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 and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 1.2: Capability and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 1.3: Training, Support and Knowledge Sharing

What training, support or knowledge sharing is available to staff in your organisation to assist them in meeting their information 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

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: The organisation is either unaware, or has taken no steps to address IM governance.

AWARE: The organisation has an awareness of IM governance, but that there is little practical evidence of action.

FORMATIVE: 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: The organisation has completed implementation of planned initiatives in regard to IM governance, and the initiatives are operating to a reasonable standard.

PROACTIVE: The organisation has a dedicated commitment to achieving IM governance through innovation and/or learning based on ongoing monitoring and review.

Unknown/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 2.2: Vision and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 2.4 Management Support and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 2.5 Audit and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

3. INFORMATION LIFECYCLE AND 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 3.2: Policies and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 3.4: Accessibility and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 3.5: Information Use and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

4. BUSINESS SYSTEMS AND 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: The organisation is either unaware, or has taken no steps to address an information architecture.

AWARE: The organisation has an awareness of information architectures, but that there is little practical evidence of action.

FORMATIVE: 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: The organisation has completed implementation of planned initiatives in regard to an information architecture, and the initiatives are operating to a reasonable standard.

PROACTIVE: The organisation has a dedicated commitment to achieving an information architecture through innovation and/or learning based on ongoing monitoring and review.

Unknown/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

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 re-engineered 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 4.3: Business Systems and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.

Question 4.4: Information Privacy and 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/Need to obtain more information

Not applicable to my organisation

Evidence to support selected rating:

Press [Enter] when you have finished entering evidence information.