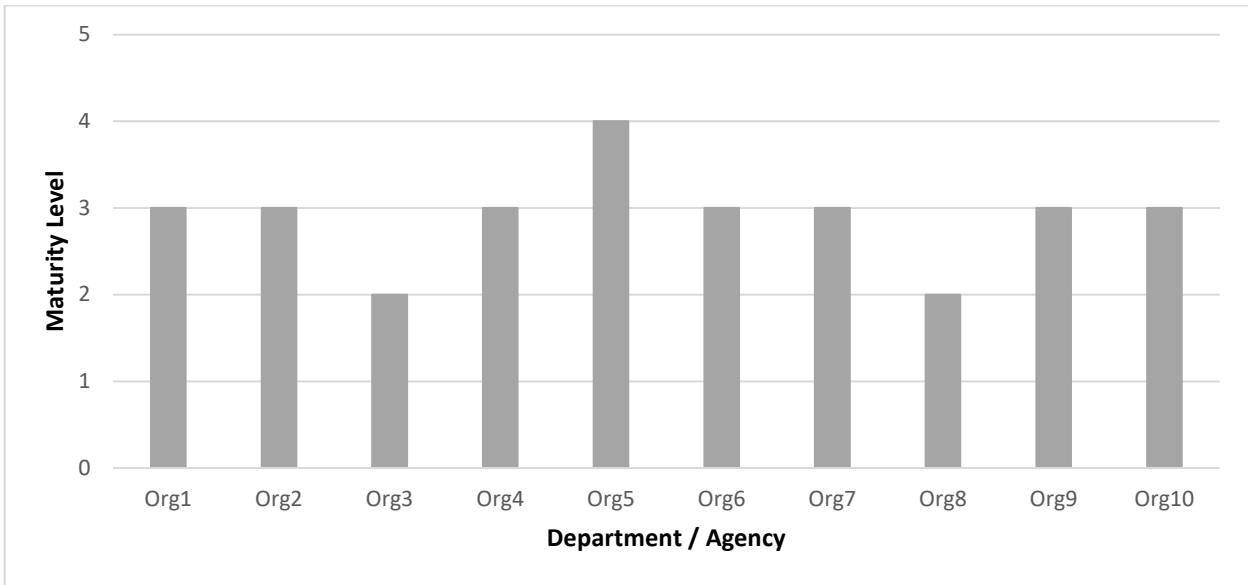


Figure 6a Question 1.2 rating levels – 2019-20 assessment

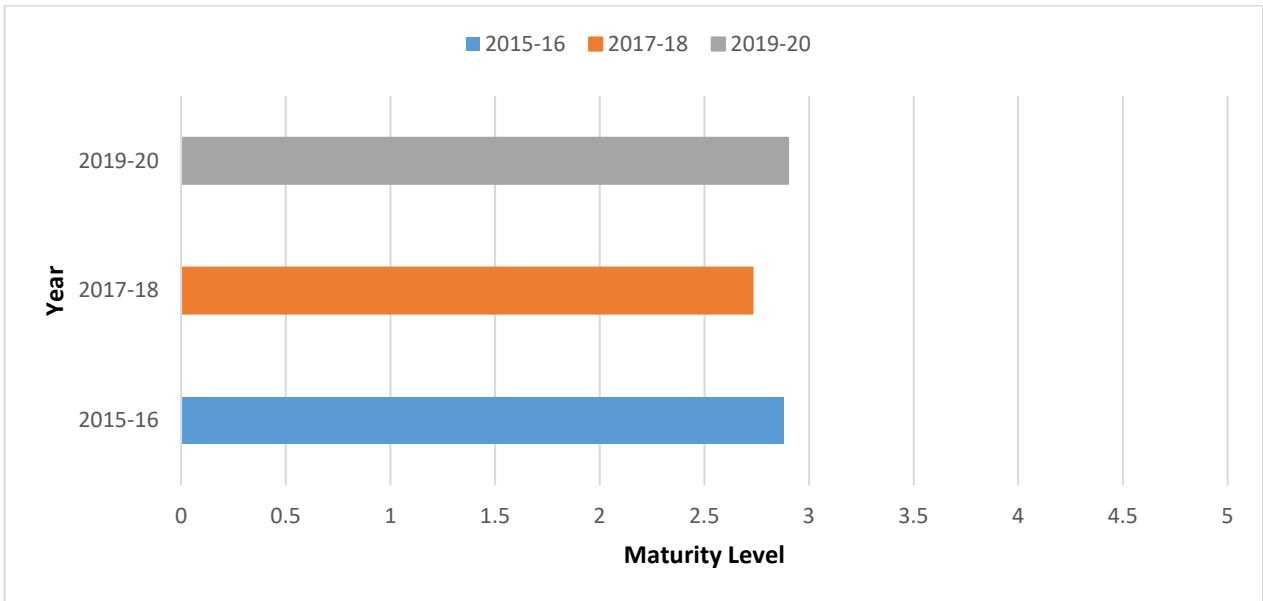


Figure 6b Question 1.2 rating levels – average comparison

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?

Org5 recorded a maturity rating of 'Operational' (level 4) (see Figure 7a), while the majority of other organisations are at 'Formative' (level3) and the remaining two at 'Aware' (level2). The majority of participants have maintained or improved their maturity levels, with one recording a decrease. The average assessment ratings (see Figure 7b) show a marked improvement on the ratings for the previous assessment cycle.

Stronger ratings showed that using multiple approaches to sharing knowledge, IM training and support was effective. For example, using communities of practice, helpdesks, and liaison officers to encourage a ground-up engagement in improving IM awareness. Online engagement through eLearning modules, guides and other resources, intranet pages and online groups have also proved successful; especially when combined with skill or system specific information.

Some example strengths identified by the participants include the following:

- the establishment of information sharing groups, such as a Power BI community of practice; an Information Sharing and Privacy Working Group; Yammer groups; helpdesks for IM, records management, security, and privacy; and a network of Records Liaison Officers to support broader IM/RM training and capability
- formal training (maintained and reviewed regularly) offered following enhancements, upgrades and as requested; IM included in induction material and on-boarding procedures; all records of training are captured against individuals
- practical guidance provided during the PIA process by legal and information security to project proponents
- training videos and user guides made available with topics ranging from information and records management compliance to how to update default security of records, naming conventions, and security framework.

Areas requiring work were recorded as being improving accessibility to relevant resources, providing more structured governance, and increasing the spread of strong IM practice beyond units that have a strong reliance on information.

Some example weaknesses flagged by the participants include the following:

- staff have not always been successful in accessing knowledge sharing resources
- training programs and advice lack structured governance.

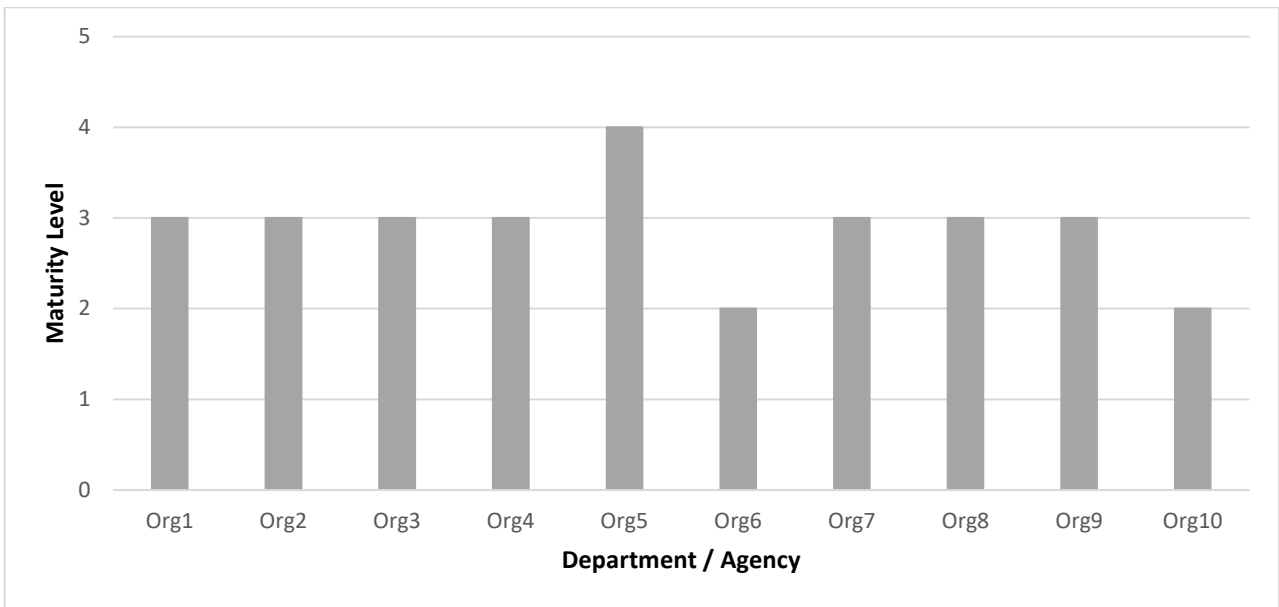


Figure 7a Question 1.3 rating levels – 2019-20 assessment

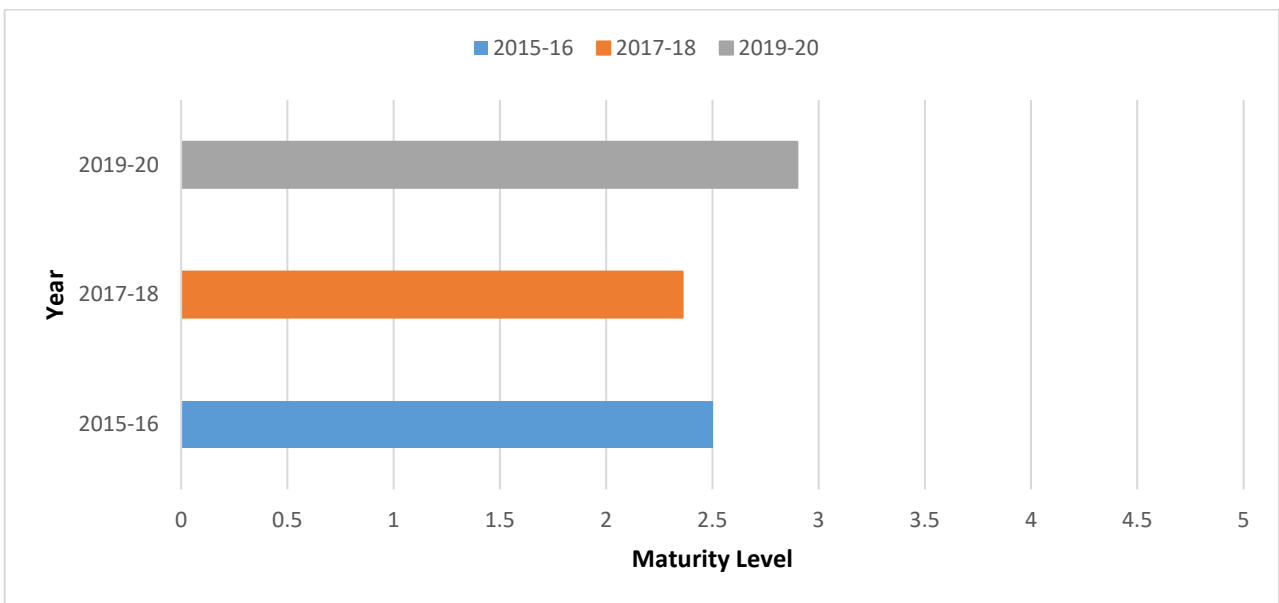


Figure 7b Question 1.3 rating levels – average comparison

Question 2.1 Governance

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

Both Org1 and Org2 recorded a rating of 'Operational' (level 4) (see Figure 8a), while the majority of other organisations are at 'Formative' (level3) and the remaining two at 'Aware' (level2). Two participants recorded a decrease in rating from the previous assessment, two participants increased their rating while the remaining were stable. The average assessment ratings (see Figure 8b) show that IM governance has remained stable and may have plateaued.

Participants generally have strong IM governance structures in place, primarily based around the IM Framework. Many have a committee that includes membership from key business areas and the executive to oversee implementation of IM across the organisation. Strong scores included active engagement across the organisation in establishing sound IM practices to localise governance within business units to support service delivery or business needs more directly.

Some examples of strengths identified by the participants include the following:

- a committee established to lead, monitor, and report on IM activities; the committee ensures coordination, visibility and appropriate sponsorship of IM activities, is chaired by an executive-level officer, contains representation from key business areas, and provides advice to the Executive Board
- a number of key divisions with specific interest in sound IM practices have established localised governance processes to supplement and support broader organisation-wide governance
- team responsible for information and data management consults/advises on data governance initiatives
- policies and procedures for records management are in place.

MOG changes, reduction or absence of staff and the coronavirus (COVID-19) pandemic have impacted on ratings this assessment cycle. Building and improving IM practices through stronger ground-up engagement, varied and more direct governance reporting options, and improved executive level support will help to raise weaker maturity levels.

Some examples of weaknesses flagged by the participants include the following:

- IM has previously held roles in governance groups but this has largely ceased in response to MOG changes
- there is no IM Governance Committee, and the EDRMS User Group has no governance reporting options currently
- the Committee overseeing IM has been inactive for some time. Staff leave and with the coronavirus (COVID-19) pandemic, many initiatives have not had the required presence or traction to maintain commitment.

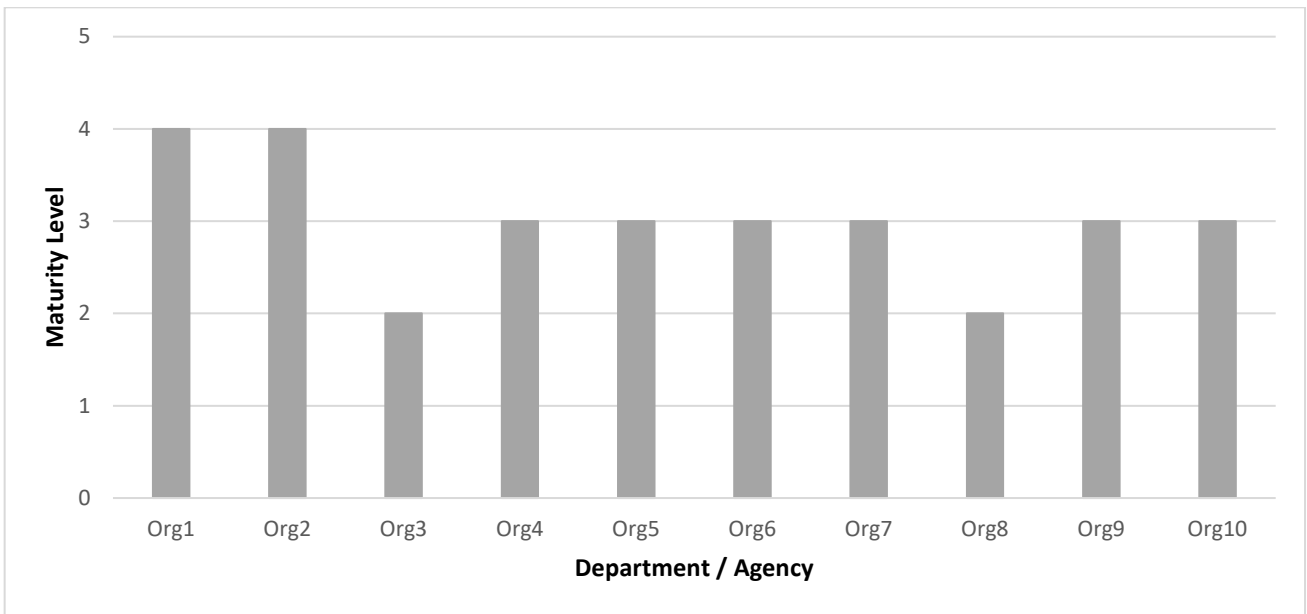


Figure 8a Question 2.1 rating levels– 2019-20 assessment

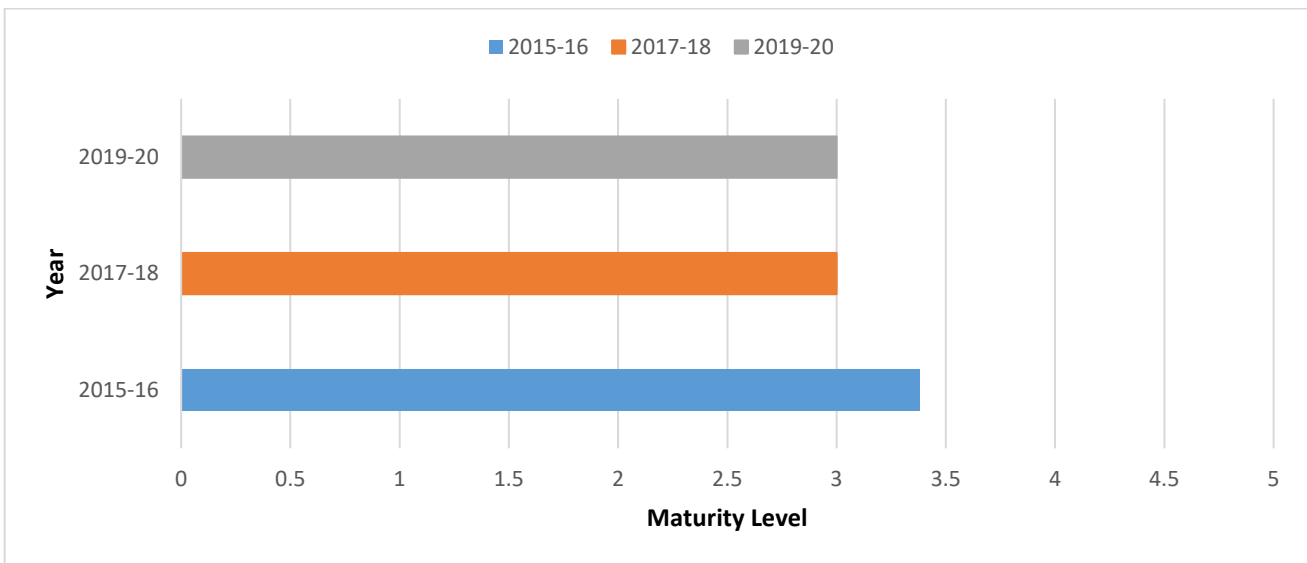


Figure 8b Question 2.1 rating levels – average comparison

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?

Org2 and Org4 recorded a maturity level rating of 'Operational' (level 4) (see Figure 9a), while the majority of other organisations are at 'Formative' (level3) and the remaining two at 'Aware' (level2). Three participants recorded a decrease in rating level while two recorded an increase (one organisation doubled their previous rating). Something of concern is the gradual decrease in maturity level scores shown by the overall average comparison (see Figure 9b).

Stronger scores addressed significant consultation and collaboration across the business to review and improve the IM Strategy and ensure that roadmaps align with the vision, strategic objectives, and business drivers. Managing information during the coronavirus (COVID-19) pandemic benefitted from a strong digitally focused IM strategy. Having committees that oversee IM governance and implementation seemed to improve the reach and take up of the IM strategic direction.

Some examples of strengths identified by the participants include the following:

- IM Framework incorporates a number of targeted roadmaps for IM enablement. Significant collaboration between IM and business representatives was undertaken to align roadmaps to the organisation's vision, strategic objectives and business drivers.
- a number of divisions with specific interest in sound IM have developed divisional strategies to address IM needs and initiatives
- initiatives resourced and funded since the last review include improvements to information sharing/discoverability by systems
- IAR has been established and maintained by custodians. Records standards compliance gap analysis has been completed and gaps addressed.

Awareness and investment in IM across the organisation by everyone involved and not just IM specialists appears to be the key to improvement. While addressing coronavirus (COVID-19) challenges impacted on ratings for this question, other factors that reduced score levels were MOG changes and the need to address new technologies, such as M365/O365.¹²

Some examples of weaknesses flagged by the participants include the following:

- a number of divisions are less developed and less aware than ones with interest in IM
- due to MOG changes, strategy and roadmap requires updating and is due for reassessment and review
- the need for an IM strategy was realised in 2018, however little work has been done in this space
- still operates under the former organisation Information Strategy which was endorsed by the Executive Board in March 2018.

¹² Please note that Microsoft 365 (M365) and Office 365 (O365), while both being Microsoft products based around the MS Office suite, have different licence structures, and may have different components. This report uses comments from a variety of organisations, some of whom use M365 and some O365. To avoid confusion, any reference to M365 or O365 will be referred to as M365/O365.

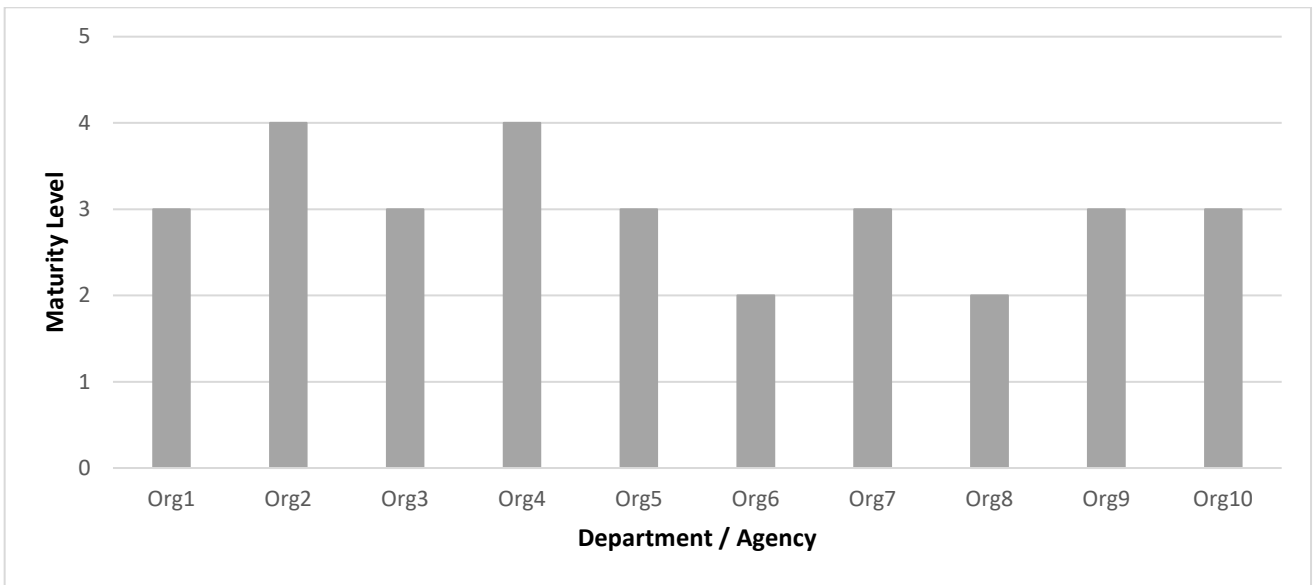


Figure 9a Question 2.2 rating levels– 2019-20 assessment

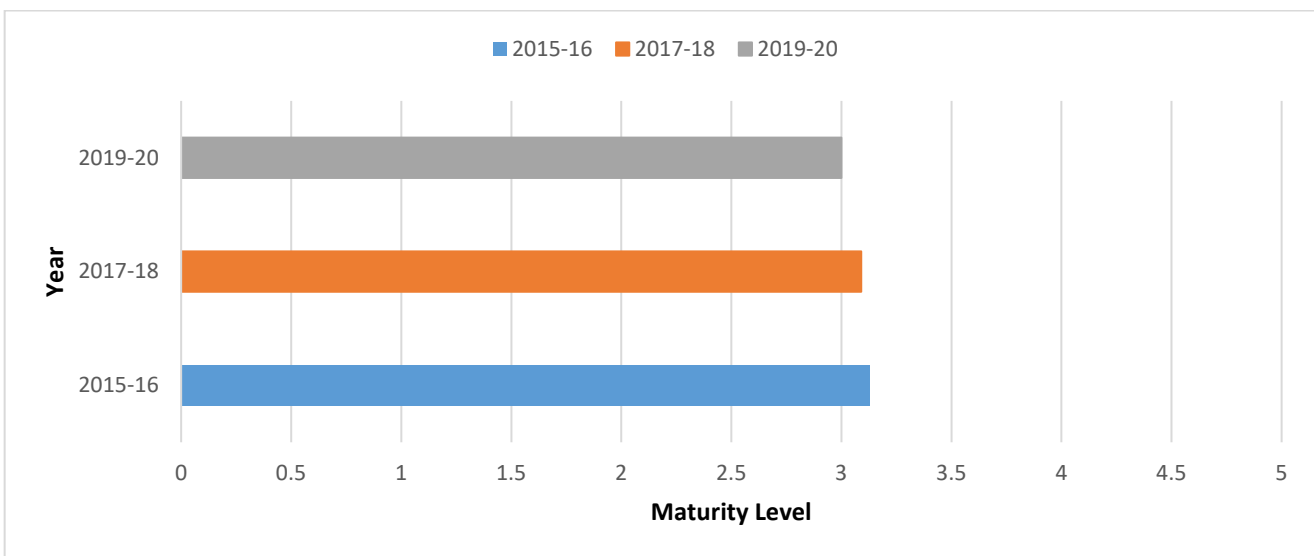


Figure 9b Question 2.2 rating levels– average comparison

Question 2.3 Strategic Alignment

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

Org2 recorded a maturity rating of 'Operational' (level 4) (see Figure 10a), while three participants are at 'Aware' (level 2) and the remaining organisations are 'Formative' (level 3). The majority of participants increased the maturity level achieved this cycle compared with previous assessments, while two recorded a decrease. The average comparison rating (see Figure 10b) was slightly lower than the previous cycle.

The IM Framework continues to be a central tool for strategic alignment of IM, especially when used in conjunction with the Information Asset Register (IAR) and incorporated into work plans, procurement contracts, and policy. Stronger scores also included active engagement in the form of participation in project teams and liaison with business units along with use of compliance assessment and reporting to measure behaviour, identify potential risks and address gaps.

Some examples of strengths identified by the participants include the following:

- extensive stakeholder engagement has been undertaken to begin to enable or enhance the integration of IM obligations and capabilities with other strategic planning in the organisation, with the implementation of this work progressing through the early stages of development
- IM Strategy used as a key source document for drafting an IM Professional Capability Set
- IM/RM is supported in the Risk Handbook; privacy and FOI promotes the importance of good records management practices to support their service delivery in presentations and inductions
- RM included in procurement contracts and the ICT strategy as well as Environment Management through the reduction of paper by increased digitisation.

Key factors in weaker scores are IM not being strategically valued, poor or limited strategic alignment, technological changes such as M365/O365, the impact of MOG changes, and coronavirus (COVID-19). IM not being identified specifically as information management actions, and poor mapping between IM and other relevant areas (such as privacy, FOI and procurement) also result in lower maturity level scores.

Some examples of weaknesses flagged by the participants include the following:

- there is limited strategic alignment between the IM strategy and other strategic planning in the organisation
- due to MOG changes the organisation lacks in current strategy alignment across IM and other relevant strategies. Strategies have inherently been focused on the core activities of their functions and may only identify IM as part of those activities.
- no IM Strategy for Business Divisions to follow when considering projects, development of policies or aligned with strategic planning in key areas like privacy, FOI or procurement there is little evidence that this measure is being adopted.

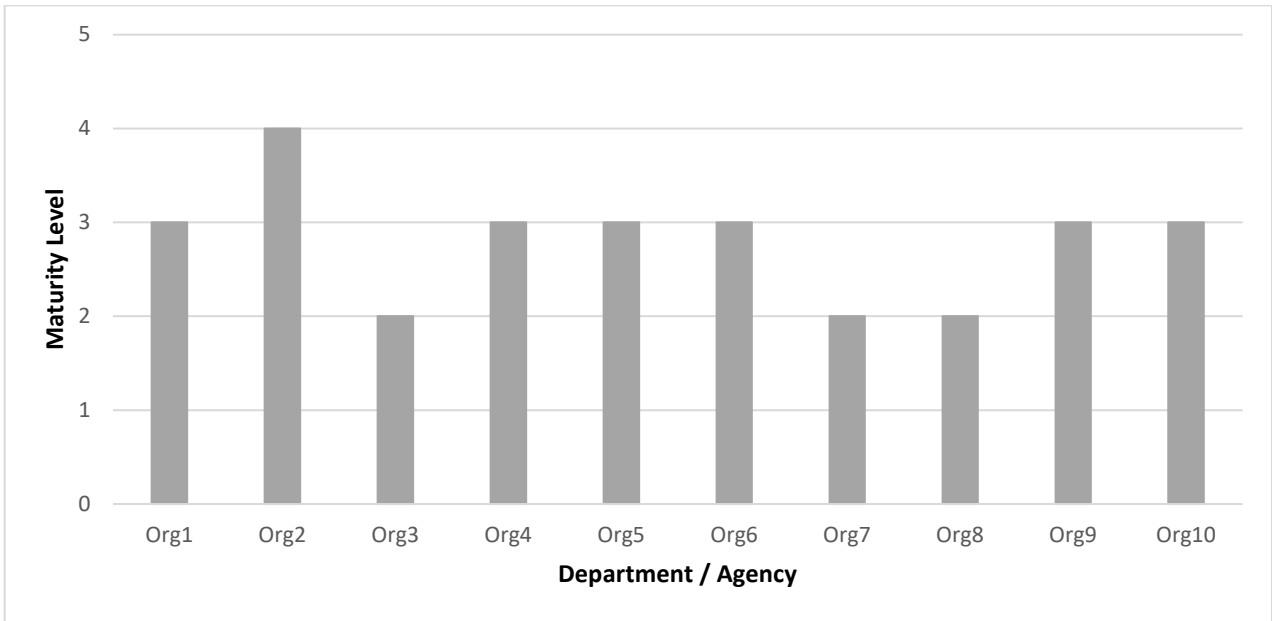


Figure 10a Question 2.3 rating levels– 2019-20 assessment

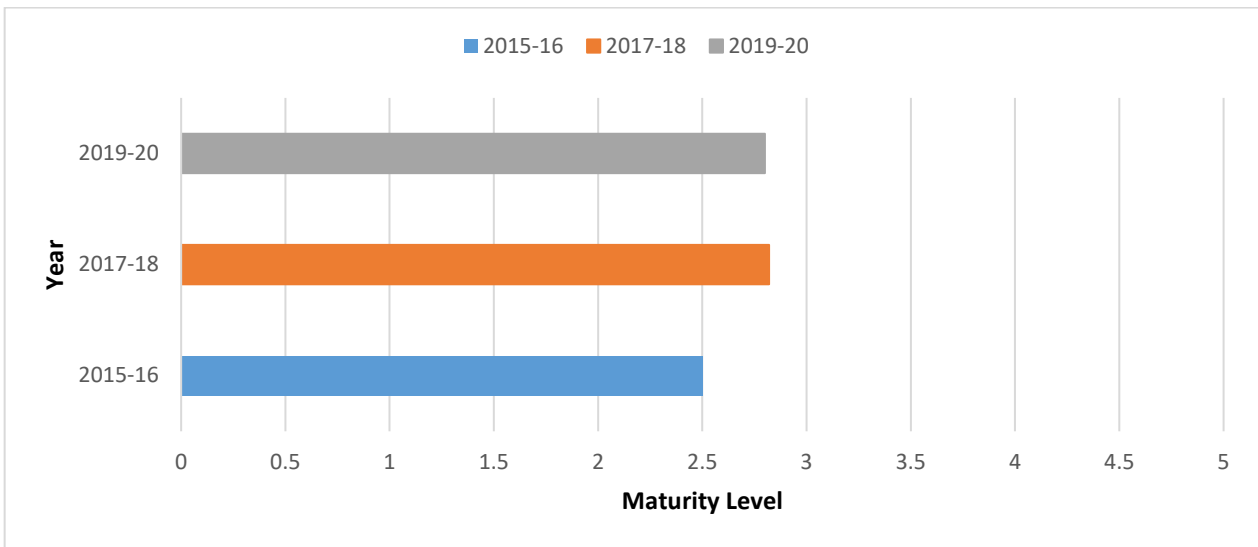


Figure 10b Question 2.3 rating levels– average comparison

Question 2.4 Management Support & Leadership

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

Org2 recorded a maturity rating of 'Operational' (level 4) (see Figure 11a), while three participants are at 'Aware' (level 2) and the remaining organisations are 'Formative' (level 3). Three participants recorded a decrease in maturity ratings (one significantly lower). The overall average comparison rating (see Figure 11b) again showed a distinct decline from the previous cycle.

While there is strong management and executive level support for information security as shown in roles dedicated to information and data security, use of the Privacy Impact Assessment (PIA) and the Victorian Protective Data Security Framework (VPDSF), other forms of information are often less well supported. The IAR and IM committees are leveraged to promote IM initiatives at an executive level, as are risk management frameworks.

Some examples of strengths identified by the participants include the following:

- PIAs are a key document required at the organisation's Project Group
- cyber security risks are reported in the organisation's strategic risks report on a quarterly basis with KPI; sub-committee provides oversight of the cyber security program
- dedicated CIO within Operations branch which has good access to all areas of the organisation. There is a growing awareness of the value of information and IM is regularly requested to provide advice to major organisation level business projects that have IM implications.
- organisation has separated IMN/M/DM policy and governance from ICT. An Executive Director is responsible for these functions and represents IM/RM/DM issues at senior levels of the organisation from a strategic perspective. Business areas are responsible for representing and progressing their respective IM/RM/DM initiatives outlined in the strategy. Leadership increasingly recognises the importance of specialist IM/RM/DM practitioners, particularly as new businesses and services are established and the importance of establishing IM/RM/DM policies, procedures, systems upfront to reduce business risk.

Managing information in multiple formats (including hardcopy), across systems with varying degrees of records management functionality, lack of executive representation on IM committees, priorities and resources allocated to other areas due to MOG change and coronavirus (COVID-19) are some elements that have resulted in weaker scores.

Some examples of weaknesses flagged by the participants include the following:

- the Digital Information and Transformation Advisor role, suggested in the 2018 IM3 report, was not procured
- there is still support at the senior executive level, however further support and understanding from the business is required
- the purchase of an enterprise EDRMS to manage unstructured records, regardless of format, is currently unfunded due to other priorities
- until support is provided in the form of funding to purchase an EDRMS and to change the existing culture to end to end digitisation across the organisation, IM maturity will remain stalled.

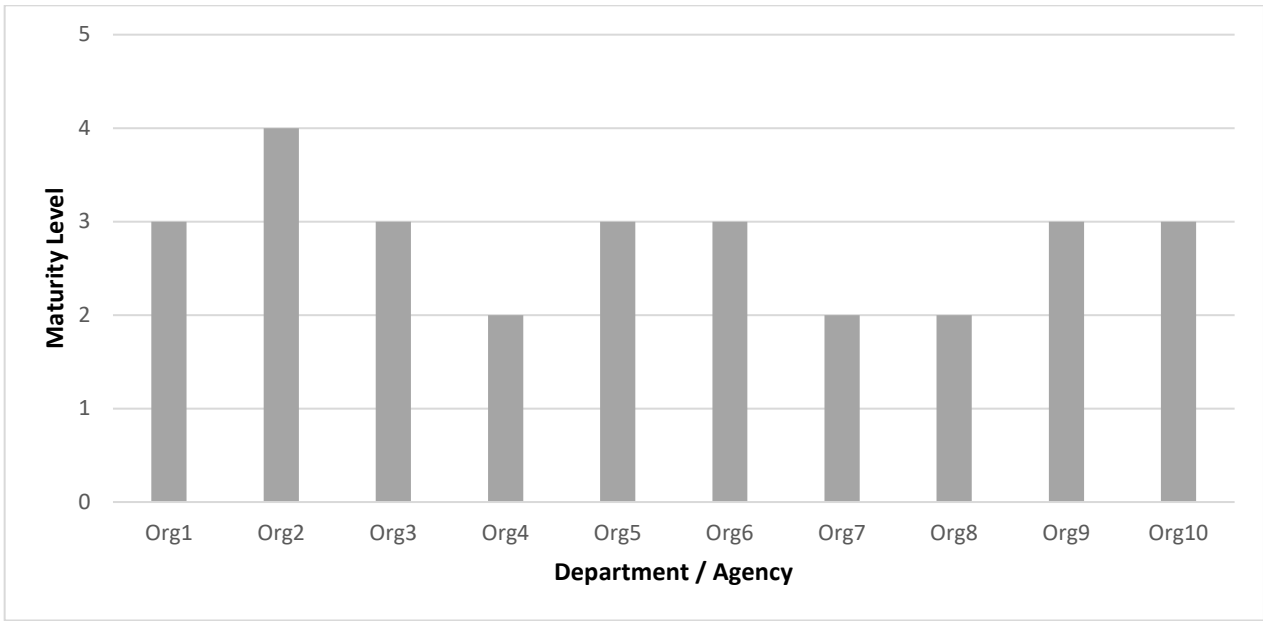


Figure 11a Question 2.4 rating levels– 2019-20 assessment

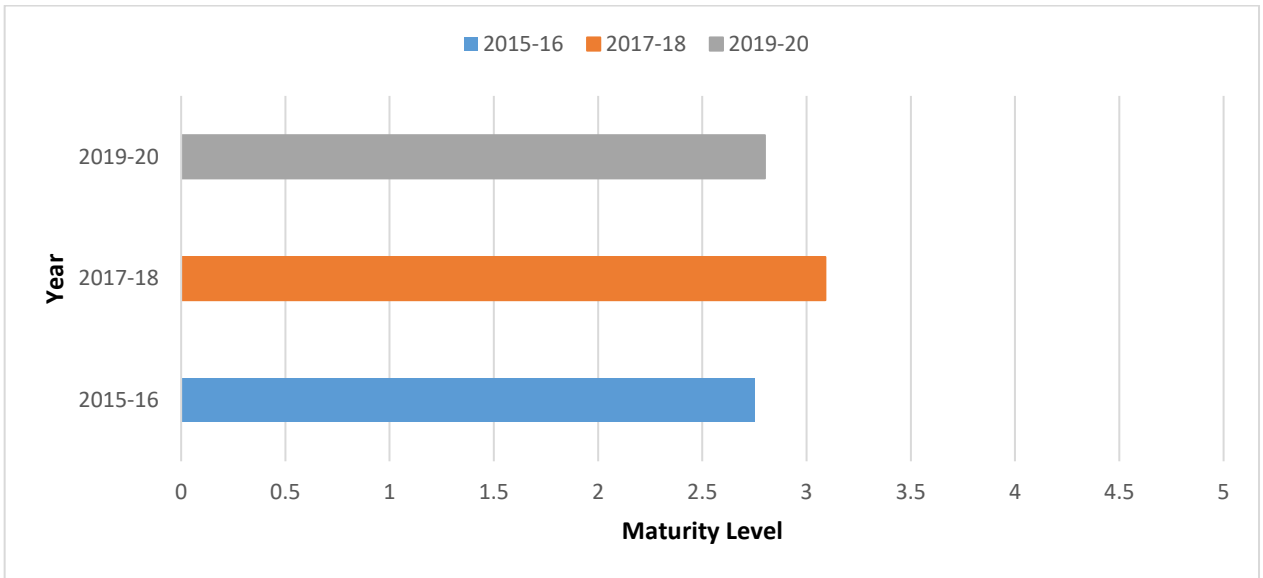


Figure 11b Question 2.4 rating levels– average comparison

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?

Org7 recorded a maturity rating of 'Operational' (level 4) (see Figure 12a), while the majority of organisations are at 'Aware' (level 2) and the remaining three at 'Formative' (level 3). Most participants have maintained their maturity level from the last cycle, while two have shown improvement. The overall average comparison rating (see Figure 12b) shows a slight increase and sits halfway between levels 2 and 3.

Factors in stronger scores included dedicated and ongoing audit programs (including independent audits by third party providers), accreditation processes for units that share data, compliance being part of the general IM and risk management programs which are followed up with monitoring and awareness activities, and active governance.

Some examples of strengths identified by the participants include the following:

- external data releases must be under a data sharing agreement that requires the recipient to manage data according to legislation
- new projects that involve the collection, use or disclosure of personally identifying information are required to be formally assessed for privacy compliance in a written PIA. This assesses the project's compliance with key privacy legislation, information security requirements and (as relevant) recordkeeping obligations.
- a records management monitoring program that works with individual business areas to assess their IM/RM practices and make recommendations for improvement compliance and practice. There is also follow up on status of recommendations.
- the team responsible for audits, risk and integrity management coordinates the annual internal audit program to review compliance with relevant legislation, policies, and compliance. Components of IM have been audited such as security and maturity in line with the Victorian Protective Data Security Standards.

Challenges in this space are around resourcing limitations due to competing priorities including MOG changes, responses to coronavirus (COVID-19), and technology change, and with managing information in different formats across multiple systems and with varying levels of documentation enabling the information to be identified, located, accessed, and used.

Some examples of weaknesses flagged by the participants include the following:

- MOG changes and organisational restructure have impeded the prior development of these programs (i.e., audit programs for IM)
- records standards compliance gap analysis was completed in 2013 and initiatives to address gaps have been developed in the IM teamwork plans. Progress has been slow due to limited resources and extensive IM systems projects
- regular auditing is a challenge when the organisation is predominantly paper based and doesn't support an EDRMS
- adequate resourcing and valuable measures are lacking. Managing millions of paper records, some of which are uncatalogued, requires all available resources to deliver BAU and critical services.

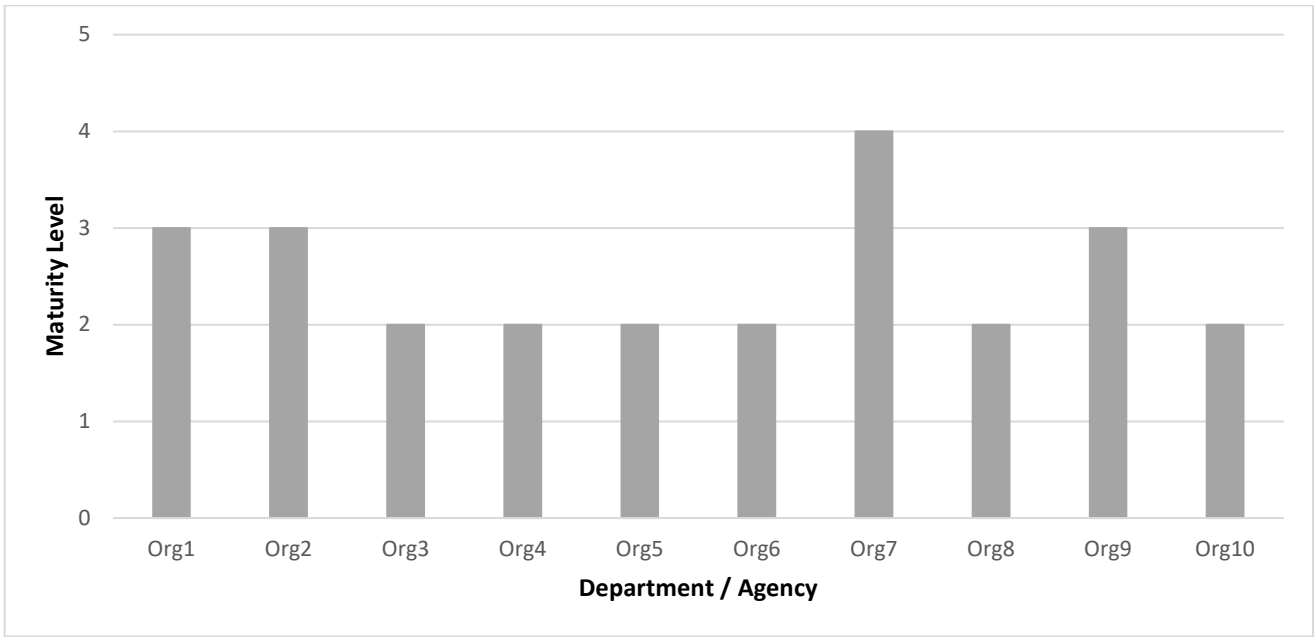


Figure 12a Question 2.5 rating levels– 2019-20 assessment

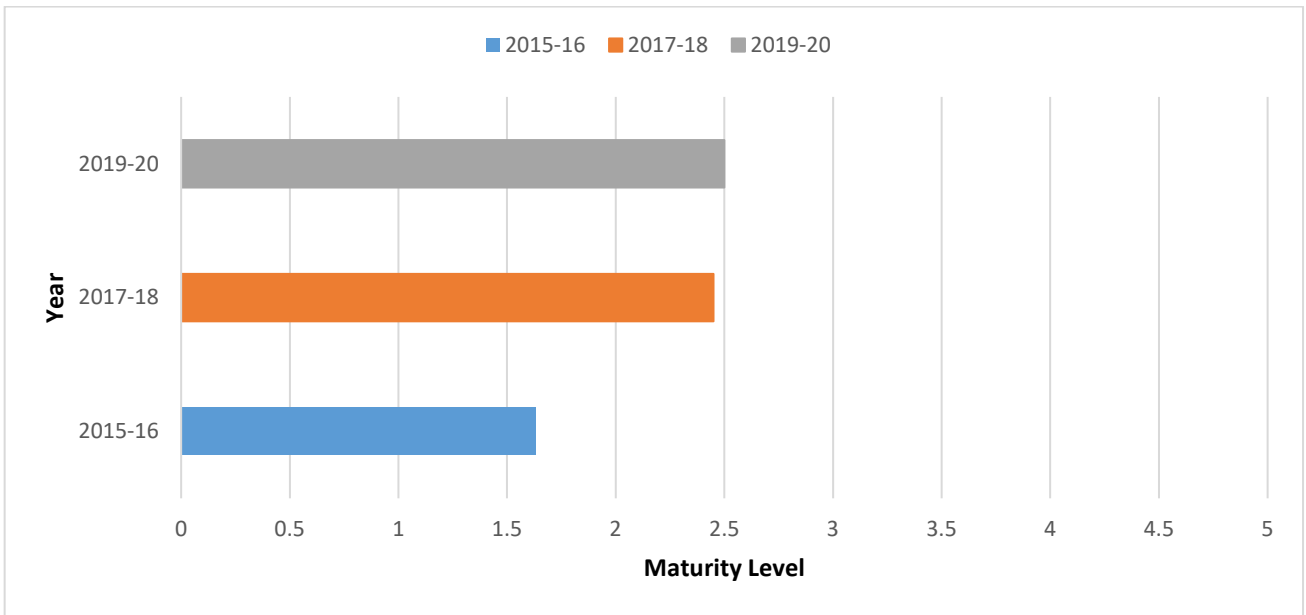


Figure 12b Question 2.5 rating levels– average comparison

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?

Org7 and Org9 recorded a maturity rating of 'Operational' (level 4) (see Figure 13a), while the majority of organisations are at 'Formative' (level 3) and one at 'Aware' (level 2). Most participants improved on their maturity rating this cycle, while one decreased and the remaining participants have maintained their maturity level. The overall average comparison rating (see Figure 13b) shows a marked increase and now sits just above level 3, at 'Formative'.

Stronger scores were achieved through leveraging off the information security and IM frameworks so that asset identification and capture is encouraged as part of daily practice. This includes the alignment of the IAR with accountability or governance models so that roles and responsibilities for assets are clearly assigned. It also includes processes related to IM that enable the IAR become key tool for IM and use.

Some examples of strengths identified by the participants include the following:

- an accreditation process for units that routinely share data has been instituted and requires units to undergo an assessment of their data management processes and training
- audit programs relating to the data quality (of information provided by the sector) are in place for a limited number of data collections
- an IAR has recently been revised by the team responsible for cyber security/technology to align with VPDSS v2 and incorporate Information assets from across the whole of the newly formed organisation.
- critical information assets have been identified and incorporated into a central IAR. The process involved significant consultation with relevant custodians across the organisation including input from the team responsible for information security.

A key challenge is in broadening the reach of the IAR so that all staff are aware of it and their responsibilities while ensuring that the information it contains or refers to is appropriately captured and managed.

Some examples of weaknesses flagged by the participants include the following:

- outside of a few pockets of the organisation with higher levels of IM maturity, information asset management is generally handled through ordinary business processes, with limited input and advice from IM specialists
- custodians do not yet register and maintain information assets unless prompted to do so
- significant work is required by relevant teams to impress these responsibilities on organisational persons
- ongoing purpose or usefulness (strategic business planning/sharing/FOI) of the IAR has not yet been established.

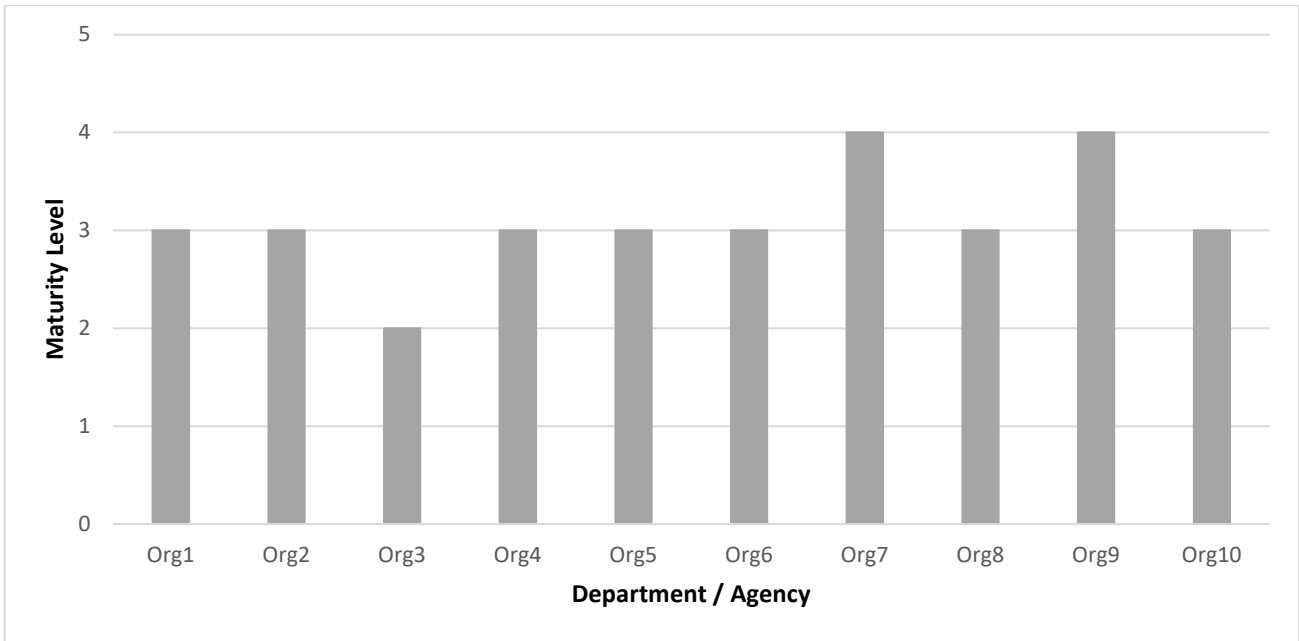


Figure 13a Question 3.1 rating levels– 2019-20 assessment

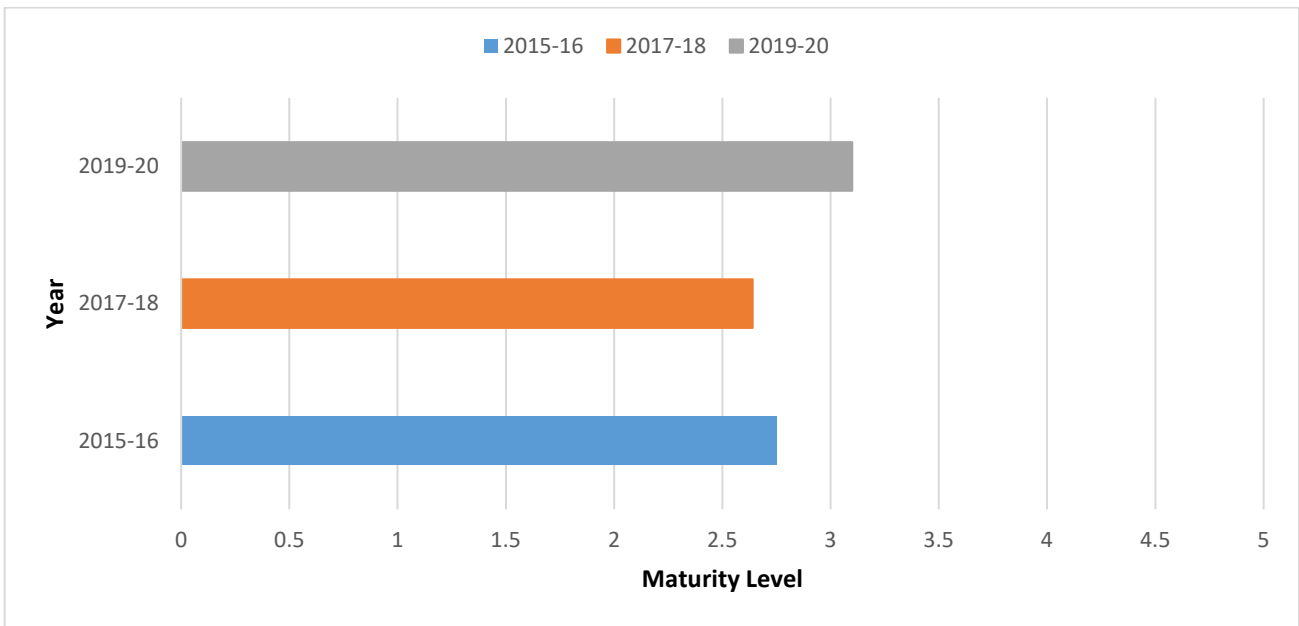


Figure 13b Question 3.1 rating levels– average comparison

Question 3.2 Policies & Procedures

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

Org7 recorded a maturity rating of 'Operational' (level 4) (see Figure 14a), while the majority of organisations are at 'Formative' (level 3) and one at 'Aware' (level 2). Organisations have either maintained or improved on their rating this cycle. This continuing improvement across whole of Victorian government is clearly shown by the overall average comparison rating (see Figure 14b).

Stronger scores included a combined top down and ground up approach, which utilised executive support through IM committees to strategically govern IM. This approach included the use of clearly defined policies, associated guides, and implementation processes to actively encourage engagement across the organisation.

Some examples of strengths identified by the participants include the following:

- recordkeeping guides and factsheets are published to the relevant intranet channel to support compliant recordkeeping. News items/email blasts advise/alert important recordkeeping requirements such as a records disposal freeze due to factors such as a royal commission
- data requests are subject to robust processes to ensure compliance with legislation. This includes approval by data custodians for use of the data, development of a PIA where required, and approval by an accredited Ethics Committee. All external users must complete a Deed of Acknowledgment and Confidentiality outlining conditions of access (with signatures from all recipients and the organisation legally responsible).
- policy and standards have an accompanying policy exemption process in place in order to address issues where a policy clause cannot be made. Breaches of policy are addressed when a significant or critical vulnerability is evident
- policies are reviewed annually and endorsed by an accountable Executive Officer. Changes to policies are communicated to all staff through the internet.

Obtaining ground-up support by all staff remains a key challenge. Lack of awareness of IM by all staff and poor alignment with local practices and protocols reduces the take up of policies. This also impacts on how staff value IM and therefore the likelihood of a breach being committed. Additional challenges occur due to MOG change, the COVID-19 pandemic, and the implementation of new technology and systems.

Some examples of weaknesses flagged by the participants include the following:

- staff are not always familiar with these documents, nor have always aligned local practices and protocols to them. Some staff found that training and communication in relation to IM policies and procedures have been inadequate.
- IM Policies and frameworks exist as part of legacy agencies. Some initial work and planning has commenced to create frameworks and new policies to meet the requirements of the organisation. It has been identified that additional resources and time are required to perform this task.
- some breaches occur; not all policy breaches are prosecuted on every occasion.
- With the proliferation of systems and processes to support remote working arrangements being established as a priority, the guidelines and policies to support this are still being developed and IM/RM is having to catch up. Existing policies and procedures need to be reviewed and updated in light of these new platforms such as M365/O365 and SharePoint.

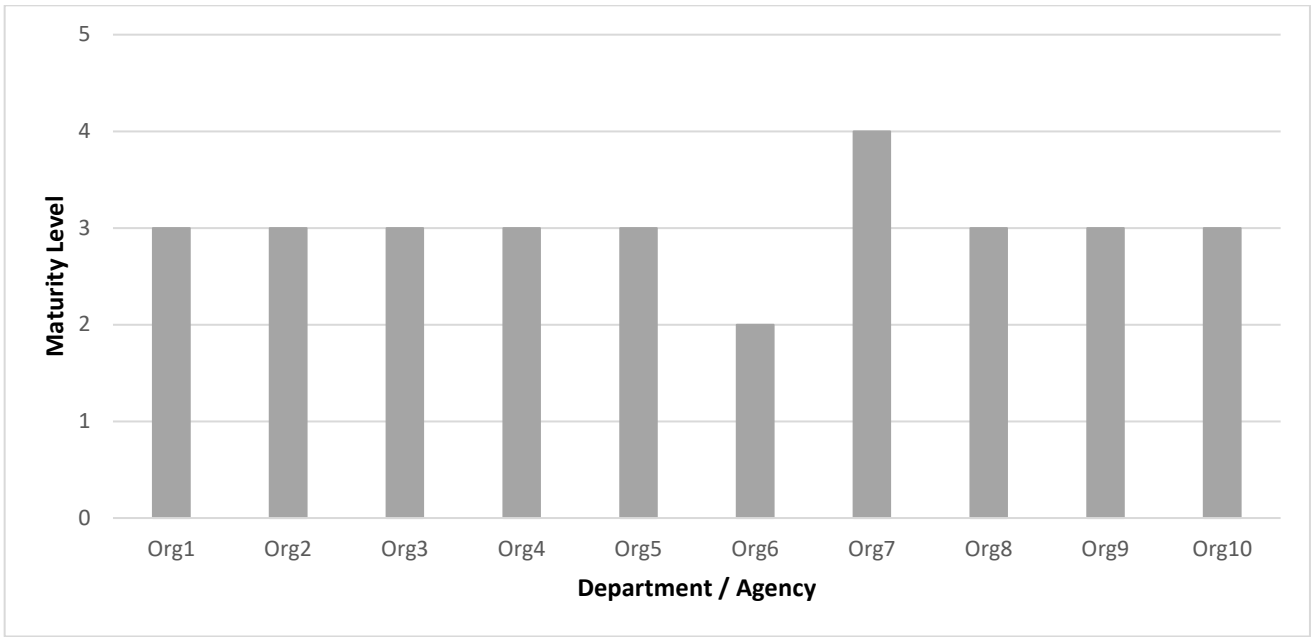


Figure 14a Question 3.2 rating levels– 2019-20 assessment

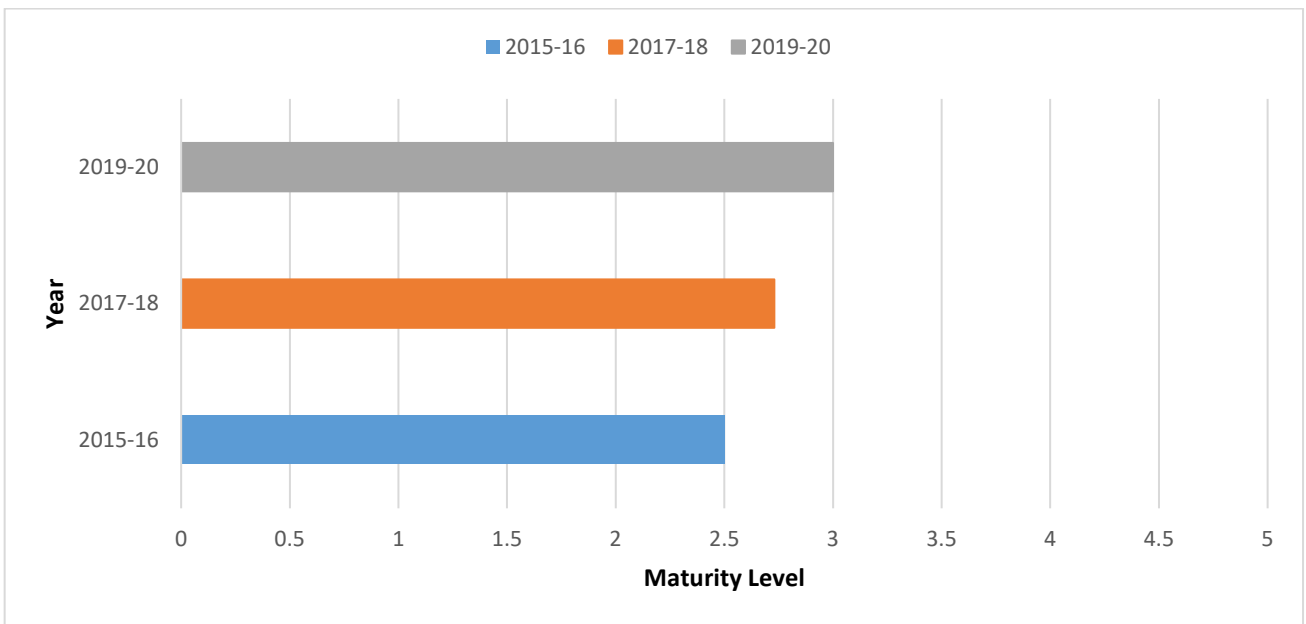


Figure 14b Question 3.2 rating levels– average comparison

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?

Organisations were fairly evenly spread between 'Formative' (level 3) and 'Aware' (level 2) (see Figure 15a). The majority of participants maintained their maturity levels from previous assessments, with the exception of Org4 who increased their rating. The overall average comparison rating (see Figure 15b) shows that, although it may appear that a plateau has been reached, progress is being made in this area.

Factors that resulted in stronger scores included mechanisms for consultation, use and quality monitoring, and IM strategy review. These included a business classification scheme, common data layer (CDL) secure central storage locations, security classification labelling, common metadata terms, and in-house digitisation programs.

Some examples of strengths identified by the participants include the following:

- implementation of key initiatives such as a common data layer to better enable the data access and management needs of the organisation
- a policy that defines a SharePoint solution as the document management system and as such the location where documents are managed
- a six-month activity to move away from using shared drives across the organisation
- some in roads have been made to improve efficiency through the completion of modernisation/digitisation projects, the majority impacting on frontline policing and critical operations.

Improved analytics and quality assurance processes would help to increase scores in this area. Challenges continued to be found in implementing new technologies and systems, addressing MOG changes, and maintaining operations during the coronavirus (COVID-19) pandemic.

Some examples of weaknesses flagged by the participants include the following:

- M365/O365 presenting a fresh challenge to recordkeeping
- a solution being required for files which aren't appropriate for SharePoint
- Records/Information/Knowledge Management Strategy needing to be further developed. The most current strategy was developed in 2017 with little progress made
- some Business Units manage their records and information quality well. However, this is not consistent across the organisation.

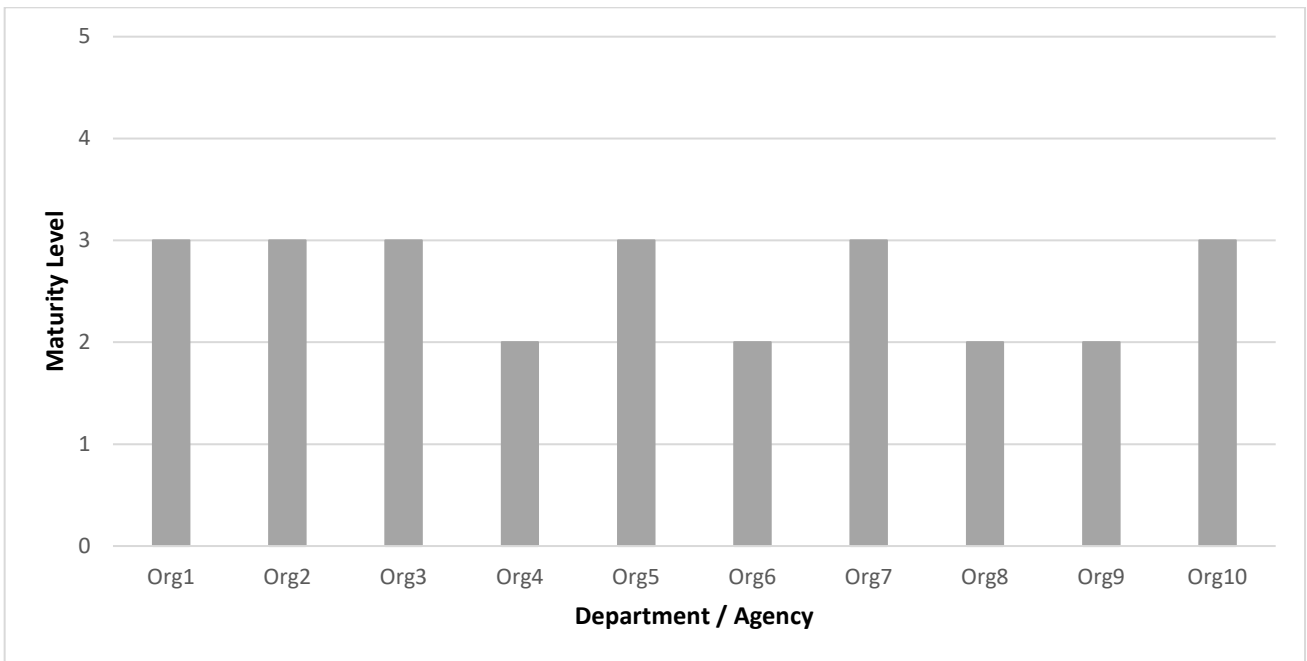


Figure 15a Question 3.3 rating levels– 2019-20 assessment

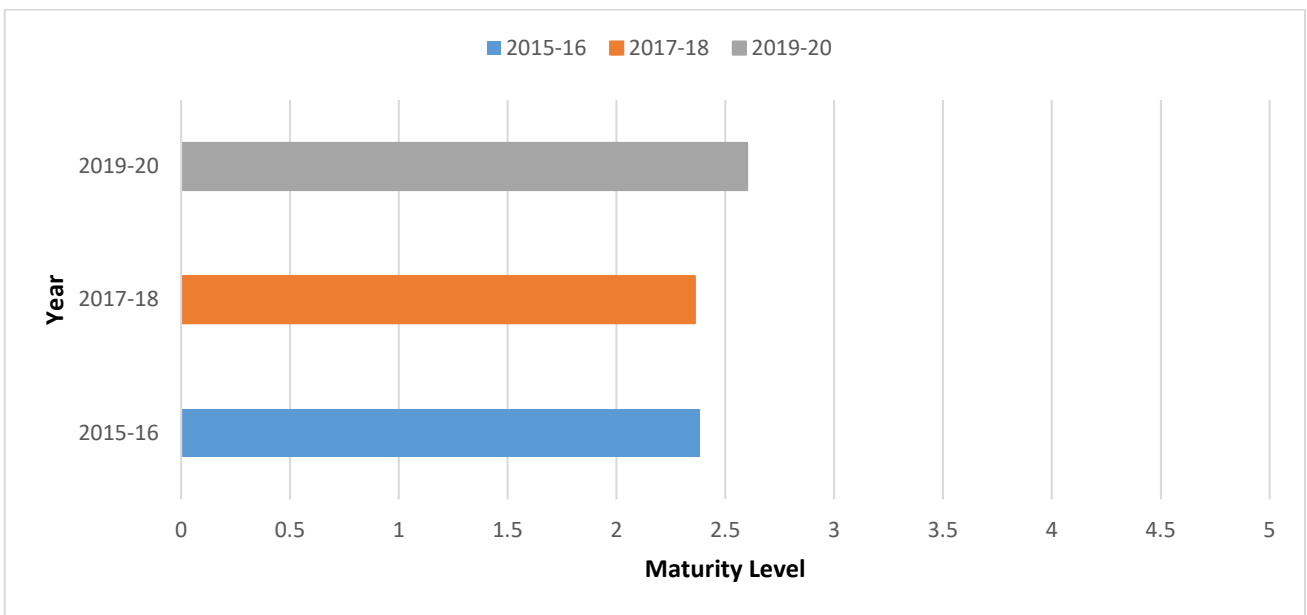


Figure 15b Question 3.3 rating levels– average comparison

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?

Org5 and Org7 recorded a maturity rating of 'Operational' (level 4) (see Figure 16a), while the majority of organisations are at 'Formative' (level 3) and three at 'Aware' (level 2). Participants have either maintained or improved on their rating this cycle. The overall average comparison ratings (see Figure 16b) clearly show progression with the current rating close to achieving level 3.

Factors that resulted in stronger ratings included leveraging off existing tools, such as the IAR, the business classification scheme (BCS), data labels and central information repositories. Technology also had an impact as digitisation practices and systems with improved search capabilities contributed to staff being able to find information when needed.

Some examples of strengths identified by the participants include the following:

- implementation of M365/O365 has increased access to information and made it more available
- a Records Management Unit continues to reinforce its policy relating to capture of records into compliant records management systems in parallel with the use of collaboration tools such as SPO and Teams
- a business classification scheme put in place to ensure records are easily found, identified, and retrieved
- in-house digitisation capability to digitise and distribute inbound mail (state-wide) and digitise an extensive collection of physical files.

Challenges in this space include being able to find too much information and therefore not being able to identify critical information within a timely manner, heavy reliance on staff knowledge, individual skill and competencies in using existing mechanisms to find relevant information, and difficulties in searching hardcopy records when working remotely.

Some examples of weaknesses flagged by the participants include the following:

- some frustrations around issues such as a reliance on staff corporate knowledge, difficulties searching the intranet, and differing levels of proficiency in the use of SharePoint. Staff have more difficulty locating information for the realisation of non-typical or innovative opportunities.
- two major corporate information repositories owned by legacy agencies presenting obstacles in finding, sharing and reuse of information
- coronavirus (COVID-19) pandemic affecting accessibility with staff potentially using other depositories to access records. Use of CM is varied across the organisation.
- increasing development of systems through SharePoint and M365/O365 to manage information and records, particularly to support remote working arrangements has shown the need for the development of improved procedures for information capture and application of metadata to improve discoverability and access.

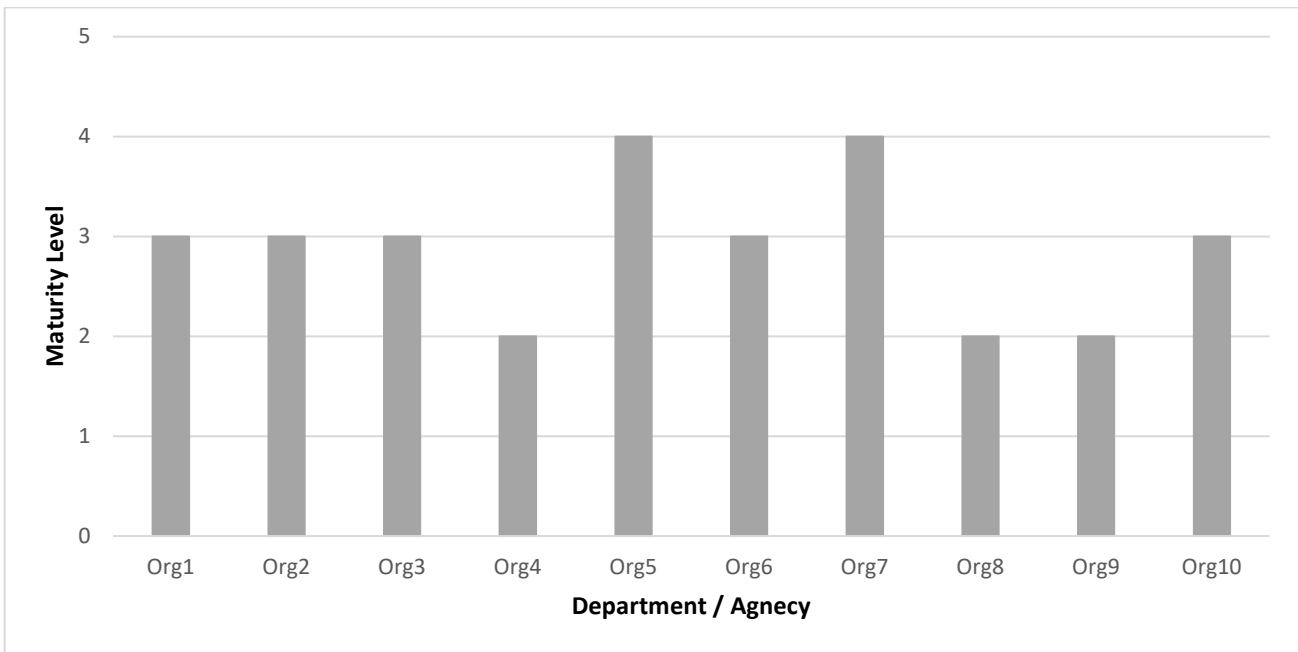


Figure 16a Question 3.4 rating levels– 2019-20 assessment

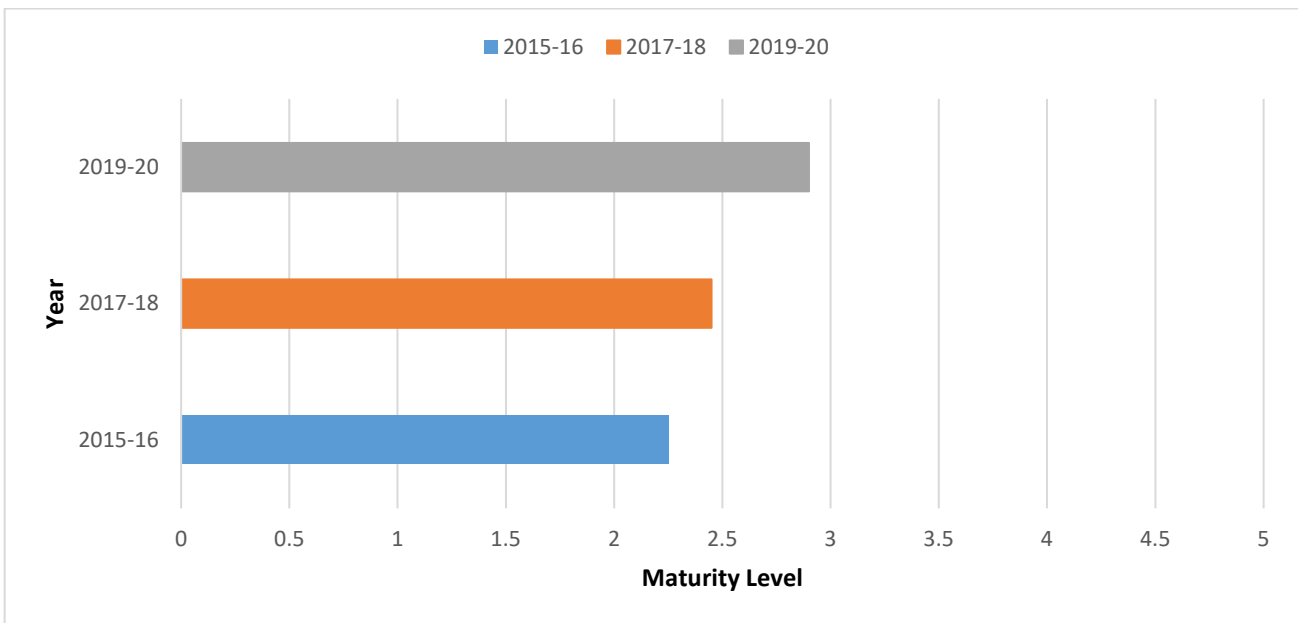


Figure 16b Question 3.4 rating levels– average comparison

Question 3.5 Information Use & Re-Use

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

Organisations were fairly evenly spread between 'Formative' (level 3) and 'Aware' (level 2) (see Figure 17a). The majority of participants remained at the same maturity level as the previous assessment, with the exception of two whose maturity improved. The overall average comparison ratings (see Figure 17b) show a steady progression, having just passed the midpoint between levels 2 and 3.

Stronger scores in this area were focused on data management (including metadata) and on leveraging both the information security and IM frameworks to govern control mechanisms such as monitoring and reporting processes. Some of the improved practices mentioned were the capturing of information with a focus on ensuring it can be reused; and implementing mechanisms that ensure information is identifiable, retrievable and remains useable.

Some examples of strengths identified by the participants include the following:

- an accreditation process for units that routinely share data has been instituted and requires units to undergo an assessment of their data management processes and training
- external data releases must be under a data sharing agreement that requires the recipient to manage data according to legislation, privacy, and security
- adoption of ECM across the organisation ensures appropriate metadata is being assigned to files held within this system
- standards and procedures developed to support consistent information collection and reduce duplication. Information assets are shared and re-used across the organisation where appropriate. There are good pockets of the organisation proactively releasing information with a strong focus on building business intelligence and analytics to support reporting and evidence-based decisions.

Challenges in this area include being able to use legacy information effectively considering the key details needed to identify and locate the information may be missing or obscured, and the ability (due to data quality issues, system functionality or competency limitations) to capture and describe information in a way that enables future use.

Some examples of weaknesses flagged by the participants include the following:

- challenges around multiple systems which may impact data quality and the ability to support informative decision making. There is a known need to consolidate systems and information from different sources
- operational data exists for immediate needs but may not be easily identified for future use. The quality of information may also be subjective
- information created is largely single use with little consideration for future access. This is due to current access control policies (locking records down to the team that created them) and lack of understanding of security settings and caveat tools in the EDRMS/ECM
- the organisation still operates siloed, and the cross-sharing of information is not always easy. Majority of information created is largely single use.

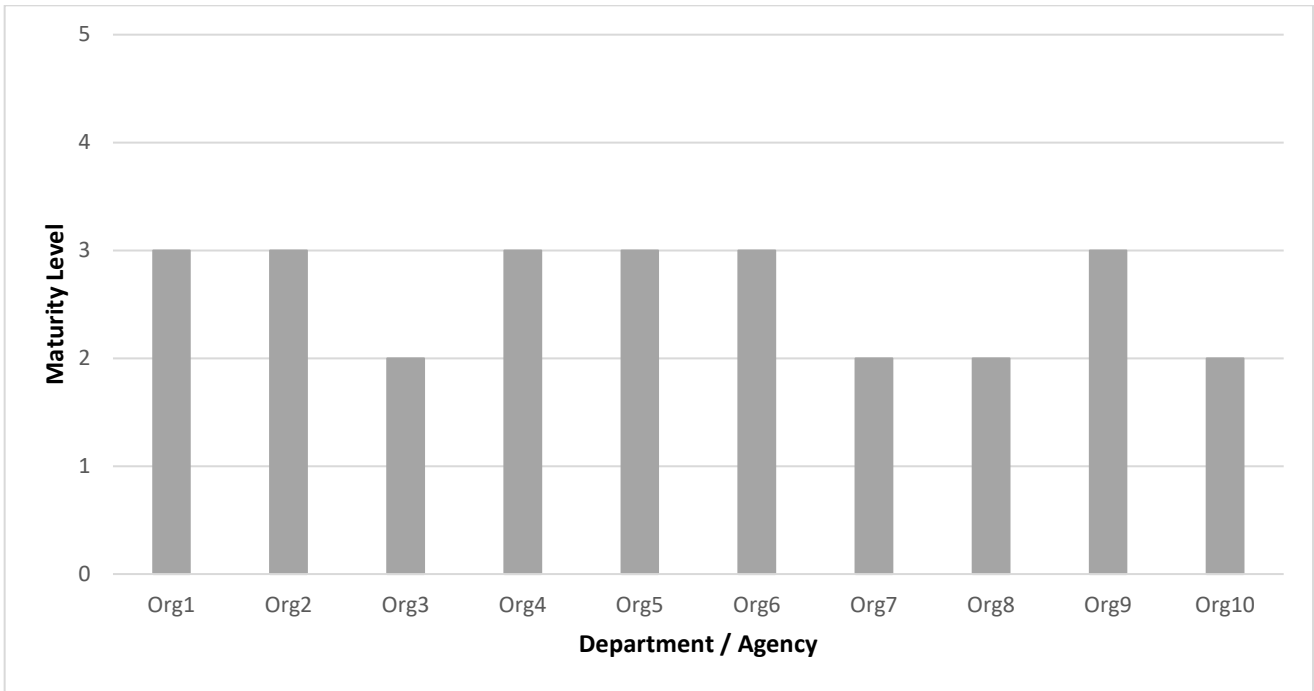


Figure 17a Question 3.5 rating levels– 2019-20 assessment

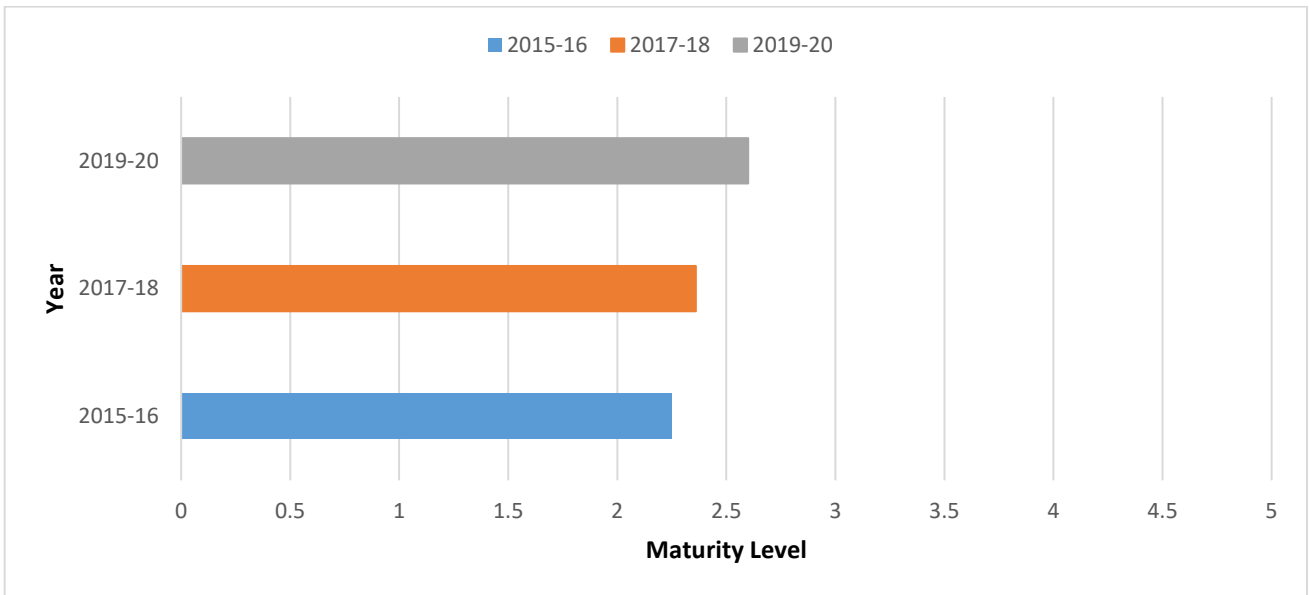


Figure 17b Question 3.5 rating levels– average comparison

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?

Organisations were fairly evenly spread between 'Formative' (level 3) and 'Aware' (level 2) (see Figure 18a). The majority of participants remained at the same level as previous with the exception of two whose maturity decreased. The overall average comparative ratings (see Figure 18b) show a very slight decrease in rating after almost no difference between the previous two assessment cycles.

Stronger scores recorded a focus on information or enterprise architecture as part of their general IM framework and associated governance, along with a dedicated information architect role. Also referenced was an understanding of the relationship between IM and IT regarding information architecture.

Some examples of strengths identified by the participants include the following:

- a dedicated enterprise architecture team ensuring alignment with other appropriate models
- a system register that captures and manages all business information systems and their related capabilities and supporting technologies which is regularly reviewed by the teams responsible for architecture and security
- a focus on enterprise architecture and continuous architecture documentation within individual information systems
- progress made in embedding information architecture into the draft IM strategy including a roadmap of various stages/horizons to improve IM maturity over the next five years.

Challenges in this area have included addressing MOG changes such as balancing legacy information architecture models used with those used in the current organisation. Also referenced was the impact of managing a large number of systems and how this minimised being able to use the information architecture model effectively (especially considering the specialised knowledge and competencies required).

Some examples of weaknesses flagged by the participants include the following:

- an organisation-wide analysis of business requirements, systems and processes not yet performed
- legacy agencies have implemented information architecture models that need to be consolidated across the organisation as a result of MOG changes
- no cohesive overarching information architecture has been produced to date
- information architecture is a dedicated function, but its effectiveness cannot be optimised due to the large number of systems in use across the organisation and the fragmented operational environment. To date decisions occur at a high level with limited stakeholder consultation or input from subject matter experts

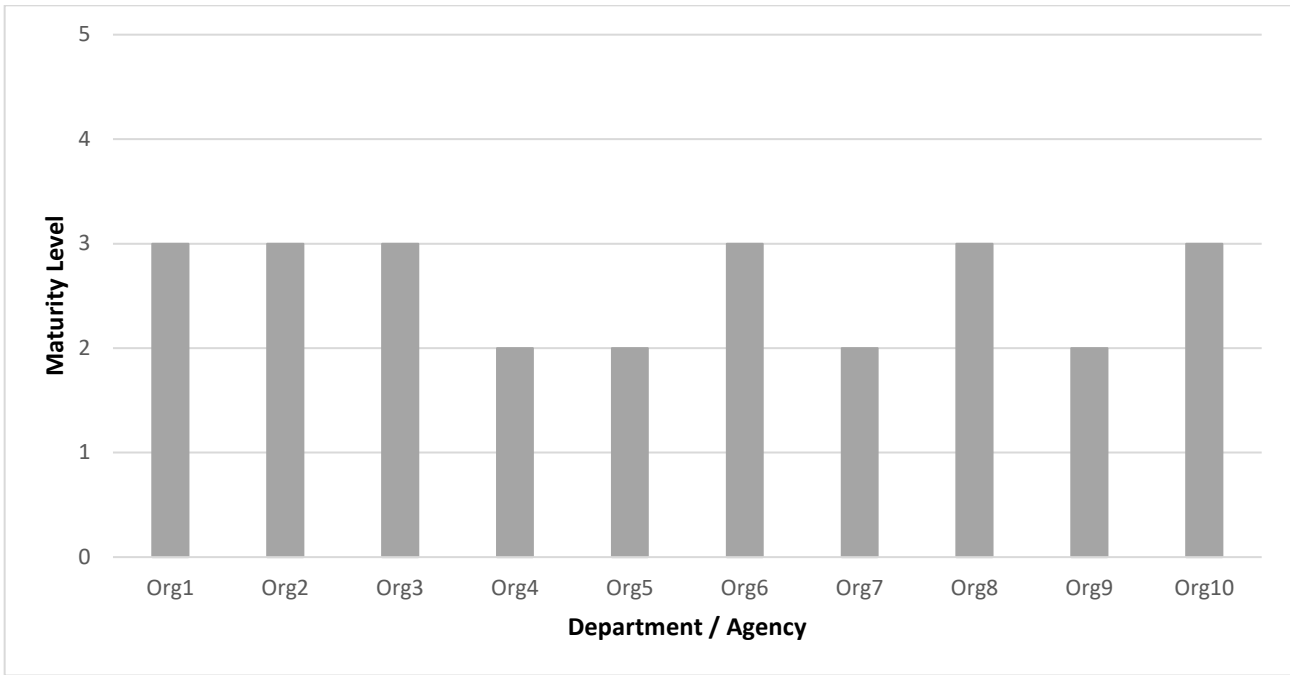


Figure 18a Question 4.1 rating levels– 2019-20 assessment

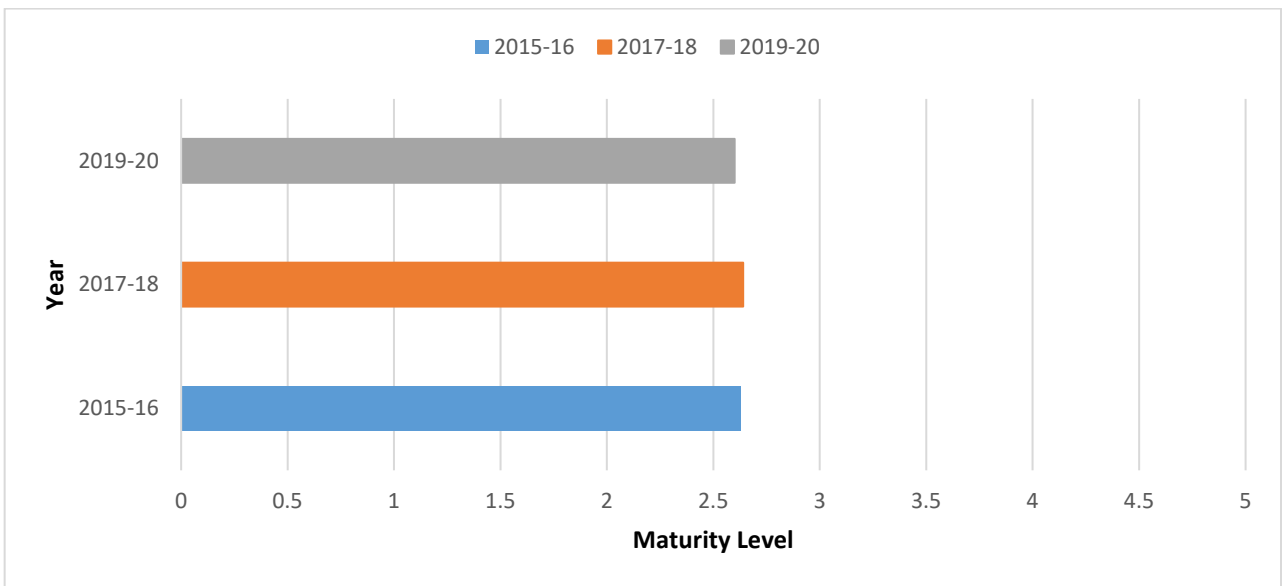


Figure 18b Question 4.1 rating levels– average comparison

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 organisations recorded a rating of 'Formative' (level 3) while three are at 'Aware' (level 2) (see Figure 19a). Only Org2 has recorded a change in rating (increasing from 'Aware' to 'Formative'). While this suggests that participants have reached a plateau in this area, the overall average comparison ratings (see Figure 19b) shows a steady increase in maturity level rating.

Stronger ratings leveraged information security and IM frameworks along with new technologies to embed business processes within a primarily digital environment. This supported staff when business processes needed to move to an online environment in order to work remotely due to coronavirus (COVID-19).

Some examples of strengths identified by the participants include the following:

- a number of working groups have been created to address specific areas where the alignment of business processes to IM requirements offers practical benefits to the organisation
- units that release data on a regular basis can be 'accredited' to release data according to agreed delegations from the data custodian, removing the need to attain authorisation for each release
- new IT and data initiatives are assessed by the Project Group for alignment with IM Strategy before implementation
- development of an electronic briefing and correspondence (EBC) system that supports eleven critical business processes. Final approved records in the EBC are closed and moved to the organisation's approved electronic document system. EBC is supported by user guides, strong governance arrangements and considered information and records management practices. This work resulted in significant re-engineering of these business processes to improve efficiencies and reduce duplication of information and effort.

Challenges in this space have included difficulties in effecting the cultural change necessary to improve business processes so they are aligned with IM requirements and address quality assurance needs. Additional reviews of practices and processes, and improved understandings of how new technologies may be better utilised, are listed as works in progress to improve ratings.

Some examples of weaknesses flagged by the participants include the following:

- IM-related concerns in the review and continual improvement of their own business processes are not always flagged specifically as IM initiatives
- there is still work to be done on identifying and aligning business processes with information and data management requirements to better support the future work environment with a focus on systems to support increased digitisation/automation of processes
- the current IM profile is low however the appetite is steadily increasing, which is demonstrated through the re-invigorated IMGC, draft IM Strategy and a clear vision for a modern and highly efficient workplace by 2025. Lack of funding typically stalls any significant progress from an enterprise recordkeeping perspective often leaving business areas to resolve and fund their own issues in a silo fashion.

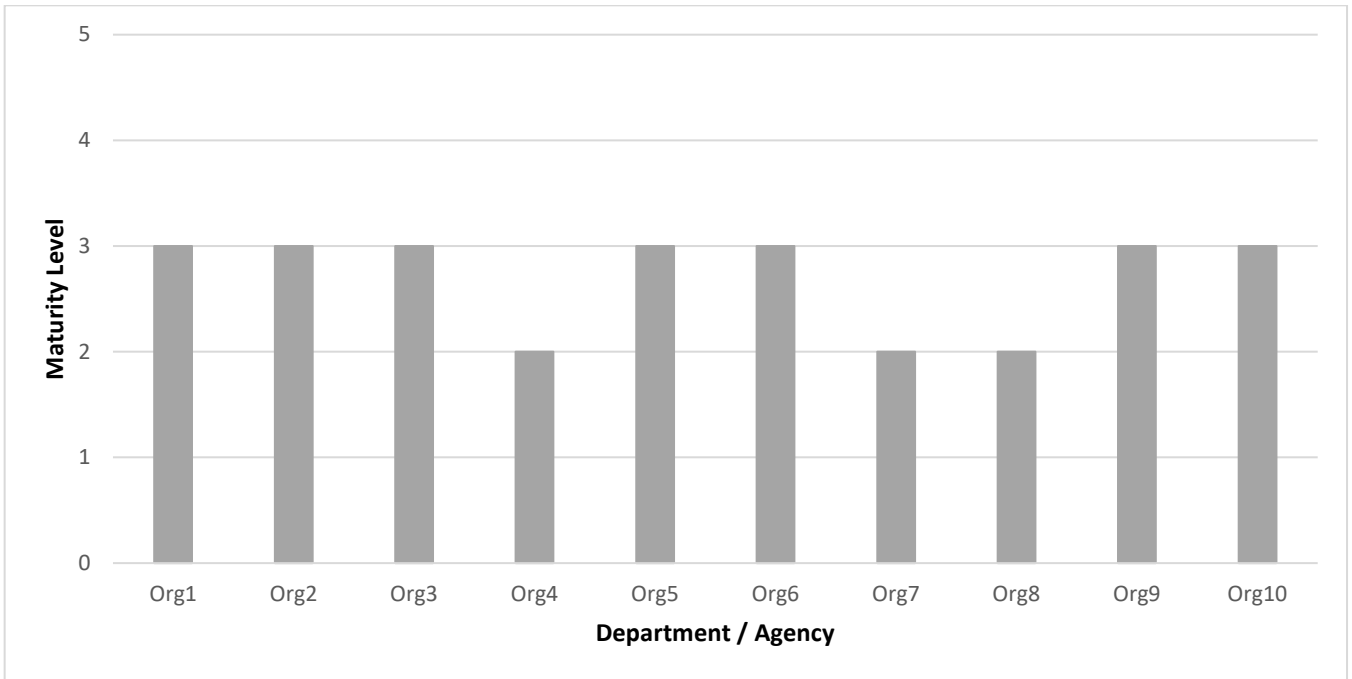


Figure 19a Question 4.2 rating levels– 2019-20 assessment

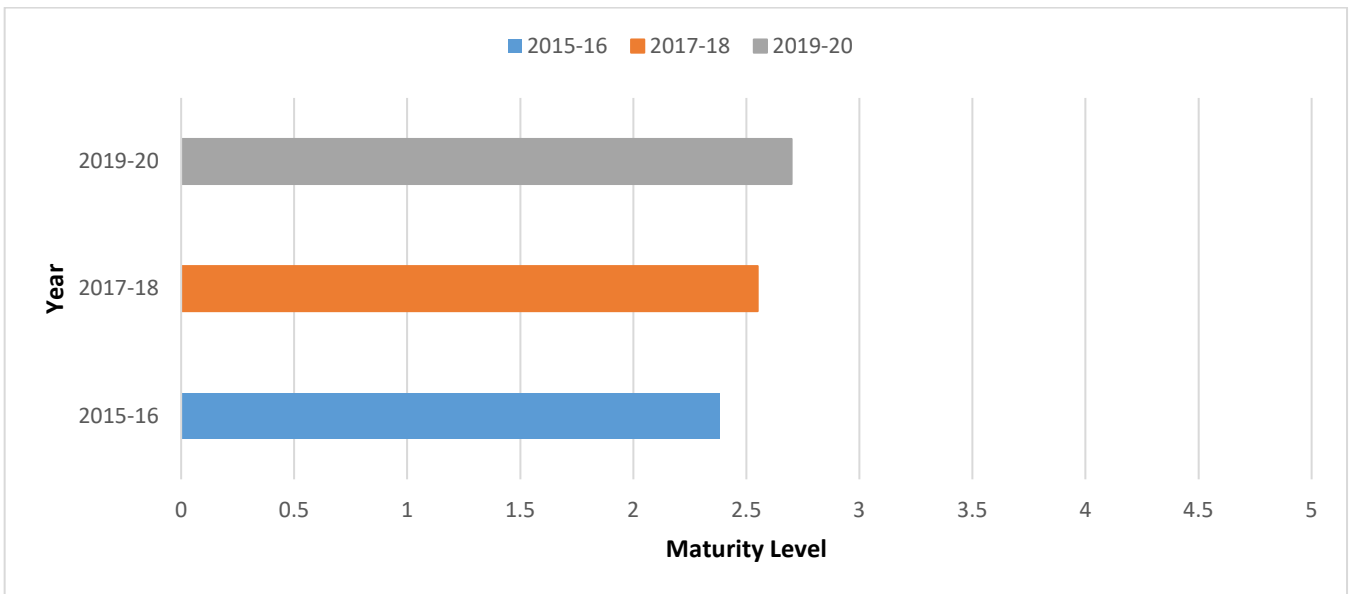


Figure 19b Question 4.2 rating levels– average comparison

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?

The majority of organisations recorded a rating of 'Formative' (level 3) while three are at 'Aware' (level 2) (see Figure 20a). Four participants showed a rise in maturity level while the remaining participants maintained the maturity level from the previous cycle. The overall average ratings (see Figure 20b) show a clear increase in maturity level rating in this space.

Stronger scores focused on utilising new technologies (such as M365/O365, ECM and EDRMS) alongside digitisation processes, eLearning and other online engagement tools, as being key to the successful delivery of IM strategy, especially in light of the move to remote working as a result of coronavirus (COVID-19). Active engagement, especially between IM and IT areas and to keep track of the needs of business units and divisions, was also an important factor.

Some examples of strengths identified by the participants include the following:

- new systems during procurement stages are security assessed prior to selection and security is integrated into the design of new systems during implementation and penetration testing prior to 'go live'
- core business systems integrated to manage business critical information across desktop, email, and ECM
- the importance of managing information within business information systems has been recognised and key systems are either integrated where possible, or are able to appropriately manage data in place
- the organisation has a commitment to consider IM and emerging technologies and tools moving forward and is beginning to engage with other agencies to create an information community around the journey to M365/O365, SharePoint and Teams.

Challenges in this space include ensuring that IM is considered when procuring and implementing new systems and promoting the importance of IM along with good records management practices as part of ongoing business more broadly across the organisation.

Some examples of weaknesses flagged by the participants include the following:

- systems have not always been evaluated against the requirements set out by relevant bodies, including PROV and OVIC
- some new solutions are put through a Technical Assurance Forum (TAF). This pipeline ensures systems and tools are effectively managed over their life. This is not yet implemented across the whole organisation and evidence suggests smaller scaled solutions in some parts of the business fail in its use entirely. As a result, IM requirements are most likely not being met
- IM is typically overlooked and reactive in nature. Enterprise IM capabilities are typically resolved and funded within silos. Policies and business rules are in place in accordance with PROV policies however, there is no formal training and education program to raise awareness on the importance of good recordkeeping (now and for years to come.) IM capabilities are not built into BAU
- progression will only occur through ongoing support and a commitment in the form of funds.

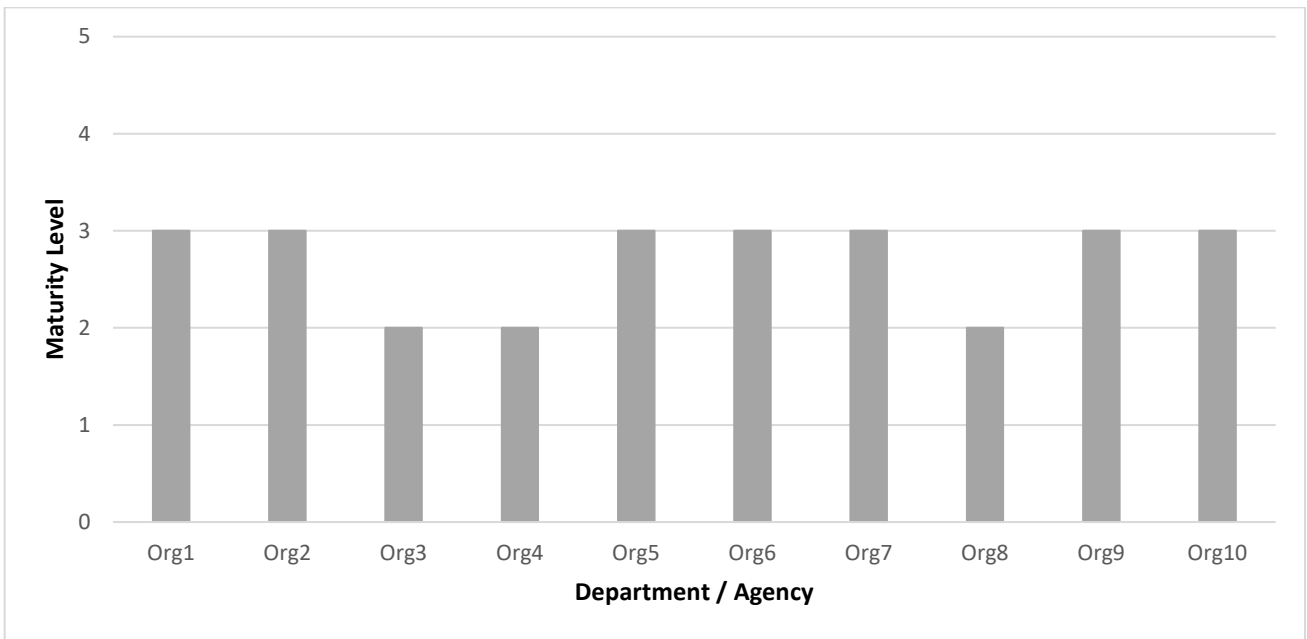


Figure 20a Question 4.3 rating levels– 2019-20 assessment

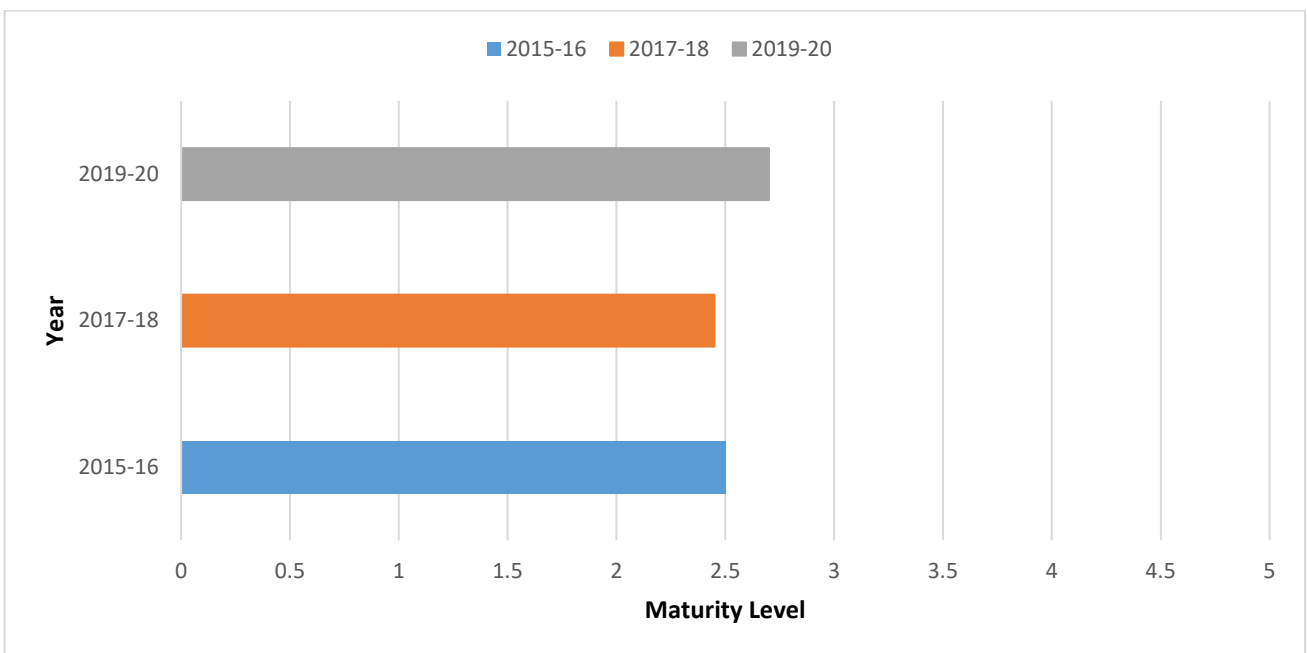


Figure 20b Question 4.3 rating levels– average comparison

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?

Overall, this question obtained the highest maturity level ratings for this assessment cycle. Org7 recorded a rating of 'Proactive' (level 5), while four participants recorded a rating of 'Operational' (level 4), three participants are at 'Formative' (level 3), and one at 'Aware' (level 2) (see Figure 21a). Improvements are shown by four participants while the remainder maintained the level achieved last cycle. The overall average comparison ratings (see Figure 21b) show a substantial rise in maturity in this area.

Factors that contributed to stronger scores include a dedicated, resourced and monitored information privacy and security program based on the relevant industry standards, proactive and regular compliance measurement and reporting using existing tools such as the PIA documents, and proactive compliance requirements for vendors at build or planning phases.

Some examples of strengths identified by the participants include the following:

- new system procurement requires prospective IT vendors to complete a set of security questions as part of the solution based on information security classification and business requirements
- privacy 'built in' to any activities or initiatives that may have privacy implications and facilitated by staff doing PIA as part of a project, for example the ICT Project Complexity Assessment tool indicates whether a Threshold Privacy Assessment or PIA is required dependant on inputs received from the user. The organisation's PIAs are designed to be consistent with OVIC requirements, and include formal written assessments of privacy, information security and (as relevant) recordkeeping obligations in relation to projects that involve the collection, use or disclosure of personal information. Completed PIAs identify privacy 'to do' items for project proponents to implement
- a strategy and compliance team are responsible for the delivery of a cyber security strategy, an information security strategy, and incident management and response simulations. PIA and cloud-based system assessments are conducted prior to information being shared with third party contractors
- the deployment of Surface Pros and M365/O365 across the organisation has increased protection of information by embedding two factor authentication and protective markings into daily practices.

Areas for improvement noted included embedding sound practices into the culture of the organisation and establishing or maintaining an information security committee.

Some examples of weaknesses flagged by the participants include the following:

- there remains work to be done in embedding sound practices into culture of the organisation
- organisation's information security is currently governed by the committee responsible for overseeing audit, risk and integrity with no specific Information Security Committee.

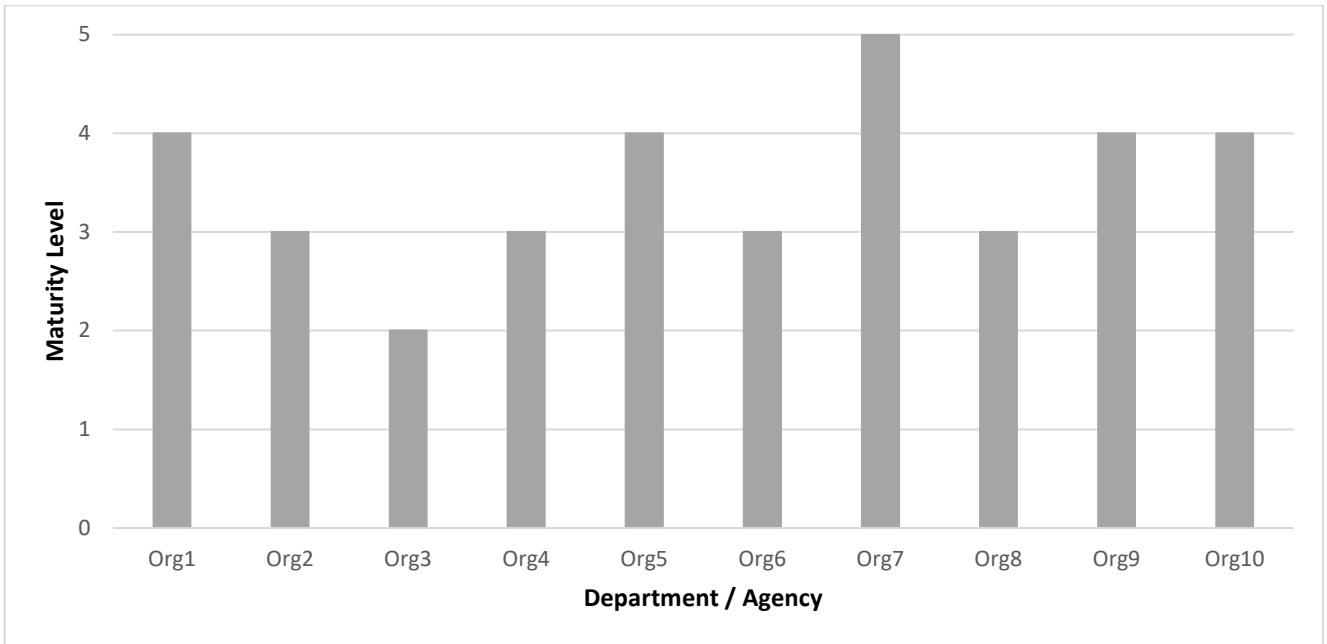


Figure 21a Question 4.4 rating levels– 2019-20 assessment

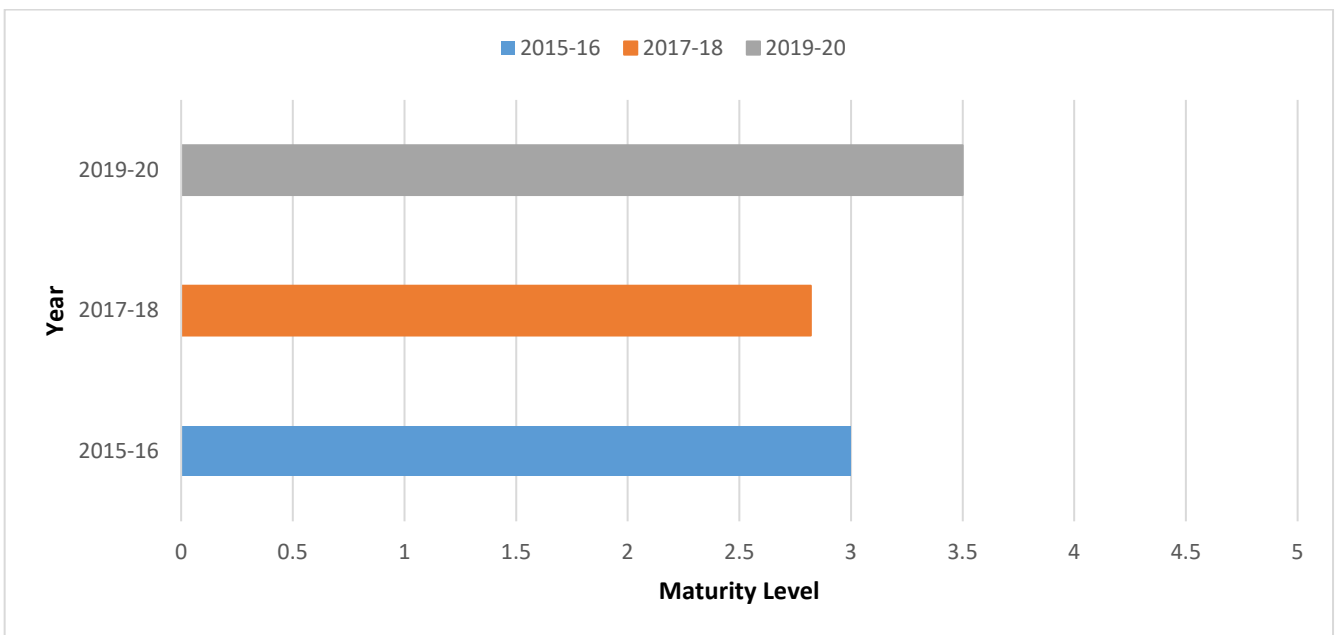


Figure 21b Question 4.4 rating levels– average comparison

Appendix A: Results Overview

Dimension	Question	Org1	Org2	Org3	Org4	Org5	Org6	Org7	Org8	Org9	Org10	2019-20	2017-18	2015-16
1. PEOPLE	1.1 Information Literacy & Responsibility	↑ 3	↑ 3	2	= 2	= 3	= 3	= 3	= 2	= 3	3	2.70	2.64	2.25
	1.2 Capability & Capacity	= 3	= 3	2	↑ 3	= 4	↑ 3	↓ 3	= 2	= 3	3	2.90	2.73	2.88
	1.3 Training, Support & Knowledge Sharing	↑ 3	= 3	3	↑ 3	= 4	= 2	↓ 3	↑ 3	↑ 3	2	2.90	2.36	2.5
2. ORGANISATION	2.1 Governance	= 4	= 4	2	↑ 3	= 3	↑ 3	↓ 3	= 2	↓ 3	3	3.00	3.00	3.38
	2.2 Information Management Vision & Strategy	↓ 3	↑ 4	3	↑ 4	↓ 3	↓ 2	↓ 3	= 2	= 3	3	3.00	3.09	3.13
	2.3 Strategic Alignment	↑ 3	↑ 4	2	↑ 3	↓ 3	↑ 3	↓ 2	= 2	= 3	3	2.80	2.82	2.5
	2.4 Management Support & Leadership	= 3	↑ 4	3	↓ 2	= 3	= 3	↓ 2	= 2	↓ 3	3	2.80	3.09	2.75
	2.5 Audit & Compliance	↑ 3	= 3	2	↑ 2	= 2	↑ 2	= 4	= 2	= 3	2	2.50	2.45	1.63
3. INFORMATION LIFECYCLE AND QUALITY	3.1 Asset Management	↑ 3	= 3	2	↑ 3	↓ 3	↑ 3	↑ 4	↑ 3	= 4	3	3.10	2.64	2.75
	3.2 Policies & Procedures	= 3	↑ 3	3	↑ 3	= 3	= 2	↑ 4	= 3	= 3	3	3.00	2.73	2.5
	3.3 Meeting Business Needs	↑ 3	= 3	3	↑ 2	= 3	= 2	= 3	= 2	= 2	3	2.60	2.36	2.38
	3.4 Accessibility & Discoverability	↑ 3	↑ 3	3	= 2	= 4	↑ 3	= 4	= 2	= 2	3	2.90	2.45	2.25
	3.5 Information Use & Re-use	↑ 3	= 3	2	↑ 3	= 3	↑ 3	= 2	= 2	= 3	2	2.60	2.36	2.25
4. BUSINESS SYSTEMS AND PROCESSES	4.1 Information Architecture	↑ 3	= 3	3	↑ 2	↓ 2	= 3	↓ 2	= 3	= 2	3	2.60	2.64	2.63
	4.2 Process Improvement	= 3	↑ 3	3	= 2	= 3	= 3	= 2	= 2	= 3	3	2.70	2.55	2.38
	4.3 Business Systems & Tools	↑ 3	↑ 3	2	↑ 2	= 3	↑ 3	= 3	= 2	= 3	3	2.70	2.45	2.50
	4.4 Information Privacy & Security	↑ 4	= 3	2	↑ 3	= 4	= 3	↑ 5	↑ 3	↑ 4	4	3.50	2.82	3.00
AVERAGES	2019-20	3.12	3.24	2.47	2.59	3.12	2.71	3.06	2.29	2.94	2.88			

Table 5 2019-20 IMMAP results with comparison against 2015-16 and 2017-18 averages.

Appendix B: Attributes of High/Low Rating Organisations

Responding organisations 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
People: 1.1: Information Literacy & Responsibility	<ul style="list-style-type: none"> definition of information asset refined to make registering valuable information assets easier and improve discoverability of data mandatory training in Records Management and EDRMS for all new starters; annual requirement for all staff eLearning supported by targeted training as required and a network of records liaison officers to build capability and compliance 	<ul style="list-style-type: none"> some perceived ambiguity between information management and records management responsibilities evidence of staff's lack of commitment through non-compliant behaviours and practices numerous information and data repositories, most of which do not meet legislative requirements only IM specialist roles address IM literacy or responsibility in position descriptions recordkeeping is often viewed as a burden as IM is not embedded into BAU practices current state is predominantly based on manual processes and paper records which presents a number of gaps
People: 1.2: Capability & Capacity	<ul style="list-style-type: none"> IM and data specialists are recruited to roles that predominately deal with data and IM programs of work to address IM capability are resourced and funded, within budget constraints IM Professional Capability Set documents the key skills, knowledge and behaviours required of IM professionals/IM accountabilities IM Staff are considered to be subject matter experts and consulted by other areas of the business on a regular basis 	<ul style="list-style-type: none"> consultation with data specialists in the development and implementation of business initiatives in the early stages is not yet established as common practice MOG changes have made a significant impact on the ability to implement parts of the IM strategy and funding has not been allocated to many parts of it IM Security and data specialist roles are appointed but are not sufficient for the amount of data managed. lack of information asset ownership and custodianship
People: 1.3: Training & Support	<ul style="list-style-type: none"> a Power BI community of practice has been established; Information Sharing and Privacy Working Group established; yammer groups established, helpdesks available for IM, records management, security, and privacy; knowledge is shared at monthly reference group meetings; network of Records Liaison Officers supports broader IM/RM training and capability formal training, maintained and reviewed regularly and all records of training are captured against individuals; training is offered following enhancements, upgrades and as requested; IM included in Induction material and in on-boarding procedures. practical guidance is provided during the PIA process by legal and information 	<ul style="list-style-type: none"> staff have not always been successful in accessing knowledge sharing resource training programs and advice lack structured governance

Questions	Attributes of High Rating	Attributes of Low Rating
	<ul style="list-style-type: none"> security to project proponents training videos and user guides available with topics ranging from information and records management compliance to how to update default security of records, naming conventions, and security framework IM Guide on How to Sort, Sentence, Destroy and Transfer records to Secondary Storage/Archives. The Guide is accessible online; invaluable during COVID-19 pandemic 	
Organisation: 2.1: Governance	<ul style="list-style-type: none"> Information Management and Technology Committee (IMTC) to lead, monitor and report on IM activities; ensures coordination, visibility and appropriate sponsorship of IM activities; chaired by an executive-level officer; representation from key business areas; provides advice to Executive Board a number of key divisions with specific interest in sound IM practices have established localised governance processes to supplement and support broader organisation-wide governance Information and Data Management team consult/advise on data governance initiatives policies and procedures for records management in place 	<ul style="list-style-type: none"> IM has previously held roles in governance groups but this has largely ceased in response to the MOG change no IM Governance Committee. EDRMS User Group has no governance reporting options currently Knowledge Management Committee has been inactive for some time. Staff leave and with the COVID-19 pandemic, many initiatives have not had the required presence or traction to maintain commitment
Organisation: 2.2: Information Management Vision & Strategy	<ul style="list-style-type: none"> IM Framework incorporates a number of targeted roadmaps for IM enablement. Significant collaboration between IM and business representatives was undertaken to align roadmaps to the organisation's vision, strategic objectives and business drivers. a number of divisions with specific interest in sound IM have developed divisional strategies to address IM needs and initiatives initiatives resourced and funded since the last review include improvements to information sharing/discoverability by systems IAR has been established and maintained by custodians. Records Standards compliance gap analysis has been completed and gaps addressed 	<ul style="list-style-type: none"> a number of divisions are less developed and less aware than ones with interest in IM due to MOG changes this strategy and roadmap requires updating and is due for reassessment and review the need for an IM strategy was realised in 2018, however little work has been done in this space still operates under the former organisation Information Strategy which was endorsed by the Executive Board in March 2018
Organisation: 2.3:	<ul style="list-style-type: none"> extensive stakeholder engagement has been undertaken to begin to enable or enhance the integration of IM 	<ul style="list-style-type: none"> there is limited strategic alignment between the IM strategy and other strategic planning in the organisation



Questions	Attributes of High Rating	Attributes of Low Rating
Strategic Alignment	<p>obligations and capabilities with other strategic planning in the organisation, with the implementation of this work progressing through the early stages of development</p> <ul style="list-style-type: none"> breach of privacy and confidentiality is recognised in the organisation’s Risk Framework managing personal and health information according to community expectations is included in the organisation’s strategy IM Strategy was a key source document for drafting the Information Management Professional Capability Set IM/RM is supported in the Risk Handbook; privacy and FOI promotes the importance of good records management practices to support their service delivery in presentations and inductions RM is included in procurement contracts and the ICT strategy as well as Environment Management through the reduction of paper by increased digitisation IM obligations are identified and acknowledged within other key documentation and policies 	<ul style="list-style-type: none"> due to MOG changes the organisation lacks in current strategy alignment across IM and other relevant strategies. Strategies have inherently been focused on the core activities of their functions and may only identify IM as part of those activities no IM Strategy for Business Divisions to follow when considering projects, development of policies or aligned with strategic planning in key areas like privacy, FOI or procurement there is little evidence that this measure is being adopted
Organisation: 2.4: Management Support & Leadership	<ul style="list-style-type: none"> PIAs are a key document required at the organisation’s Project Initiative Assessment Group (PIAG) breach of privacy and confidentiality is recognised in the organisation’s Risk Framework cyber security risks are reported in the organisation’s strategic risks report on a quarterly basis with KPI; the DGIT sub-committee providing oversight of the cyber security program dedicated CIO within Operations branch which has good access to all areas of the organisation. There is a growing awareness of the value of information and IM is regularly requested to provide advice to major organisation level business projects that have IM implications organisation has separated IMN/M/DM policy and governance from ICT. The Executive Director Assurance is responsible for these functions and represents IM/RM/DM issues at senior 	<ul style="list-style-type: none"> the Digital Information and Transformation Advisor role, suggested in the 2018 IM3 report, was not procured there is still support at the senior executive level, however further support and understanding from the business is required the purchase of an enterprise EDRMS to manage unstructured records, regardless of format, is currently unfunded due to other priorities until support is provided in the form of funding to purchase an EDRMS and to change the existing culture to end to end digitisation across the organisation, IM maturity will remain stalled



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>levels of the organisation from a strategic perspective. Business areas are responsible for representing and progressing their respective IM/RM/DM initiatives outlined in the strategy. Leadership increasingly recognises the importance of specialist IM/RM/DM practitioners, particularly as new businesses and services are established and the importance of establishing IM/RM/DM policies, procedures, systems upfront to reduce business risk</p>	
<p>Organisation: 2.5:</p> <p>Audit & Compliance</p>	<ul style="list-style-type: none"> external data releases must be under a data sharing agreement that requires the recipient to manage data according to legislation central Records Management Unit regularly self-assess compliance with the PROV mandated standards and undertake ICT System Assessments and Recordkeeping Compliance Assessments with branches/units security conduct system assessment and external penetration testing for new solutions/enhancements and ongoing reviews new projects that involve the collection, use or disclosure of personally identifying information are required to be formally assessed for privacy compliance in a written PIA, which assesses the project's compliance with key privacy legislation, information security requirements and (as relevant) record keeping obligations local internal audit completed to ensure compliance with new Professional Standards from OVIC CiC records audited to be completely captured and managed against RDAs; Record Services has undertaken a number of audit activities: new role for compliance and audit officer created and filled in early 2020: process for simplified assessment and approval of digitisation plans implemented: system compliance checklist implemented; compliance checklists for local storage; auditing framework in development records management monitoring program that works with individual business areas to assess their IM/RM practices and make recommendations 	<ul style="list-style-type: none"> limited number of core human services systems have periodic access audits MOG changes and organisational restructure have impeded the prior development of these programs (i.e., audit programs for IM) Records Standards compliance gap analysis was completed in 2013 and initiatives to address gaps have been developed in the IM team work plans. Progress has been slow due to limited resources and extensive IM Systems projects IM is within our Protective Data Security Plan, however there is no formal Audit Process further work is required to communicate and embed these practices across the organisation and address data management auditing and compliance regular auditing is a challenge when the organisation is predominantly paper based and doesn't support an EDRMS adequate resourcing and valuable measures are lacking. Managing millions of paper records, some of which are uncatalogued, requires all available resources to deliver BAU and critical services



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>for improvement compliance and practice. There is also follow up on status of recommendations</p> <ul style="list-style-type: none"> the Audit, Risk and Integrity Branch within the Corporate Services Group coordinates the annual internal audit program to review compliance with relevant legislation, policies and compliance. Components of IM have been audited such as security and maturity in line with the Victorian Protective Data Security Standards 	
<p>Info Lifecycle & Quality: 3.1:</p> <p>Asset Management</p>	<ul style="list-style-type: none"> initial information asset register of significant and critical information assets has been established Information asset governance roles have been defined an accreditation process for units that routinely share data has been instituted and requires units to undergo an assessment of their data management processes and training audit programs relating to the data quality (of information provided by the sector) are in place for limited number of data collections IAR has recently been revised by the Enterprise Technology Security Team to align with VPDSS v2 and incorporate Information assets from across the whole of the newly formed organisation established and well managed IAR with a process that is monitored annually Information about the information asset register available on the organisation's intranet identified all critical Information Assets and incorporated them into a central IAR. The process involved significant consultation with relevant custodians across the organisation including input from the Information Security Unit. OVIC endorsed full compliance 	<ul style="list-style-type: none"> outside of a few pockets of the organisation with higher levels of IM maturity (such as Performance and Evaluation Division), information asset management is generally handled through ordinary business processes, with limited input and advice from IM specialists custodians do not yet register and maintain information assets unless prompted to do so. significant work required by relevant teams to impress these responsibilities on organisational persons ongoing purpose or usefulness (strategic business planning/sharing/FOI) of the IAR has not yet been established
<p>Info Lifecycle & Quality: 3.2:</p> <p>Policies & Procedures</p>	<ul style="list-style-type: none"> Records Management Policy and associated documents align with Victorian Government standards the Digitisation Plan has been revised to apply to Statutory Authorities and Administrative Offices recordkeeping guides and factsheets are published to the Funded Agency 	<ul style="list-style-type: none"> staff are not always familiar with these documents, nor have always aligned local practices and protocols to them. Some staff found that training and communication in relation to IM policies and procedures have been inadequate IM Policies and frameworks exist as part of legacy agencies. Some initial work and



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>Channel (FAC) to support compliant recordkeeping. News items/email blasts advise/alert important recordkeeping requirements such as a records disposal freeze due to royal commission</p> <ul style="list-style-type: none"> • data requests are subject to robust processes to ensure compliance with legislation. This includes approval by data custodians for use of the data, development of a PIA where required, and approval by an accredited Human Research Ethics Committee. All external users must complete a Deed of Acknowledgment and Confidentiality outlining conditions of access (with signatures from all recipients and the organisation legally responsible) • policy and standards have an accompanying policy exemption process in place in order to address issues where a policy clause cannot be made. Breaches of policy are addressed when a significant or critical vulnerability is evident • guidelines to assist staff in day to day practice of IM and security have been developed and are regularly reviewed. Information Security Hub to help staff easily locate tools has been developed • polices are reviewed annually and endorsed by an accountable Executive Officer. Changes to policies are communicated to all staff through the internet 	<p>planning has commenced to create frameworks and new policies to meet the requirements of the organisation. It has been identified that additional resources and time are required to perform this task</p> <ul style="list-style-type: none"> • some breaches occur; not all policy breaches are prosecuted on every occasion • With the proliferation of systems and processes to support remote working arrangements being established as a priority, the guidelines and policies to support this are still being developed and IM/RM is having to catch up. Existing policies and procedures need to be reviewed and updated in light of these new platforms such as M365/O365 and SharePoint • policies are in need of a review
<p>Info Lifecycle & Quality: 3.3:</p> <p>Meeting Business Needs</p>	<ul style="list-style-type: none"> • implementation of key initiatives such as the Common Data Layer to better enable the data access and management needs of the organisation • Information and Data Management unit actively consults on IM matters and supports business users across the organisation • key health data collections are assessed annually to determine if the data is meeting business needs • some established processes to ensure information quality • information is largely captured in authorised systems and regularly accessed by all staff to complete their work • the organisation has defined through 	<ul style="list-style-type: none"> • effort to address data quality issues is stronger in some areas of the organisation than others • M365/O365 is presenting a fresh challenge to recordkeeping • a solution is being sort for files which aren't appropriate for SharePoint • development of a Records/Information (Knowledge Management Strategy) needs to be further developed. The most current strategy was developed in 2017 and little progress has been made • some Business Units manage their records and information quality well. However, this is not consistent across the organisation • some data quality statements were initially developed but more work needs to be undertaken in this area



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>policy that ECM - a SharePoint solution is the documents management system and as such the location where our documents are record managed</p> <ul style="list-style-type: none"> • there has been a six month activity to move away from using shared drives across the organisation • Senior Executive acknowledge the importance of accurate, complete and current information and quality record keeping • some in roads have been made to improve efficiency through the completion of several modernisation/digitisation projects, majority impacting on frontline policing and critical operations 	
<p>Info Lifecycle & Quality: 3.4:</p> <p>Accessibility & Discoverability</p>	<ul style="list-style-type: none"> • implementation of M365/O365 has increased our access to information and made it more available • Records Management Unit continues to reinforce its policy statement relating to capture of records into compliant records management systems in parallel to the use of collaboration tools such as SPO and Teams • Common Data Layer (CDL) is a secure, managed central location where organisation datasets are stored, discovered, used and shared • access to data is managed to ensure that data and information are shared or protected as appropriate • Business Classification Scheme is in place to ensure records are easily found, identified and retrieved • in-house digitisation capability to digitise and distribute inbound mail (state-wide) and digitise its extensive collection of physical files • controlled information has been defined and specific access controls have been implemented across the organisation • started to classify emails and documents with sensitivity labels so we can start to meet our protective security obligations • caveats and other access control tools are available in CM to protect sensitive information • information and Records Management Policies are available on the intranet. 	<ul style="list-style-type: none"> • some frustrations around issues such as a reliance on staff corporate knowledge, difficulties searching the intranet, and differing levels of proficiency in the use of SharePoint. Staff have more difficulty locating information for the realisation of non-typical or innovative opportunities • implementation of M365/O365 has presented a challenge for discoverability of the right information • two major corporate information repositories owned by two of the legacy agencies. This presents obstacles for the organisation in the finding, sharing and reuse of information • aware of multiple other non-compliant information repositories • COVID-19 pandemic has affected accessibility and staff may be using other depositories to have access to records. Use of CM is varied across the organisation • Records are locked down to the individual team who has created them by default. This restricts reuse of information by other teams • one of our critical assets is not kept on CM, rather T Drive • increasing development of systems through SharePoint and M365/O365 to manage information and records, particularly to support remote working arrangements has shown the need for the development of improved procedures for information capture and application of metadata to improve discoverability and access • discovery of all information on any given subject matter can be difficult to source



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>Record keeping practice and EDRMS tools are supported by a business focused and industry experienced Records Management team. During the past few months with all staff working from home SharePoint has become the default repository for storing and accessing draft documents etc.</p>	<p>depending on the complexity of the search e.g. for Royal Commissions, FOI requests, subpoenas and legal cases. Consequently, substantial resources and expense is required to conduct searches and cross checks across multiple systems and formats. The ability to conduct thorough and diligent searches and locating all relevant information with absolute confidence is compromised when not all information is catalogued and searchable. In these instances, staff resort to consulting with longer serving colleagues for more context or searching through hundreds of documents/archive boxes with no guarantee of finding what they need. Over the years the organisation's recordkeeping practices have had a negative impact on their reputation</p>
<p>Info Lifecycle & Quality: 3.5:</p> <p>Information Use & Re-Use</p>	<ul style="list-style-type: none"> • a number of divisions have introduced standards and procedures to facilitate consistent information collection, description and organisation • implementation of the Common Data Layer aids access to/sharing information for business intelligence and analytics • accreditation process for units that routinely share data has been instituted and requires units to undergo an assessment of their data management processes and training • external data releases must be under a data sharing agreement that requires the recipient to manage data according to legislation and Information Privacy, Security and or Health Information Privacy Principles • adoption of ECM across organisation ensures that the appropriate metadata is being assigned to files held within this system. • standards and procedures have been developed that support consistent information collection and reduce duplication. Information assets are shared and re-used across the organisation where appropriate. There are good pockets of the organisation proactively releasing information with a strong focus on building Business Intelligence and analytics to support reporting and evidence-based decisions • information is a valuable asset within 	<ul style="list-style-type: none"> • outside of the Performance and Evaluation Division, information sharing practices between divisions are often ad-hoc, with unclear authorisation and accountability processes • challenges around multiple systems which may impact on data quality and the ability to support informative decision making. There is a known need to consolidate systems and information from different sources • operational data exists for immediate needs but may not be easily identified for future use. The quality of Information may also be subjective i.e., the person who created it can interpret • information created is largely single use with little consideration for future access. This is due to current access control policies (locking records down to the team that created them) and lack of understanding of security seatings and caveat tools in CM • the organisation still operates siloed, and the cross-sharing of information is not always easy. Majority of Information created is largely single use • the actual location of physical files/information is often compromised when the location status on the RMS is not updated by staff



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>the organisation. Processes are in place to ensure the right people have access to the right information at the right time in accordance with roles and security controls. Information born digitally is typically printed and attached to hard copy files which are circulated manually across the organisation</p>	
<p>Business Systems & Processes: 4.1:</p> <p>Information Architecture</p>	<ul style="list-style-type: none"> • dedicated enterprise architecture team ensuring alignment with other appropriate models • our Systems' register captures and manages all Business Information Systems and their related business capabilities and supporting technologies which are regularly reviewed by the Architecture and Security teams • Enterprise Information Architecture refresh and uplift initiatives are being incorporated into the organisation's Technology Data and Cyber Strategy • the organisation has employed an information architect • The organisation has a focus on Enterprise Architecture and continues to document the architecture within individual information systems • progress has been made to embed Information Architecture into the draft IM Strategy including a roadmap of various stages/horizons to improve IM maturity over the next five years 	<ul style="list-style-type: none"> • not yet been an organisation-wide analysis of business requirements, systems, and processes • legacy agencies have implemented information architecture models. Prior to MOG changes significant work in this area had been undertaken and work has commenced to consolidate the information architecture practice across the organisation • no cohesive overarching information architecture has been produced to date • Information Architecture is a dedicated function, but its effectiveness cannot be optimised due to the large number of systems in use across the organisation and the fragmented operational environment. To date decisions occur at a high level with limited stakeholder consultation or input from subject matter experts
<p>Business Systems & Processes: 4.2:</p> <p>Process Improvement</p>	<ul style="list-style-type: none"> • a number of working groups have been created to address specific areas where the alignment of business processes to IM requirements offers practical benefits to the organisation • divisions across the organisation regularly incorporate IM-related concerns in the review and continual improvement of business processes • the Common Data Layer provide easier access to data across the organisation, by decoupling the operational systems, environments and integration from the sharing of the data from these systems • units that release data on a regular basis can be 'accredited' to release data according to agreed delegations from the data custodian, removing the need to attain authorisation for each release 	<ul style="list-style-type: none"> • IM-related concerns in the review and continual improvement of their own business processes are not always flagged specifically as IM initiatives • however, more broadly across the organisation there is still work to be done on identifying and aligning business processes with information and data management requirements to better support the future work environment with a focus on systems to support increased digitisation/automation of processes • the current IM profile is low however the appetite is steadily increasing which is demonstrated through the re-invigorated IMGC, draft IM Strategy and a clear vision for a modern and highly efficient workplace by 2025. Lack of funding typically stalls any significant progress from an enterprise



Questions	Attributes of High Rating	Attributes of Low Rating
	<ul style="list-style-type: none"> • New IT and data initiatives are assessed by the Project Initiative Assessment Group for alignment with IM Strategy before implementation • SharePoint Architecture now approved and being implemented to provide a standardised approach to IM in M365/O365, incorporating standard metadata • introduction of TRIM EDRM, M365/O365 SharePoint/Teams, a briefing management system, several other systems & introduction of inbound mail digitisation support a digital approach • launch of a Digitisation Office capable of digitising any kind of hardcopy records or documents received by mail (for example invoices). This infrastructure meets PROV Standards, including digitisation of documents at 300 dpi. • M365/O365 is being progressively implemented which is leading to a streamlined approach to managing information • Records Services have developed a hard copy records disposal procedure and guideline (draft) • development of an electronic briefing and correspondence (EBC) system that supports 11 critical business processes. Final approved records in the EBC are closed and moved to TRIM as the organisation approved electronic document system. EBC is supported by user guides, strong governance arrangements and considered information and records management practices. This work resulted in significant re-engineering of these business processes to improve efficiencies and reduce duplication of information and effort 	<p>recordkeeping perspective often leaving business areas to resolve and fund their own issues in a silo fashion</p>
<p>Business Systems & Processes: 4.3:</p> <p>Business Systems & Tools</p>	<ul style="list-style-type: none"> • Electronic Document and Records Management capability and M365/O365 implemented. Ongoing training and change management is in place to drive adoption and benefits realisation • Records Management Unit undertake ICT System Assessments with branches/units 	<ul style="list-style-type: none"> • systems have not always been evaluated against the requirements set out by DPC, PROV and OVIC • some new solutions are put through a Technical Assurance Forum (TAF). This pipeline ensures systems and tools are effectively managed over their life. This is not yet implemented across the whole organisation and evidence suggests smaller



Questions	Attributes of High Rating	Attributes of Low Rating
	<ul style="list-style-type: none"> information sharing applications established (such as L17, RAMPS) that share information and comply with Victorian Government requirements. new systems during procurement stages are security assessed prior to the selection and security is integrated into the design of new systems during implementation and penetration testing undertaken prior to 'Go live' core business systems integrated to manage business critical information across desktop, email, CM and CBM Enterprise Architecture Review Board confirms that new systems are conforming to organisation standards the importance of managing information within Business Information Systems has been recognised and key systems are either integrated where possible, or are able to appropriately manage data in place the organisation has a commitment to consider IM and emerging technologies and tools moving forward and is beginning to engage with other agencies to create an information community around the journey to M365/O365, SharePoint and Teams 	<p>scaled solutions in some parts of the business fail in its use entirely. As a result IM requirements are most likely not being met</p> <ul style="list-style-type: none"> IM is typically overlooked and reactive in nature. Enterprise IM capabilities are typically resolved and funded within silos. Policies and business rules are in place in accordance with PROV polices however, there is no formal training and education program to raise awareness on the importance of good recordkeeping (now and for years to come.) IM capabilities are not built into BAU progression will only occur through ongoing support and a commitment in the form of funds
<p>Business Systems & Processes: 4.4:</p> <p>Information Privacy & Security</p>	<ul style="list-style-type: none"> new system procurement requires prospective IT vendors to complete a set of security questions as part of the solution based on information security classification & business requirements privacy to be 'built in' to any activities or initiatives that may have privacy implications. Facilitated by staff doing PIA as part of a project, for example the ICT Project Complexity Assessment tool indicates whether a Threshold Privacy Assessment or PIA is required dependant on inputs received from the user as to whether the project is dealing with client or clinical information. The organisation's PIAs are designed to be consistent with OVIC requirements, and include formal, written assessments of privacy, information security and (as relevant) record-keeping obligations in relation to projects that involve the collection, use or disclosure of personal information. Completed PIAs identify 	<ul style="list-style-type: none"> there remains work to be done in embedding sound practices into culture of the organisation organisation's Information Security is currently governed by the "Audit, Risk and Integrity Committee" (ARIC) with no specific Information Security Committee



Questions	Attributes of High Rating	Attributes of Low Rating
	<p>privacy 'to do' items for project proponents to implement</p> <ul style="list-style-type: none"> • a Strategy and Compliance team are responsible for the delivery of the Organisation's Cyber Security Strategy, Information Security Strategy and Incident Management and Response simulations. PIA and Cloud-Based System assessments are conducted prior to information being shared with third party contractors • the deployment of Surface Pros & M365/O365 across the organisation has increased protection of information by embedding 2 factor authentication and protective markings into daily practices • new Executive Director Assurance with overall responsibility for information and records management, information privacy, cyber security and the VPDSF standards. Policies and procedures have a high level of maturity that ensures compliance with relevant standards. Processes for reporting incidents are in place and well communicated, including clear procedures and points of contact. The organisation has a high level of privacy maturity and regularly conducts Privacy Impact Assessments and Security Risk Assessments. Established policies, procedures, and practices in place with regards to privacy, and incident and complaints management and mandatory privacy and security training required to be undertaken by all staff. There is also a large network of privacy coordinators across the organisation who are inducted, trained, and informed about privacy related matters including the requirement to report incidents/complaints to the central privacy team 	

Table 6 – High and low rating attributes

Appendix C: IM3 Questions



Information Management Maturity Measurement

Questionnaire

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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 organisation contribute to good Information Management.

Question 1.1: Literacy & Responsibility



Are staff in your organisation aware of their information management responsibilities? Is information regarded and treated as a valuable asset?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Staff are aware of the importance of information and data management to the organisation and their responsibilities in relation to it. Staff are educated and encouraged to exploit information and data to the fullest. They actively engage in new IM initiatives and seek better understanding of the organisation's information assets. Staff IM and data management responsibilities are defined in documentation such as policies, processes and job descriptions. IM training is provided during staff on-boarding/orientation. IM and data management training programs are in place in the organisation and are reviewed and updated as required.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM literacy and responsibility.
- Aware** The organisation has an awareness of IM literacy and responsibility, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM literacy and responsibility. There will be evidence of a planned approach, even if it is not fully implemented in some areas
- Operational** The organisation has completed implementation of planned initiatives in regard to IM literacy and responsibility, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM literacy and responsibility through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 1.2: Capability & Capacity



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

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

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM capability and capacity
- Aware** The organisation has an awareness of IM capability and capacity, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM capability and capacity. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM capability and capacity, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM capability and capacity through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

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 information management responsibilities?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has established initiatives to help build the IM culture, foster positive attitudes to IM and educate staff on their IM responsibilities. Staff have access to a range of internal or external IM, data management 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, manuals and reference guides are available to staff.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM training, support and knowledge sharing
- Aware** The organisation has an awareness of IM training, support and knowledge sharing, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM training, support and knowledge sharing. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM training, support and knowledge sharing, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM training, support and knowledge sharing through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

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



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An internal Information Management Governance Committee (IMGC), or similar has been established to lead, monitor and report on information management activities. The IMGC ensures coordination, visibility and appropriate sponsorship of information management activities within the organisation. The IMGC 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 IMGC.

Choose the maturity level below that best describes your organisation's current situation.

- | | | |
|--------------------|--------------------------|--|
| Unmanaged | <input type="checkbox"/> | The organisation is either unaware, or has taken no steps to address IM governance. |
| Aware | <input type="checkbox"/> | The organisation has an awareness of IM governance, but that there is little practical evidence of action. |
| Formative | <input type="checkbox"/> | The organisation is actively addressing IM governance. There will be evidence of a planned approach, even if it is not fully implemented in some areas. |
| Operational | <input type="checkbox"/> | The organisation has completed implementation of planned initiatives in regard to IM governance, and the initiatives are operating to a reasonable standard. |
| Proactive | <input type="checkbox"/> | The organisation has a dedicated commitment to achieving IM governance through innovation and/or learning based on ongoing monitoring and review. |
| Unknown | <input type="checkbox"/> | Unknown/Need to obtain more information |
| N/A | <input type="checkbox"/> | Not applicable to my organisation. |

Evidence to support selected rating

Question 2.2: Vision & Strategy



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An Information 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 IM needs and initiatives. The Strategy adequately highlights organisation-wide IM issues, major risks, desired results and the resource implications. Strategy development was achieved through collaboration between IM and business representatives to align to the organisation's vision, strategic objectives and business drivers. The IM strategy is assessed for improvement on an annual basis. The initiatives of the IM strategy are resourced and funded.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM vision and strategy
- Aware** The organisation has an awareness of IM vision and strategy, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM vision and strategy. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM vision and strategy, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM vision and strategy through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 2.3 Strategic Alignment



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

IM obligations are identified and acknowledged in other key organisation policies. The IM Strategy is aligned with and/or integrated with other strategic planning in the organisation (e.g. Risk, Privacy, FOI, ICT, Procurement, or Environmental Management Strategies). IM capabilities are built into the business through strategy, policy and projects. New organisation projects and initiatives identify IM implications, dependencies and synergies.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM strategic alignment.
- Aware** The organisation has an awareness of IM strategic alignment, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM strategic alignment. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM strategic alignment, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM strategic alignment through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 2.4 Management Support & Leadership



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has appointed an executive level Chief Information Officer and/or Chief Data Officer (or equivalent). IM interests and issues are represented at executive level and are given appropriate consideration. IM policies and practices are actively supported by Senior Management and Middle Management. Leadership understands IM issues and practices and seek additional specialist information when needed.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM management support and leadership.
- Aware** The organisation has an awareness of IM management support and leadership, but that there is little practical evidence of action
- Formative** The organisation is actively addressing IM management support and leadership. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM management support and leadership, and the initiatives are operating to a reasonable standard..
- Proactive** The organisation has a dedicated commitment to achieving IM management support and leadership through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

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?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

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

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM auditing and compliance.
- Aware** The organisation has an awareness of IM auditing and compliance, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM auditing and compliance. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM auditing and compliance, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM auditing and compliance through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

3. Information Lifecycle & Quality

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

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?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation's significant information assets (i.e. discrete collections of data or information that is recognised as valuable to the organisation) and critical information assets (i.e. subsets of significant information assets that are considered high value/high risk or vital to the organisation) have been identified. 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 (or equivalent). 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.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address information asset management.
- Aware** The organisation has an awareness of information asset management, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing information asset management. There will be evidence of a planned approach, even if it is not fully implemented in some areas
- Operational** The organisation has completed implementation of planned initiatives in regard to information asset management, and the initiatives are operating to a reasonable standard
- Proactive** The organisation has a dedicated commitment to achieving information asset management through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 3.2: Policies & Procedures



Does the organisation have fully developed and implemented Information Management policies that align to relevant legislation and standards? Are these policies supported by documented procedures?.

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has established IM 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. IM procedures have been established and implemented within the organisation. 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.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address IM policies and procedures..
- Aware** The organisation has an awareness of IM policies and procedures, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM policies and procedures. There will be evidence of a planned approach, even if it is not fully implemented in some areas
- Operational** The organisation has completed implementation of planned initiatives in regard to IM policies and procedures, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM policies and procedures through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 3.3: Meeting Business and User Needs



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has established processes and/or a program to address information quality issues (ensuring information is accurate, consistent, complete and current). An analysis of information assets has been conducted to determine if information 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. On the whole, information is fit for purpose and/or can be tailored to meet business needs.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address information business and user needs.
- Aware** The organisation has an awareness of information business and user needs, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing information business and user needs. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to information business and user needs, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving information business and user needs through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

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?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

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. Definitions and standards are used to increase the findability of information. Sufficient metadata is provided to correctly identify and locate information. Access to controlled information sources has been defined and implemented. Procedures have been implemented for information capture, the application of metadata, information access, storage and retrieval.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address information accessibility and discoverability.
- Aware** The organisation has an awareness of information accessibility and discoverability, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing information accessibility and discoverability. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to information accessibility and discoverability, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving information accessibility and discoverability through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 3.5: Information Use & Re-Use



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Organisation standards/procedures have been introduced to facilitate consistent information collection, description and organisation, and to prevent information duplication. Digital continuity strategies are in place. Information 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. Where appropriate, information is released to the public. Custodians work with information users to support the usability of information. The organisation is able to leverage their information for business intelligence and analytics. Data exchanges occur using standard interfaces and formats.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address information use and re-use.
- Aware** The organisation has an awareness of information use and re-use, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing information use and re-use. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to information use and re-use, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving information use and re-use through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

4. Business Systems & Processes

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

Question 4.1: Information Architecture



Has the organisation developed an Information Architecture model? To what degree does it link to other relevant models?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has developed an information 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, and
- strategies, standards and legislation.

The model is managed and resourced and maintained accordingly. The information architecture aligns to other models such as the IT and Data Architectures.

Choose the maturity level below that best describes your organisation's current situation.

- | | | |
|--------------------|--------------------------|--|
| Unmanaged | <input type="checkbox"/> | The organisation is either unaware, or has taken no steps to address an information architecture. |
| Aware | <input type="checkbox"/> | The organisation has an awareness of information architectures, but that there is little practical evidence of action. |
| Formative | <input type="checkbox"/> | The organisation is actively addressing an information architecture. There will be evidence of a planned approach, even if it is not fully implemented in some areas |
| Operational | <input type="checkbox"/> | The organisation has completed implementation of planned initiatives in regard to an information architecture, and the initiatives are operating to a reasonable standard. |
| Proactive | <input type="checkbox"/> | The organisation has a dedicated commitment to achieving an information architecture through innovation and/or learning based on ongoing monitoring and review. |
| Unknown | <input type="checkbox"/> | Unknown/Need to obtain more information |
| N/A | <input type="checkbox"/> | Not applicable to my organisation. |

Evidence to support selected rating

Question 4.2: Process Improvement



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

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

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address an IM process improvement.
- Aware** The organisation has an awareness of IM process improvement, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing IM process improvement. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to IM process improvement, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to achieving IM process improvement through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 4.3: Business Systems & Tools



Are information management capabilities built into business systems and tools?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

IM specialists works together with IT, RM and DM specialists as required to manage existing and/or implement new systems and tools. Information (including data and records) 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 Office of the Information Commissioner. The organisation encourages and adopts improvements to system and tool IM capabilities. Systems and tools are effectively managed over their life, from acquisition to decommissioning, to ensure their integrity, reliability and performance.

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address building IM capabilities into business systems and tools.
- Aware** The organisation has an awareness of building IM capabilities into business systems and tools, but that there is little practical evidence of action
- Formative** The organisation is actively addressing building IM capabilities into business systems and tools. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to building IM capabilities into business systems and tools, and the initiatives are operating to a reasonable standard
- Proactive** The organisation has a dedicated commitment to building IM capabilities into business systems and tools through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating

Question 4.4: Information Privacy & Security



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

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 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 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

Choose the maturity level below that best describes your organisation's current situation.

- Unmanaged** The organisation is either unaware, or has taken no steps to address information privacy and security management.
- Aware** The organisation has an awareness of information privacy and security management, but that there is little practical evidence of action.
- Formative** The organisation is actively addressing information privacy and security management. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
- Operational** The organisation has completed implementation of planned initiatives in regard to information privacy and security management, and the initiatives are operating to a reasonable standard.
- Proactive** The organisation has a dedicated commitment to information privacy and security management through innovation and/or learning based on ongoing monitoring and review.
- Unknown** Unknown/Need to obtain more information
- N/A** Not applicable to my organisation.

Evidence to support selected rating