IM3

Information Management Maturity Measurement

Instructions & Guidance

Version 1.6, January 2018

Public Record Office Victoria

VICTORIA State Government

Contents

What is the purpose of this assessment?

The IM3 is designed for staff in Victorian Government agencies to assess the level of development of Information Management (IM) strategies and practices in their organisation. It has been developed by PROV to assist government staff to negotiate the complex requirements of today's IM environment.

Results from this assessment can be used to:
- identify strengths and weaknesses in information management
- prioritise areas of information management in the organisation that need attention
- link to relevant WOVG documents, standards and guidelines
- assist in setting goals for information management capability and skills development
- support a case for resources or initiatives to improve information and records management.

This is not a compliance checklist – it is a self-assessment to determine the maturity of information management strategy, planning and practice within an organisation.

Note: The term 'organisation' is used throughout this document to refer to the department, agency, statutory authority or business unit who is undertaking the assessment.

How will this assessment benefit me?

The benefits of completing this assessment are that you will be able to:
- Better identify areas of strength and weakness in information management in your organisation, and work towards strengthening those areas.
- Know where to start on your information management maturity journey.
- Use the information to support your applications for funding information-related projects or resources.
- When PROV publishes the WoVG results, you will be able to benchmark and identify areas of best practice in Victorian Government.

Who should complete this assessment and when?

Any person with an interest in the organisation's information management planning and practices can undertake an IM3 assessment at any time. For example the:
- Information & Communications Technology (ICT) Manager
- Records Manager
- Business Manager.

These assessments can be performed as required, ideally on an annual basis so that results may inform annual strategy and planning for the organisation.

Note: In many cases, it will be appropriate for more than one person to collaborate on the assessment, with each person contributing information on questions related to their area of expertise or knowledge, e.g. operations, strategy and training.
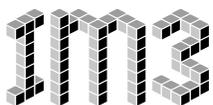
How much time will it take?

There is no set time for completing this assessment, although you will require at least one hour. The time required will depend upon:

- the information you have available to answer the questions
- whether you have to consult with others to obtain more information
- your familiarity with the concepts in the assessment.

What does the assessment involve?

The assessment requires you to complete information about your organisation, and answer 17 questions about different aspects of your organisation's current IM practices, policies and processes. Questions are divided into four 'dimensions' or areas:

1. PEOPLE
2. ORGANISATION
3. INFORMATION LIFECYCLE & QUALITY
4. BUSINESS SYSTEMS & PROCESSES

For each question, you will be asked to select your organisation's current 'maturity' using a scale of 1 to 5, with 1 being the least developed and 5 the most developed.
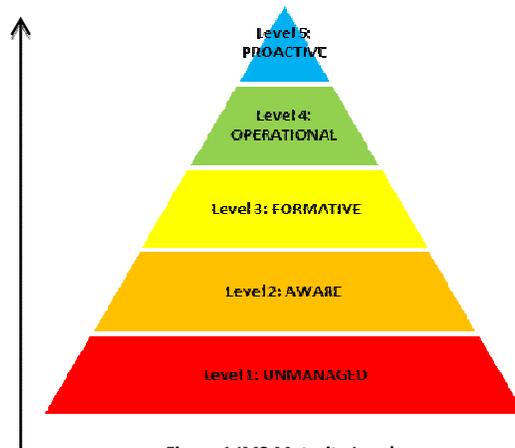
Figure 1 IM3 Maturity Levels

You will then be provided with a graph and table of your results.

Please note that this tool is not a compliance checklist, and there is no pass or fail associated with the results. The objective of the assessment is you to obtain an overall understanding of where the organisation currently is and could be on a range of Information Management measures, and to provide access to resources that will assist with this journey.

Are the questions about paper or electronic information, or both?

These questions apply to all types of information associated with your organisation, both hard copy and electronic. This includes:

- information stored in traditional paper and electronic recordkeeping systems
- information on shared and network drives
- information stored in other repositories (e.g. databases, SharePoint, statistical databases, customer information systems, operational support systems)
- information that you publish to the intranet and internet
- emails, websites, instant messages and social media.

What if I don't know the answer to a question?

It is not expected that you will know all the necessary information the first time you read through the questions – you will probably have to consult with other content experts in your organisation to obtain answers to some questions.

- You can leave the question marked as 'Unknown/Need to obtain more information' while you consult with others.
- If you think that the question is not relevant to your organisation or area, you may select 'Not Applicable' (Unofficial assessments only).

Does this assessment provide a plan for IM in the organisation?

This assessment will provide you with a general direction for information management in your organisation, but it should be completed in conjunction with a wider program of strategic initiatives.

For example, the following project outline explains where the IM3 assessment may fit in with an organisation's wider IM strategy:

- Initiative 1 : Determine key stakeholders and establish governance process
- Initiative 2 : Define business capabilities and engage business leaders
- Initiative 2 : Undertake a strategic business information assessment
- Initiative 3 : Baseline Information Maturity (using this IM3 tool)
- Initiative 4 : Develop a formal risk-based IM Strategy
- Initiative 5 : Implement key priorities and demonstrate benefits
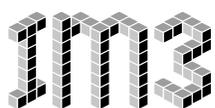
What is Information Management?

This assessment asks you to consider the broad scope of activities in your organisation related to information management, as highlighted by the following description:

> "Information management is the way in which an organisation plans, identifies, creates, receives, collects, organises, governs, secures, uses, controls, disseminates, exchanges, maintains, preserves and disposes of its information. It is also the means through which the organisation ensures that the value of that information is identified and exploited.
>
> The primary aim of information management is to ensure that the right information is available to the right person, in the right format and medium, at the right time."[1]

When answering the questions, keep in mind the full range of information management-related activities that may take place in your organisation, even if they are not identified as such. This includes how your organisation does the following:

- creates, collects and exchanges information
- manages, controls and assigns ownership of that information
- provides access to information, internally and externally
- assures and checks the quality of information
- identifies the value of information and utilises that value
- disposes of information (i.e. destruction and transfer)
- supports staff to carry out their information management responsibilities.

What is the difference between Information Management and Recordkeeping?

Information Management is generally regarded as broader than Recordkeeping, as it involves not just managing the records of business, but strategically planning and managing the information lifecycle across the whole organisation.

The Information Management Framework issued by Enterprise Solutions at the Department of Premier and Cabinet provides a high-level view of the Victorian Government's information management landscape and a shared direction for government and agency information management practice.

Recordkeeping is an important component of Information Management, dealing with the "making and maintaining of complete, accurate and reliable evidence of business transactions in the form of recorded information"[2].

All Victorian Government bodies have a responsibility under the *Public Records Act 1973* to carry out a programme of efficient management of public records in accordance with the Standards issued by the Keeper of Public Records.

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[1] Queensland Government Chief Information Office, 2009, *Information management strategic framework*, State of Queensland, Brisbane.

[2] Standards Australia, 2001, *AS 4390 Australian Records Management Standard*, Clause 4.19, Part 3.
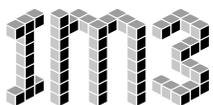
What standards should I be following?

There is a wealth of guidance available about information management in the Victorian Government, and it can be difficult to identify which standards you should be prioritising.

The links in this topic identify the main standards for Information Management and Recordkeeping in Victorian Government. They all contain mandatory requirements for government agencies.

Information Management Framework

Agency	Enterprise Solutions, Department of Premier and Cabinet
Description	This site is home to the Information Management Framework for the Victorian Public Service. It has a range of information management policies, standards, guidelines and statements of direction. The Information Management Framework provides a high-level view of the Victorian Government's information management landscape and a shared direction for government and agency information management practice.
Link	https://www.enterprisesolutions.vic.gov.au/information-management/

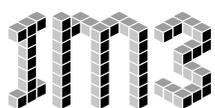**Victorian Protective Data Security Framework (VPDSF)**

Agency	Office of the Victorian Information Commissioner
Description	The VPDSF is the overall scheme for managing protective data security risks in Victoria's public sector. Established under Part Four of the *Privacy and Data Protection Act* 2014, the framework consists of standards, an Assurance Model and supplementary tools and guides.
Link	http://www.cpdp.vic.gov.au

Information Privacy Principles and Privacy by Design

Agency	Office of the Victorian Information Commissioner
Description	Information privacy protections are embodied in ten Information Privacy Principles (IPPs) set out in Schedule 1 of the *Privacy and Data Protection Act* 2014. Privacy by Design is a methodology and core policy to underpin information privacy management in the Victorian public sector.
Link	http://www.cpdp.vic.gov.au

Recordkeeping Standards

Agency	Public Record Office Victoria
Description	These standards, and the accompanying Specifications and Guidelines, apply to all records created by the Victorian Government and detail requirements for the creation, maintenance, use and disposal of these records.
Link	https://www.prov.vic.gov.au/recordkeeping-government/about-standards-framework-policies

Records Management Checklist

Agency	Victorian Auditor-General's Office
Description	This checklist has been designed to assist government agencies to fulfil their obligations under the Public Records Act 1973 and to improve the management of their records. It was developed in consultation with PROV and selected government agencies, and references the requirements of the PROV Recordkeeping Standards.
Link	https://www.audit.vic.gov.au/records-management-checklist

Intellectual Property Policy

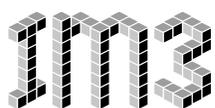| Agency	Department of Premier and Cabinet
Description	The IP Policy represents the State's policy and management tools in relation to intellectual property. It consists of Principles and Guidelines.
Link	https://www.data.vic.gov.au/policy-and-standards-0

DataVic Access Policy

Agency	Department of Premier and Cabinet
Description	The DataVic Access Policy provides direction on the release, licensing and management of Victorian Government data so that it can be used and reused by the community and businesses.
Link	https://www.data.vic.gov.au/policy-and-standards-0

What do the levels mean?

The table below offers a general guide to what each level means and the indicators or evidence that would normally be associated with each level.

Level	Description	Example/Evidence
1 – UNMANAGED	Level 1 indicates that the organisation is either unaware of this area/issue, or has taken no steps to address this area or issue. This is not unexpected, as information management is a multi-faceted and changing discipline.	On the 'Information Architecture' measure, an agency at Level 1 may have an IT Architecture in place, but the subject of a separate Information Architecture is a new idea.
2 – AWARE	Level 2 indicates that the organisation has an awareness of this area/issue (at management level), but that there is little practical evidence of action.	On the 'Asset Management' measure, an agency at Level 2 may have placed the item 'Managing significant information assets' on a management level agenda for future discussion.
3 – FORMATIVE	Level 3 indicates that the organisation is actively addressing a particular area or issue. There will be evidence of a planned approach, even if is not fully implemented in some areas.	An organisation that assessed themselves at Level 3 on the 'Meets Business Needs' measure should be able to show evidence of information quality activities taking place, e.g. a documented analysis of information needs across the organisation, a survey of existing

		information assets, or a completed staff survey about information quality.
4 – OPERATIONAL	Level 4 indicates that the organisation has completed implementation of planned initiatives in regard to the area/issue, and that those initiatives are operating to a reasonable standard.	An organisation that assessed themselves at Level 4 on the 'Training & Support' measure should be able to show a program of information management training and up-skilling for new and existing staff, and evidence that this training is based on an analysis of staff requirements.
5 - PROACTIVE	An organisation at Level 5 is one that is setting the benchmark for Victorian Government in their management and approach to a particular area or issue. This may include an innovative response to a complex information issue or dedicated commitment to achieving a high standard in a particular area of information management.	Level 5 is an aspirational goal for organisations, and will change as the bar for information management is set higher over time.

How do I choose the appropriate level for my organisation?

The descriptions of each level (1 to 5) that accompany the questions should give you guidance about the most appropriate level for your organisation. Be realistic about your organisation's level of development in each area – it is better to rank the organisation lower on a measure and have room for improvement, rather than rank higher, but be unable to support that ranking in practice.

If you cannot answer a question or require more information or collaboration, there is also an 'Unknown' option that you can select until you obtain the information.

What should I do after I have completed the assessment?

After you have completed the assessment, take some time to examine your results and identify areas where there is room for improvement. Use the information in the 'Developing IM in Your Organisation' document (PDF provided on last page of assessment tool) to identify ways to develop particular characteristics.

Note: Once you have completed the assessment, please email your results to PROV: agency.queries@prov.vic.gov.au. While this is not a compulsory requirement, your results will inform WoVG IM strategy and assist PROV programme development,

Who can I contact for more help?

If you need assistance completing the IM3, or have any questions, please contact agency.queries@prov.vic.gov.au.