

Public Record Office Victoria Report

Information Management Maturity Assessment Program 2023-24

Report Part One: Comparative Results

IMMAP Report 2023-24 Part 1 Consolidated Results Version 2: Deidentified

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1 Introduction

1.1 Overview and acknowledgements

This is the fifth round of the Information Management Maturity Assessment Program (IMMAP) since its commencement in 2015.¹

Overall, maturity levels² were at a level of 2 Aware, and were lower in comparison with previous years for multiple questions. For example, the maturity rating for information management meeting business and user needs was 2.36 which was the lowest recorded IMMAP result. Other areas of low maturity were information architecture and strategic alignment. The three highest maturity areas were privacy and security, accessibility, and data sharing.

Results for information management and data management have been separated into two streams this round, allowing for comparison and acknowledging the differences between the two disciplines. For example, comparison of the results for meeting business and user needs shows that data management recorded a higher maturity level than information management in this area, but otherwise maturity levels were lower for data management.

Five recommendations resulted from the report:

- **Recommendation 1:** Information and data management staff levels and expertise should be sufficient for the size and complexity of the organisation.
- **Recommendation 2:** Information and data management staff should be provided with sufficient tools and resources to implement and maintain information and data management programs in line with regulatory, business and stakeholder needs.
- **Recommendation 3:** Organisational governance structures should include information and data management requirements as part of a program of continuous improvement towards addressing regulatory, business and stakeholder needs.
- **Recommendation 4:** Executive level management position responsibilities should include championing best practice information and data management across the organisation.
- **Recommendation 5:** Information and data management teams should note areas of increased complexity in audits and reviews, and address them as part of continuous improvement programs.

Public Record Office Victoria (PROV) would like to acknowledge the continuing support and engagement of participating IMMAP organisations. Without their willingness to bring honest evaluations of their information and data management maturity to the table, the IMMAP reports would not be the valuable resource and planning tools they are.

¹ The previous four were undertaken during the 2015-16, 2017-18, 2019-20 and 2021-22 financial years.

² Information management and data management maturity was recorded separately, and the results were combined to provide a single maturity level rating.

1.2 Background

1.2.1 Report

This report looks at the findings of the IMMAP conducted during 2023-24, with participants **deidentified**. The 2023-24 IMMAP Report is divided into the following parts:

- **Part One: Consolidated Results: includes recommendations (this part)**
 - Part One A: Executive Summary
 - Part One B: IMMAP Methodology
 - Part One C: Context
- Part Two: Information Management: by Question
 - Part Two A: Supporting Comments
 - Part Two B: Information Management Questionnaire
- Part Three: Data Management: by Question
 - Part Three A: Supporting Comments
 - Part Three B: Data Management Questionnaire

PROV administers the IMMAP every two years to analyse and report on information and data management maturity in the Victorian government. The program is based on the *Information Management Framework*³ (IMF) as developed by the Victorian government Information Management Group (IMG).⁴ Information and data management maturity assessments are completed by participating organisations using PROV's Information Management Maturity Measurement (IM3) tool⁵.

1.2.2 Collation and reporting of results

PROV collated 2023-24 results from participating organisations, then reported the results to relevant government bodies and the wider information and data management community. Results are utilised by the IMG and the Chief Data Officer Leadership Group (CDO LG) for work planning purposes.

Changes to the previous round of IMMAP included a change of participants with one organisation who has participated over previous rounds of IMMAP leaving and one organisation joining. The completion date for the IMMAP 2023-24 was 31 October 2024. Extensions were provided upon request.

³ Department of Premier and Cabinet, 2016 (revised 2021), *Information Management Framework for the Victorian Public Service*

⁴ 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.

⁵ The IM3 tool can be downloaded from <https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

Extensive use was made of the following two aids when determining a maturity level rating for each question:

- percentage boxes for each maturity level so that differences in maturity across an organisation could be considered when determining the overall maturity level
- progress markers that enabled how well an organisation meets a specific maturity level to be captured. Progress markers are 1-Early Stages, 2-Well Progressed, and 3-Nearing the Top.

Two versions of the report are available, as outlined in Table 1. This version of the report, **Version 2**, outlines **deidentified** results of the IMMAP participants.

Report Version	Description	Submitted to
Version 1	Report presents data that identifies the IM3 results for individual organisations who participated in the IMMAP.	IMMAP participants; Information Management Group (IMG); Chief Information Officer Leadership Group (CIO LG); Chief Data Officer Leadership Group (CDO LG); Digital Transformation, DGS; applicable DGS executives; Deputy Secretary Committees; Keeper of Public Records, PROV staff, and Public Records Advisory Council (PRAC).
Version 2 (This report)	Report presents deidentified IM3 result data.	IMG members; CDO LG members, information and records management communities and the general public via publication on the PROV website and promotion in government e-newsletters.

Table 1 Versions of the IMMAP Report

1.2.3 Division of Information Management and Data Management questions

The IM3 tool was extensively revised prior to this round of IMMAP as follows:

- A section (Dimension 0 Scope) was added to provide contextual information about those participating in IMMAP.
- Each question across Dimensions one through four was divided into two streams – an information management stream and a data management stream. This enabled information and data management practices to be assessed alongside each other. Results were able to be compared, which over time will help information and data to be better aligned. It also enabled questions to be tailored to better reflect their respective professional discipline.
- A new and optional fifth Dimension, Data Integrity, was added that focused on data management specifically. Dimension five does not have a corresponding set of information management questions. The dimension may become part of the mandatory set in future assessments.

The Chief Data Officer Leadership Group (CDO LG) and Digital Transformation branch of DGS provided the content for the fifth Dimension, Data Integrity, as well as input and feedback on the Data Management questions across dimensions one through four.

More information about the assessment process is located in **Part One B: IMMAP Methodology**.

1.2.4 Participating Organisations

Eleven organisations participated in this round of IMMAP.

Almost 50 per cent of participating organisations covered the entire organisation (including regional, subordinate and other areas) in their assessment submission.

Just over 35 per cent had staff levels between 2,000 and 4,000 full time employees.

More than 35 per cent of participating organisations had information management and data management in the same team or business area, while for 25 per cent, information and data management were in different parts of the organisation and not strategically aligned.

For 17 per cent of participating organisations, information and data management was a shared service that catered to multiple participants.

More information about the context of participating organisations is located in **Part One C: Context**.

1.3 Purpose

The IMMAP is designed to provide:

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

The program also assists individual organisations within Victorian government to:

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

2 Results by Dimension

This round, the overall maturity level for each dimension was 2 Aware.

Figure 1, below, provides the overall maturity level ratings⁶ for each dimension for 2023-24. The new optional dimension, Data Integrity⁷ (dimension five), achieved an overall maturity level rating of 2 Aware.

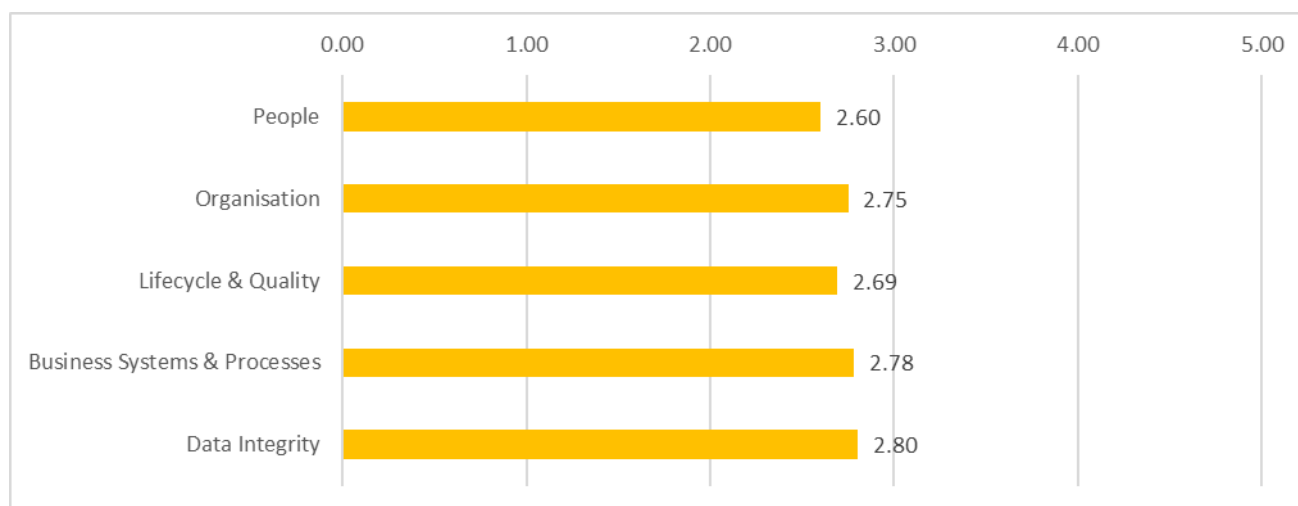


Figure 1 - Combined Maturity Level Ratings by Dimension

Comparing results with those from previous rounds of IMMAP, the overall maturity across dimensions remains static at 2 Aware. While there was improvement in the previous round with dimension two Organisation achieving a rating of 3 Formative, results have returned to 2 Aware.

Dimension	2015-16		2017-18		2019-20		2021-22		2023-24
1. PEOPLE	AWARE	=	AWARE	=	AWARE	=	AWARE	=	AWARE
2. ORGANISATION	AWARE	=	AWARE	=	AWARE	↑	FORMATIVE	↓	AWARE
3. LIFECYCLE AND QUALITY	AWARE	=	AWARE	=	AWARE	=	AWARE	=	AWARE
4. BUSINESS SYSTEMS AND PROCESSES	AWARE	=	AWARE	=	AWARE	=	AWARE	=	AWARE
5. DATA INTEGRITY	NA		NA		NA		NA		AWARE

Table 2 Dimension ratings, comparison between 2015-16, 2017-18, 2019-20, 2021-22, and 2023-24

⁶ The overall maturity level rating is an average determined through collation of scores from both information management and data management questions.

⁷ Participation in dimension 5 was optional, with 9 participants. Scores were averaged in the same manner as per any other dimension.

Figure 2, below, provides a comparison of overall score between information management and data management by dimension.

This shows that the maturity level for information management dimension four Business Systems and Processes was touching on 3 Formative and achieved the highest rating by dimension.

For data management, the highest rating was for dimension five Data Integrity with a rating of 2.77.



Figure 2 Comparison of Information Management and Data Management Rating by Dimension

3 Results by Organisation

Table 3, below, provides the overall rating for each participating organisations against the average rating overall.

Organisation	Abbreviated name	2023-24 average		2023-24
Organisation 1	Org 1	Aware	↑	Formative
Organisation 2	Org 2	Aware	=	Aware
Organisation 3	Org 3	Aware	=	Aware
Organisation 4	Org 4	Aware	↓	Unmanaged
Organisation 5	Org 5	Aware	=	Aware
Organisation 6	Org 6	Aware	↑	Formative
Organisation 7	Org 7	Aware	↑	Formative
Organisation 8	Org 8	Aware	↑	Formative
Organisation 9	Org 9	Aware	=	Aware
Organisation 10	Org 10	Aware	↓	Unmanaged
Organisation 11	Org 11	Aware	↑	Formative

Table 3 Participant ratings, comparison with average overall rating

Figure 3, below, provides the overall rating for each participant. DE was the highest rated organisation with an overall maturity level of 3.49.

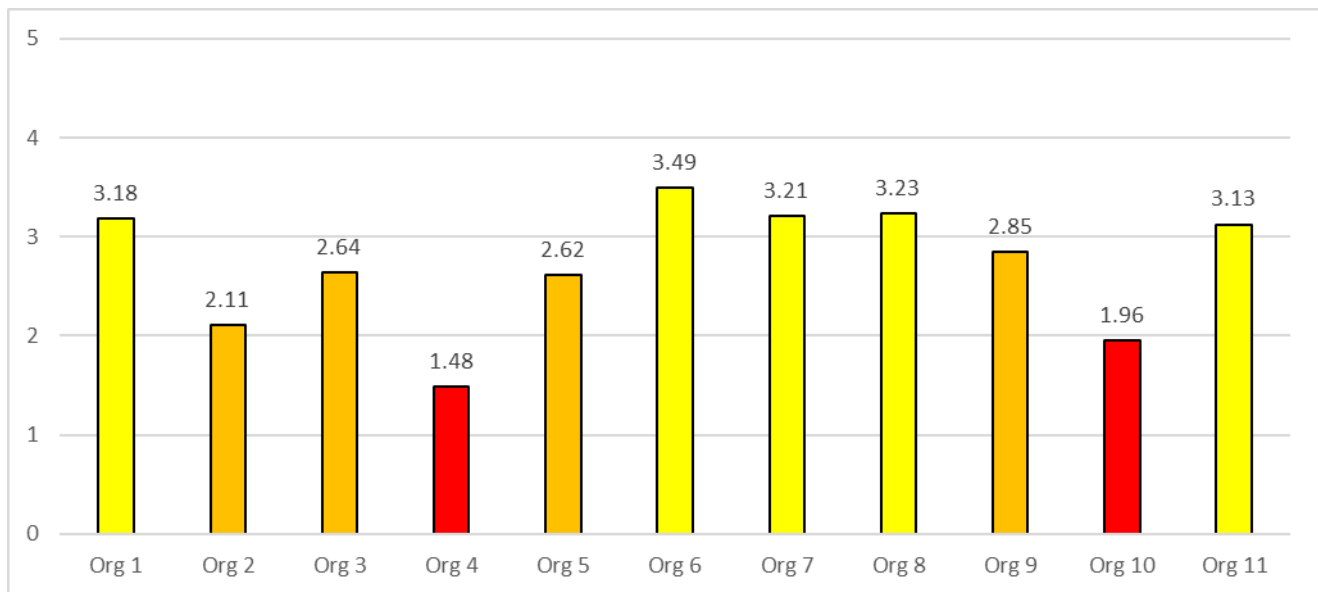


Figure 3 Overall Maturity Level by Organisation

Five of the eleven participating organisations achieved an overall maturity level rating of 3 Formative. This shows that, while an overall maturity by dimension is static at 2 Aware, around half the participating agencies were operating above that level.

Two participants were operating below the dimension rating of 2 Aware, holding an overall maturity level rating of 1 Unmanaged.

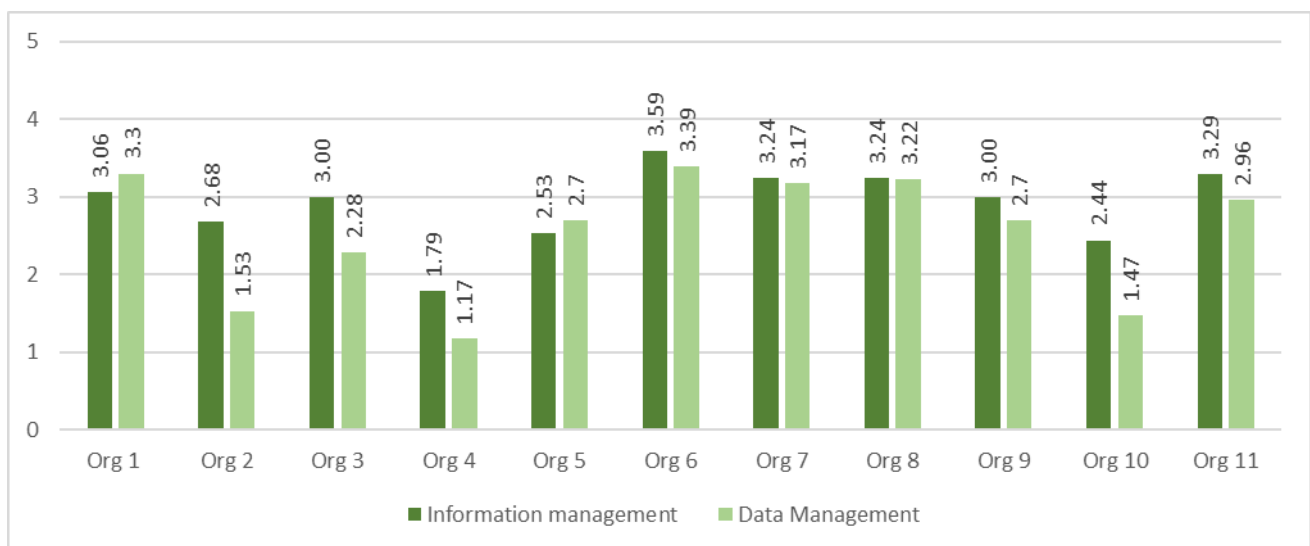


Figure 4 Comparison of Information Management and Data Management Maturity Level by Organisation

Comparing the information management and data management ratings achieved, Organisation 5 and Organisation 1 both had higher data management scores than information management. The remaining participating organisations had higher information management ratings than data management.

3.1 High maturity

Parts two and three of this report include which organisations scored the highest maturity level rating for the question and which scored the lowest.⁸

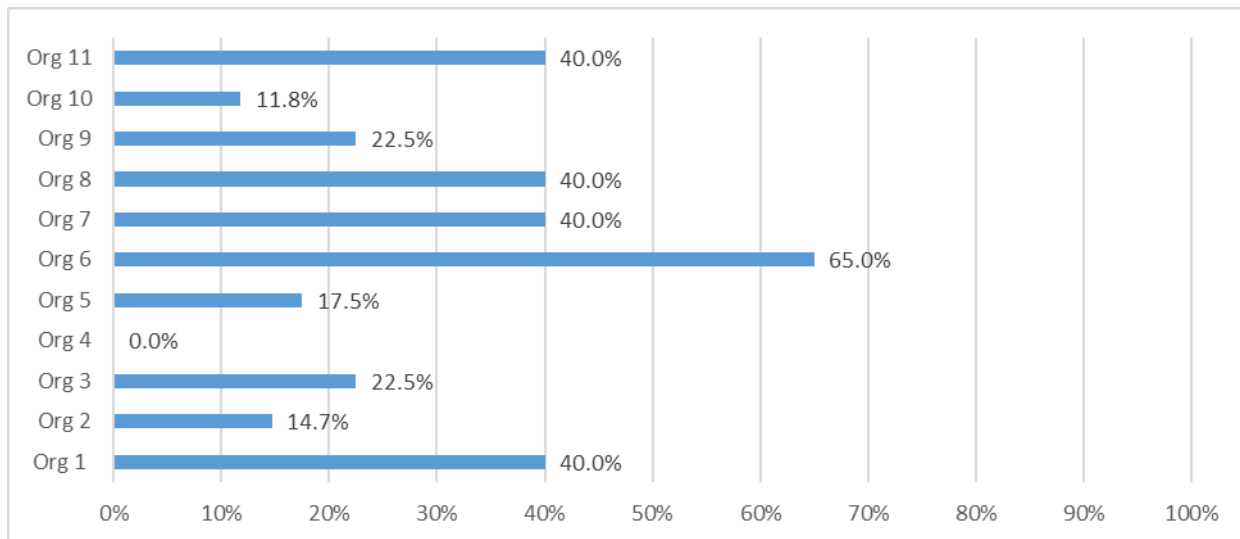


Figure 5 Percentage by organisation - total number highest ratings achieved - information and data management questions

Organisation 6 consistently recorded the highest rating allocated across the questions, followed by Organisation 11, Organisation 8, Organisation 7 and Organisation 1.

Organisation 6 provided evidential comments on what supported their rating as well as where the organisation needed to improve, which shows a focus on continuous improvement. Comments included:

- 'Respondents have indicated they actively discuss data security, database management, data sharing agreements, and innovation in data dictionaries and data infrastructure at team meetings and throughout day-to-day analytical work responding to stakeholder requests.'
- 'Through the data governance council we are beginning the process of creating a wider strategic alignment across other adjacent domains. The work around documenting standard non-functional requirements for new IT projects will also support an increase in maturity in this area.'
- 'An executive level [Committee] provides formal governance, and leads, monitors and reports on information and data management activities. The [Committee] has representation from across [the Organisation], and reports to the Executive Board. The Chief Information Officer is the executive director of [the business area], and able to advocate for information management and data management initiatives as required.'

⁸ Please note that not all organisations completed the optional Data Integrity section containing 6 questions. The percentages were adjusted for the relevant organisations to be out of a total of 34 rather than 40 as a result.

- 'The [organisation] has defined a data quality management framework, however this remains to be widely rolled out and communicated to staff. Beyond this, there are pockets of good data quality management, and pockets where data quality management is immature.'

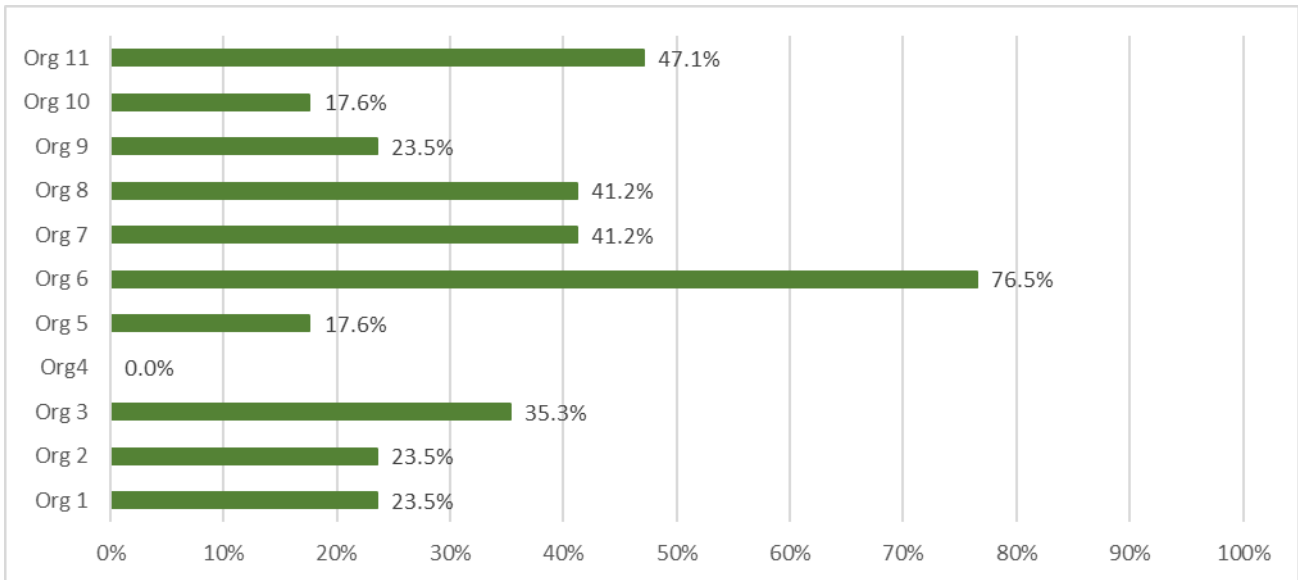


Figure 6 Percentage by organisation – number highest ratings achieved - information management questions

Eight of the eleven participants achieved a highest maturity level rating for more than 20 per cent of the information management questions asked, but only one organisation achieved this for more than 50 per cent. This differs for data management (see Figure 7, below) which shows six organisations achieving highest ratings for more than 20 per cent of questions and two organisations achieving this for more than 50 per cent.

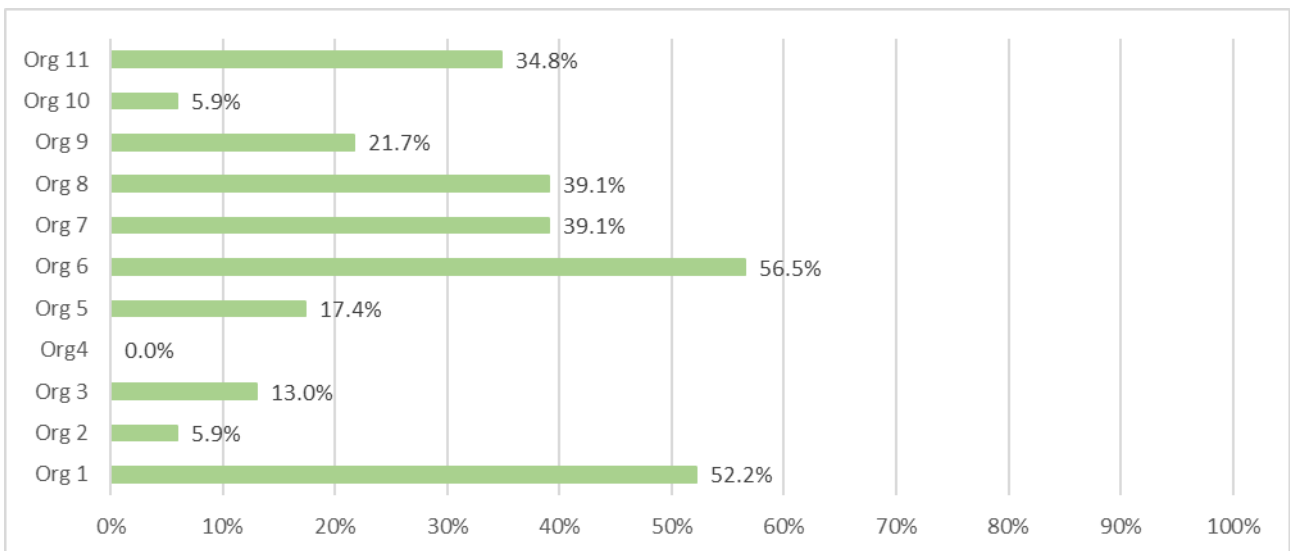


Figure 7 Percentage by organisation – number highest ratings achieved - data management questions

While Organisation 6 achieved the highest percentage across both information and data management questions, for data management Organisation 1 was second highest.

3.2 Low maturity

It is important to keep in mind that Organisation 4 was in the midst of establishing processes and structures at the time of the IMMAP assessment, which partially explains their low maturity rating.

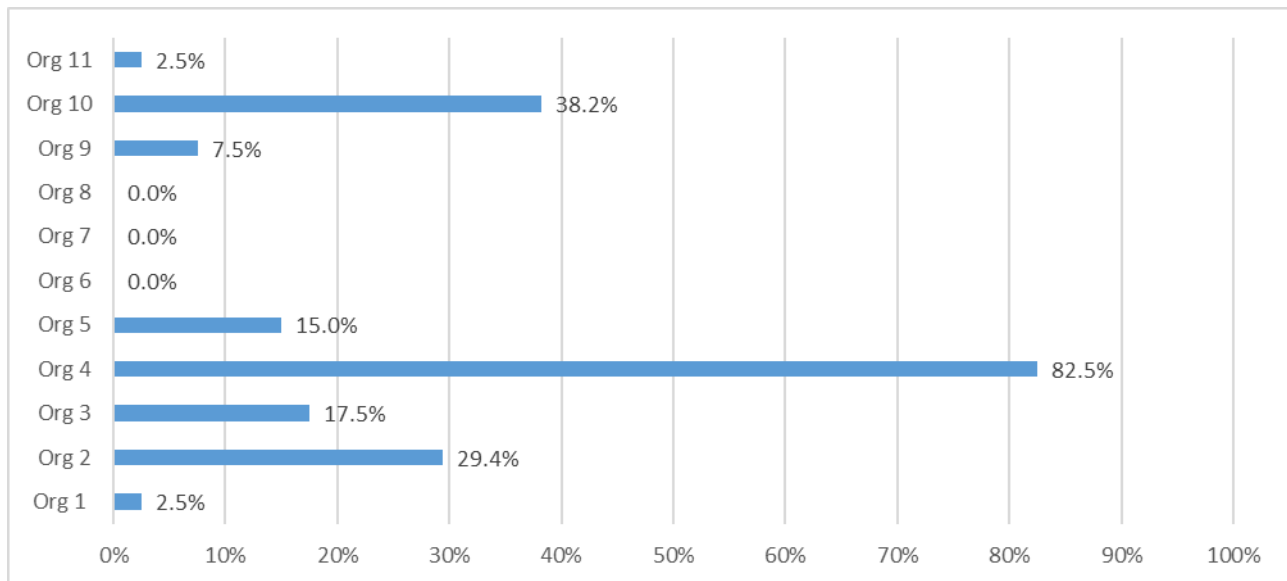


Figure 8 Percentage by organisation – number lowest ratings achieved – information and data management questions

The Organisation 4 information management team is part of shared services with Organisations 10 and 2. It is interesting that those two organisations come second and third respectively for percentage of lowest ratings achieved. The very specialised knowledge required to manage information and data across multiple systems and organisational environments requires appropriate investment to achieve, including time.

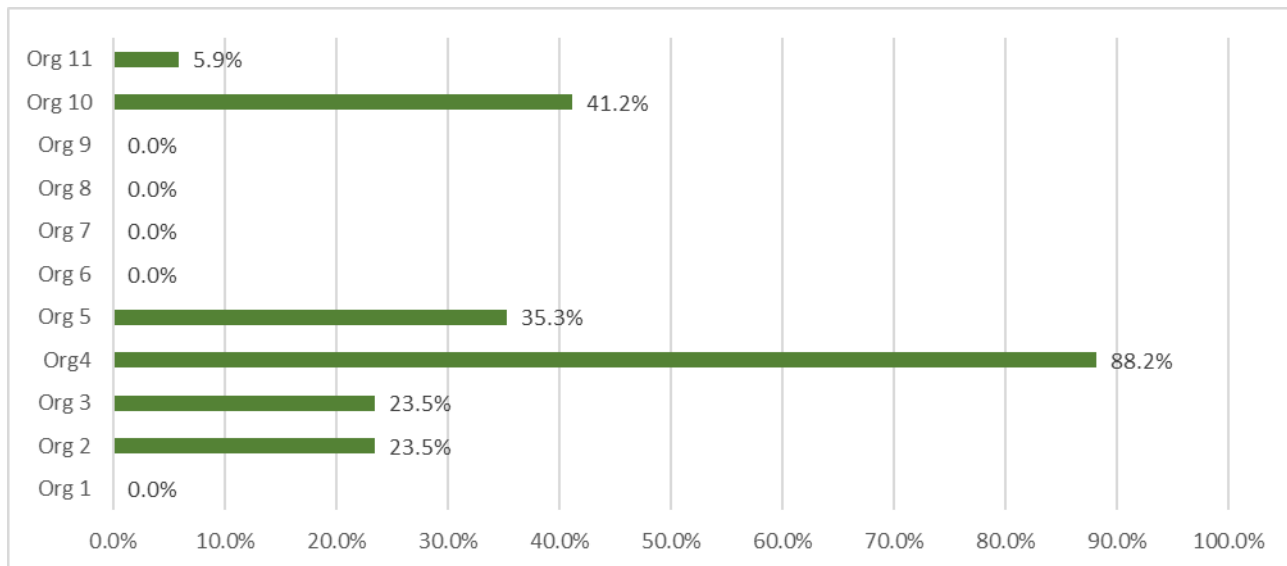


Figure 9 Percentage by organisation – number lowest ratings achieved – information management questions

Organisations 1, 6, 7, 8 and 9 all had no lowest maturity ratings recorded for information management.

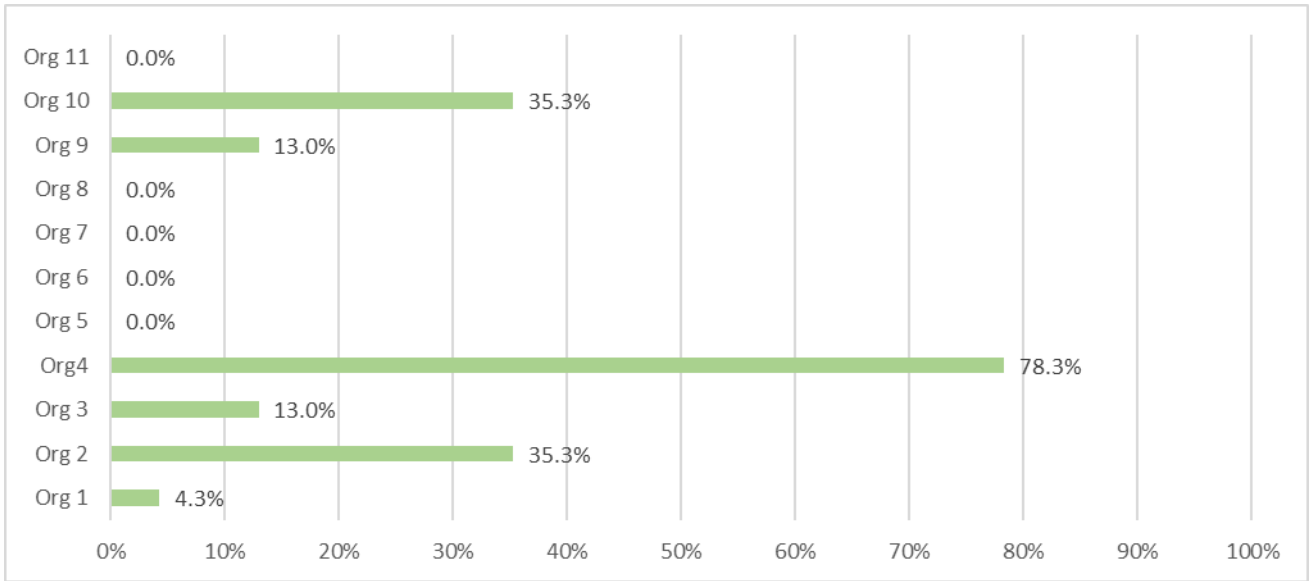


Figure 10 Percentage by organisation – number lowest ratings achieved – data management questions⁹

Organisations 5, 6, 7, 8 and 11 all had no low ratings recorded for data management. This means that organisations 6, 7 and 8 had no low ratings for either information or data management.

⁹ Please note that not all organisations completed the optional Data Integrity section containing 6 questions. The percentages were adjusted for the relevant organisations to be out of a total of 34 rather than 40 as a result.

4 Results by Question

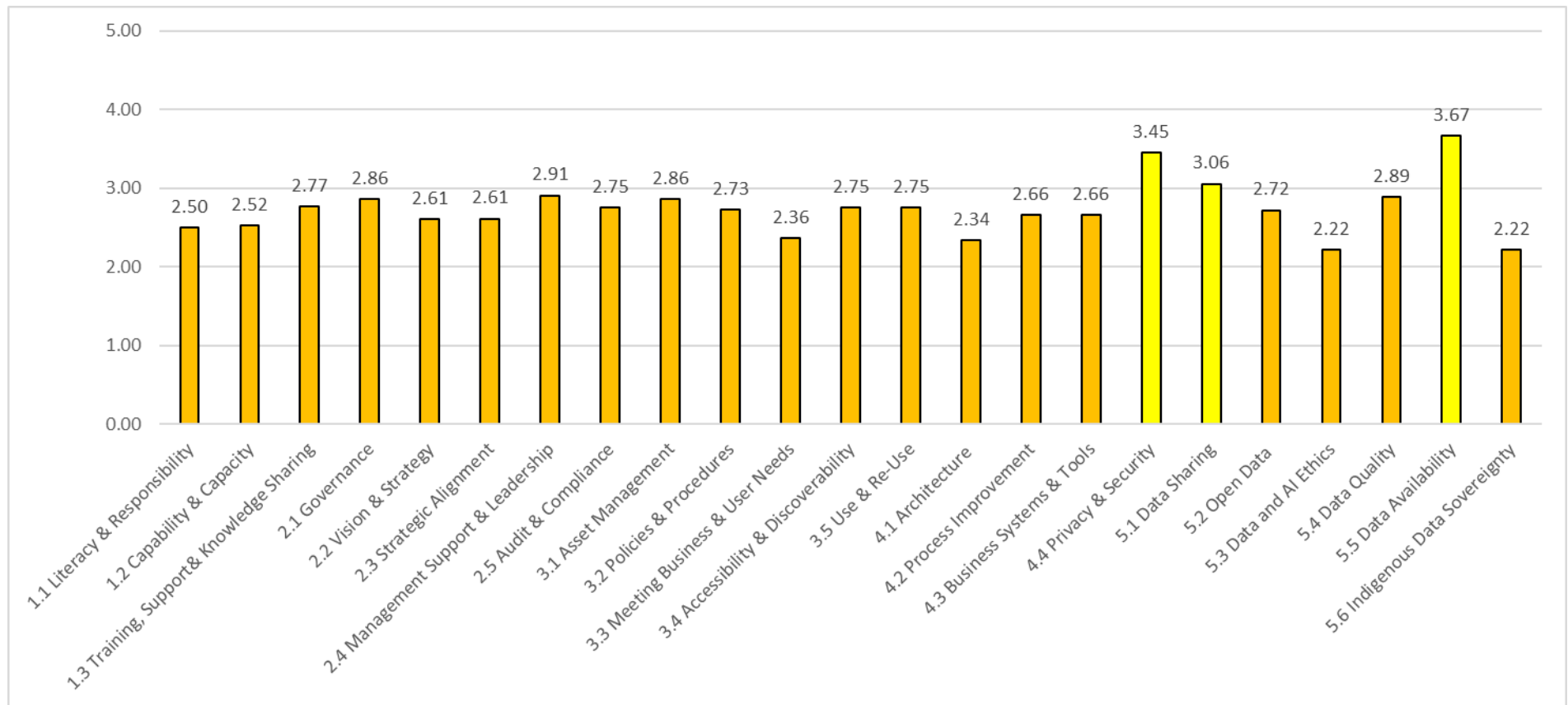


Figure 11 shows the overall maturity level by question, revealing that Data Availability rates the highest at 3.67 closely followed by Privacy and Security at 3.45 and then Data Sharing at 3.06. Results, including supporting comments for other questions, highlight the three areas as areas of priority and focus. As such, the areas had access to resources and executive level support.

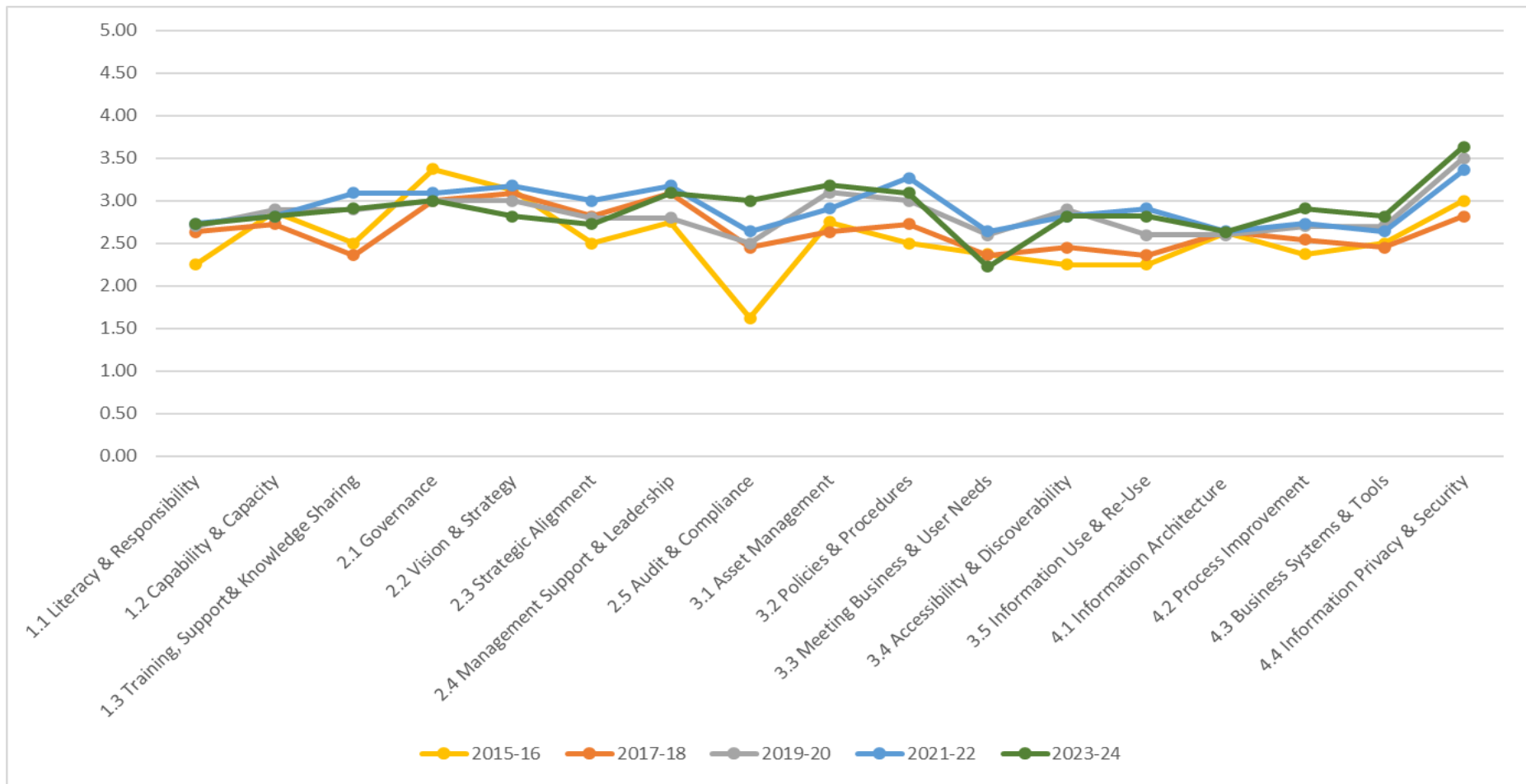


Figure 12 contains a comparison of information management questions across the five rounds of IMMAP conducted. While privacy and security continues to build on previous ratings, this round shows the lowest scores so far recorded for Vision and Strategy, and Meeting Business and User Needs. Audit and Compliance, Process Improvement and Asset Management recorded the highest ratings so far for their respective questions. Information architecture remains static with minimal changes in rating.

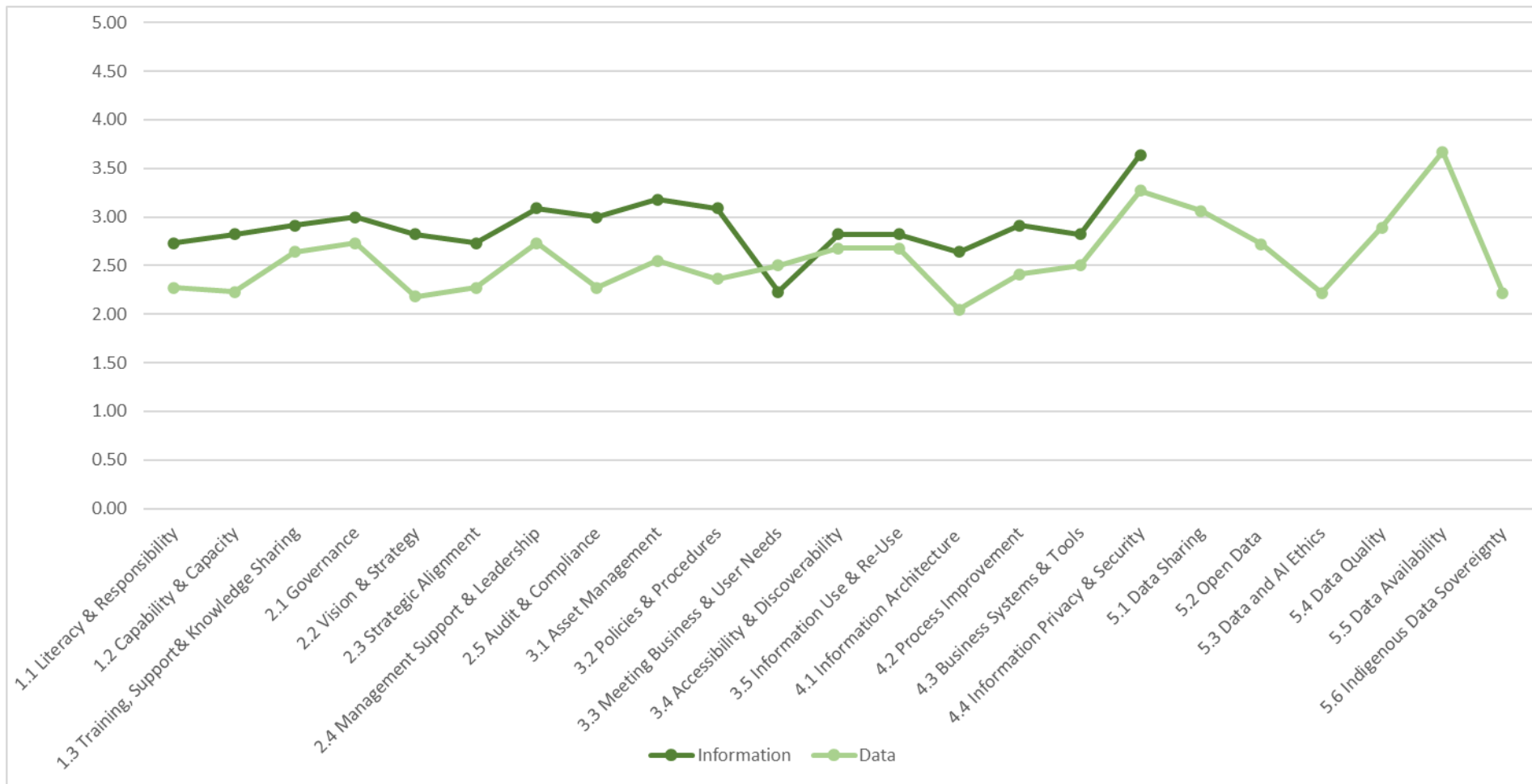


Figure 13 shows a comparison by question for information and data management results. Information management was consistently recorded as having higher ratings than data management for all questions except for meeting business and user needs.

5 Discussion and Recommendations

It is easy to look at Section 2 results and think that information and data management maturity levels remain stagnated at 2 Aware, but overall scores are not the full story. When we look at results by organisation and by questions (see Sections 3 and 4, above), we see that that maturity levels fluctuate over time. Of note was that where an experienced and knowledgeable team had both executive level support and sufficient resources, maturity improved. Where this was not the case, maturity decreased.

Section 5.1, below, provides some of the common factors behind organisations improving or decreasing their maturity levels from previous rounds of IMMAP.¹⁰

5.1 Factors leading to maturity level increase or decrease

Table 4, below, is a high-level collation of the factors noted in Parts Two and Three, which describe results by question and include factors that improved or led to a decrease in maturity.



Factors that led to improvement in maturity		Factors that led to a decrease in maturity	
	<ul style="list-style-type: none"> • Appropriate resourcing • Effective Information and data management programs in place and operational • Opportunities such as new product implementations or service arrangements being leveraged to improve practices • Specific needs of both information and data were understood • Maximise use of existing products, tools and resources 		<ul style="list-style-type: none"> • Impact of machinery of government change • Inconsistent and ad hoc practices • Key tools and products were not in place • Systems had limited functionality • Information management and data management were not sufficiently valued or understood

Table 4 Factors that led to an improvement or a decrease in maturity

Sections 5.2 through 5.5, below, explore some of the main areas that impacted results: machinery of government change, resources, governance, and addressing complexity.

¹⁰ Please note that IMMAP assessments have always included both data and information. Early IMMAP reports included both in the term 'information' while the 2021-22 report explicitly referred to both. As 'data management' had a separate stream this round, comparison of maturity since IMMAP commenced was explored through the information management stream.

5.2 Machinery of government change and Clause 11 impact

Machinery of government changes have impacted each round of IMMAP since its commencement in 2015, often leading to amalgamation or division of organisations and consequently changes to the number of participants.

Eight of the eleven participating organisations cited machinery of government change and / or Clause 11 impacts on the 2023-24 IMMAP results in their submissions. Comments included:

- 'An extensive Clause 11 was carried out during the 2023-24 year, with changes to the internal structure and key personnel.'
- 'The [Organisation] has been impacted by restructure and Clause 11 changes including recruitment and vacancy management issues, budgeting constraints, MoG, commissioning and decommissioning of functions, etc, all of which are impacting implementation of information and data management programs. This is especially true in the case of data management with no single area tasked with corporate data management and governance within the [Organisation].'
- '[An Organisation] wide Clause 11 was carried out during the 2023-24 year, with a reduction of 863 EFT.'
- 'MOG changes as well as Clause 11 affected some projects.'
- 'Machinery of Government changes that saw the transfer of most Corporate Services to [the Organisation]. Changes also included the incorporating Multicultural Affairs and transfer out of several entities to [another Organisation] such as Industrial Relations Victoria.'
- 'Since the last IM3 response the [Organisation] has undergone significant machinery of government changes that saw the Corporate Services areas [of the Organisation] transition out into a shared service model provided by [a different Organisation]. [The other Organisation] Information Management staff, as service providers, undertake this assessment on behalf of [the Organisation].'
- 'The most recent Machinery of Government (MoG) has introduced planning functions and systems into the existing [Organisation] bringing together planning, land, precinct, key transport and policy functions within a single [Organisation].'
- 'The [Organisation] ... is currently establishing a finalised organisational chart, developing foundational policies and processes and mapping our complex, inherited technological environment. As such many IM3 survey elements have either not yet been begun or are in their early stages.'

The impact of MOG changes is generally a reduction over a lengthy period of time of resources for other projects. Under-resourced information, records and data management teams have fewer opportunities to undertake necessary improvement projects, and have increased limitations on operational services. This increases the risk of the organisation not meeting legislative, regulatory and business needs as well as not being able to address stakeholder expectations effectively. For example:

- 'The recent Machinery of Government Changes have had an impact on functions moving from previously familiar and established systems that do not integrate fully with the new ones. This can affect searching for information, version control and re-use.'

- 'It is difficult to get an understanding of business and user needs across the different areas in the [Organisation] due to changes including the MoG.'
- 'Multiple MoG changes over the past two years has impacted on the consistent application of information literacy and responsibilities. (DO WE NEED EXPLAIN WHY). Most staff are aware of how to manage their information, but they may have inconsistent use of the correct system. eg business records stored in OneDrive.'

Changes to the previous round of IMMAP included one organisation who has participated over previous rounds of IMMAP leaving and one organisation joining. Overall results were negatively impacted as a result due to the different stages of maturity involved.

5.3 Provision of adequate resources

A recurring theme this round of IMMAP was that for multiple participants there were insufficient resources¹¹ to undertake key tasks, preventing them from achieving desired maturity levels. For example, supporting comments included the following:

- 'While sufficient expertise exists in the team, there are insufficient resources to progress all required work.'
- 'There have also been decisions to defund information management initiatives which have delayed planned improvements.'
- 'Currently due to budget constraints the Information Management team's training is limited to either free or no cost on-line training.'
- 'Other business units within [the Organisation] that collect and store data were not included in this assessment as we operate on a devolved model, and do not have the resources to have extended to them.'
- 'This is currently unknown by the Information and Security Branch'
- 'Whilst capability to better manage information in the digital environment regardless of tools and platforms is increasing, capacity to meet demand remains low. Presently information management in the technical space is under resourced with for example the total equivalent of 1.5 eft assisting [the Organisation] with ensuring platforms such as M365 and other digital platforms are recordkeeping compliant.'
- 'Innovative improvements are constantly being sought however sometimes factors, such as resourcing and funding, can hinder this process.'
- '[Business area] have procured a data literacy roadmap, but have not had the resources for a wide implementation or rollout at this stage.'

Comments also noted that key information and data management tools were either not present or out of date. For example:

- '[The Organisation] does not have an Information Management Strategy.'
- 'There is no central asset register.'
- 'Ratings across [the Organisation] varies with some areas advising that standards and policies do not stay up to date or align with restructures and MoG changes.'
- 'There is no organisation wide quality and availability program.'

¹¹ Resources include budget, people with sufficient knowledge and expertise, time and capacity to do work required, and appropriate tools.

- 'There are currently no formal programs to measure whether Information meets business needs.'

Aligning information and data management with a high priority focus area was one way to achieve necessary resources. Responses show that the highest maturity levels across the five dimensions were recorded for privacy and security, and accessibility. Comments provided for other questions often included references to privacy, security or accessibility actions as evidence supporting the rating for the information or data management question. For example:

- 'Risks identified in the framework with IM audit and compliance considerations: breach of privacy and confidentiality; legal, regulatory and compliance; cyber security incidents and Victorian Protective Data Security Standards (VPDSS).' [in response to a question on audit and compliance].
- '[The Organisation] is actively implementing VPDSS and IPP requirements, and has a cyber incident response plan defined. Privacy and security strategies are in place, and periodically assessed by assurance functions. Privacy and information security training are mandatory for all staff.' [in response to a question on information architecture].

Implementing a full and relevant program of information and data management across all areas of the organisation requires sufficient resources. That means specialised staff with sufficient expertise and capabilities to undertake work required, a ratio of information and data management personnel to organisation staff that is suitable for the size and complexity of the organisation, being able to maintain strategies, policies, procedures and tools so they remain current, and having in place the right tools to ensure that information and data are well managed in line with regulatory, business and stakeholder needs.

Recommendation 1:

Information and data management staff levels and expertise should be sufficient for the size and complexity of the organisation.¹²

Recommendation 2:

Information and data management staff should be provided with sufficient tools and resources to implement and maintain¹³ information and data management programs in line with regulatory, business and stakeholder needs.

5.4 Effective governance structures

Where governance structures with oversight committees and executive leadership were in place, maturity level ratings were higher. Where they were missing, maturity level ratings were lower. Supporting comments specified whether or not governance committees and executive leadership were in place. For example:

¹² Please refer to the PROV Staff Resourcing Model for recommended staffing levels: <https://prov.vic.gov.au/recordkeeping-government/staff-resourcing-model>

¹³ Maintain includes ensuring that strategies, policies, procedures and practices remain current as well as ensuring that tools are fit for purpose and have sufficient information and data management functionality to address regulatory and business requirements.

- 'An executive level [Committee] provides formal governance, and leads, monitors and reports on information and data management activities. The [Committee] has representation from across [the Organisation], and reports to the Executive Board. The Chief Information Officer is the executive director of [the business area], and able to advocate for information management and data management initiatives as required.'
- '[The Organisation] has an overall governing body that reports to its Executive Board on data and technology. This governing body is chaired by a Deputy Secretary and membership is drawn from [the Organisation's] senior executives.'
- '[The Organisation] no longer has a dedicated internal Information Management Governance Committee (IMGC), or similar, that leads, monitors and reports on information management activities in accordance with the WoVG Information Management Framework.'
- 'Current gap with no IM Governance Committee in [the Organisation].'
- 'There is strong awareness re: importance of data in specific areas, but there is no executive level position responsible for internal data governance and data management best practice.'
- 'There is representation and advocacy of information management at executive level in some Groups/Divisions, but it isn't consistent across [the Organisation].'
- 'Information management requirements are not currently widely acknowledged in key organisational policies or built into all business processes.'

Governance structures and executive leadership enable appropriate oversight and encourage effective management and continuous improvement. Results for this round of IMMAP showed a move towards localisation of practices, inconsistencies, a siloing of knowledge, and ad-hoc practices. While for some organisations, decentralisation was part of the overarching governance structure, others were missing key governance elements such as a committee, strategy, vision or roadmap, or policy. For example:

- 'Considering the size and complexity of [the Organisation's] operations, a full enterprise architecture is not realistic, or useful. [The Organisation's] approach is to address this by domain.'
- '[The Organisation] is a little less mature in terms of data management policies. There are pockets of good practice, but also significant gaps in terms of gaining access to definitive advice or support.'
- 'Some Groups/Divisions have developed or are developing their own capabilities to leverage their data for business intelligence and analytics. Other Groups/Divisions have found this challenging, resulting in inefficient integrations between systems.'
- 'Some legacy systems are poorly governed, as there is an expectation for these systems to be decommissioned.'
- 'There are still limitations, including reliance on the knowledge of staff, difficulties searching the intranet and EDRMS, and variable levels of proficiency in the use of SharePoint (on which the EDRMS is based).'
- 'Current IM model supports specialists in each team. This can result in dependencies that further separate general users from seeing the broader IM vision.'
- 'Operating in silos, there is evidence of duplication of effort leading to competing priorities and lack of coordination required to maximise business value.'

Executive level support is a key driver for information and data management. Often, executive level support and reporting is obtained through governance committees and other bodies that provide essential oversight. When information management and data management are not valued, existing governance committees lose their reach or are disbanded. Without the structure of an overarching governance committee, with representation from the relevant areas of the organisation, practices become localised and siloed.

Recommendation 3:

Organisational governance¹⁴ structures should include information and data management requirements as part of a program of continuous improvement towards addressing regulatory, business and stakeholder needs.

Recommendation 4:

Executive level management position responsibilities should include championing best practice information and data management across the organisation.

5.5 Addressing deepening complexity

In the 2021-22 IMMAP Report¹⁵, the deepening complexity of the environment within which information and data were managed was highlighted. Results from the 2023-24 IMMAP show that this complex environment continues to impact results.

Multiple technologies were in use, constantly in flux, and dependant on the directions taken by the relevant vendor. At the same time, there were older systems and legacy systems that had limited functionality and unique quirks, requiring specific knowledge to navigate effectively. For example:

- 'Information management specialists work together with Information Technology and risk management specialists as required to manage existing and/or implement new systems and tools. In progress as part of the [system]. This was commenced to address an information lifecycle risk.'
- 'Information management systems and tools are effectively managed over their lifecycle however due to the age of existing systems the ability to utilise modern capabilities is limited.'
- 'Line of business systems retain documents associated with the business process.'

The separation of question streams into information specific and data specific questions led participants to view their existing tools from two perspectives. Data management and information management have different areas of focus, and it was noted in comments that key information management tools (such as the information asset register) needed adjustment to address data management requirements. For example:

- 'Data Quality statements exist for most data assets but not linked in Information Asset Register.'

¹⁴ For information on governance and recordkeeping see <https://prov.vic.gov.au/recordkeeping-government/a-z-topics/governance>

¹⁵ See appendix C of the 2021-22 IMMAP Report, available through the PROV website: <https://prov.vic.gov.au/recordkeeping-government/research-projects/information-management-maturity-assessment-program-immap>

- 'While data in systems has been included in the Information Asset Register (IAR), there has been no specific work to identify and include data sets.'
- 'Whilst the digitisation strategy of the responding external statutory agency provides their vision it does not provide sufficient clarity around data management strategy.'
- 'There are currently no data management elements incorporated into key organisational processes and procedures nor are they aligned with other strategic planning in the organisation.'
- 'Data Management is more maintained and stricter than information management processes as the data management is done by specialised teams.'

Some organisations used continuous improvement programs, technology implementation projects, and leveraging high-priority focus areas to address areas of complexity. Other organisations noted areas in need of improvement for future planning. For example:

- 'The Information Asset Register was migrated to SharePoint to improve discoverability. This makes it easier for Custodians to register and maintain the metadata, which in turn provides staff with access to up to data information about information sources within [the Organisation].'
- 'As a division, continuous improvement are PDP goals, a pillar in our divisional Culture Plan and on our division risk register.'
- 'Innovative improvements are constantly being sought however sometimes factors, such as resourcing and funding, can hinder this process.'
- 'There is limited formal auditing of information management or record management practices. It is carried out on a needs or request basis.'
- 'Whilst some aspect of information management are actively audited, (e.g. staff capability to undertake specialist tasks, systems assessments and currency, disposal actions etc), there are no formal information management auditing processes or programs in place.'
- 'Existing policies are outdated and are being reviewed and updated to cater and allow for regulatory changes, the use of new platforms such as M365 and SharePoint, and embedding recordkeeping compliance in Line of Business systems'

Complexity requires exploring what we think we know through a different lens. New knowledge takes time to develop, and may need to wait for new technologies and processes to be implemented to address well. Continuous improvement programs, strong relationships across different areas of the organisation, and improved awareness of business and stakeholder needs help with understanding what should be addressed, and what actions may best address them.

Recommendation 5

Information and data management teams should note areas of increased complexity in audit and review actions, and address them as part of continuous improvement programs.

6 Conclusion

The IMMAP Report is produced from the results of a biannual assessment using the IM3 Tool, which is based on the Information Management Framework. This framework is currently undergoing a refresh. Once the framework has been updated, the IM3 Tool will be reviewed and updated to ensure it continues to align.

The 2023-24 IMMAP Report was divided into the following multiple parts to aid readability and foster engagement:

- **Part One: Consolidated Results: includes recommendations (this part)**
 - Part One A: Executive Summary
 - Part One B: IMMAP Methodology
 - Part One C: Context
- Part Two: Information Management: by Question
 - Part Two A: Supporting Comments
 - Part Two B: Information Management Questionnaire
- Part Three: Data Management: by Question
 - Part Three A: Supporting Comments
 - Part Three B: Data Management Questionnaire

This was the result of a number of changes to the IM3 tool, including the separation of information management and data management into two separate streams and the addition of an optional fifth dimension (Data Integrity).

Overall results for 2023-24 show:

- Overall maturity remained at level 2 Aware.
- Information management maturity was higher than data management maturity except for Meeting Business and User Needs.
- The three highest maturity areas were Privacy and Security, Accessibility, and Data Sharing.
- The three lowest maturity areas were Meeting Business and User Needs, Information Architecture, and Strategic Alignment.
- Organisation 6 consistently achieved the highest maturity ratings for both information and data management.
- Organisations 2, 4, and 10 consistently had low maturity ratings for information management, while Organisations 4, 5 and 10 had low maturity for data management.

Five recommendations resulted from the report, which are:

- **Recommendation 1:** Information and data management staff levels and expertise should be sufficient for the size and complexity of the organisation
- **Recommendation 2:** Information and data management staff should be provided with sufficient tools and resources to implement and maintain information and data management programs in line with regulatory, business and stakeholder needs
- **Recommendation 3:** Organisational governance structures should include information and data management requirements as part of a program of continuous improvement towards addressing regulatory, business and stakeholder needs.

- **Recommendation 4:** Executive level management position responsibilities should include championing best practice information and data management across the organisation.
- **Recommendation 5:** Information and data management teams should note areas of increased complexity in audit and review actions, and address them as part of continuous improvement programs.

A common issue remains the lack of general awareness and understanding of what information and data management practitioners do, and why they are important. Information and data are often not considered when key technological tools are obtained and implemented (tools include artificial intelligence technologies). They are different disciplines that address the same space from different perspectives. Tools that serve one discipline may not be appropriate for the other. Knowledge required to address information and data management must constantly be updated as the technologies are always changing.

Using an aligned perspective of information and data management that recognises and understands the similarities and differences across the two professional disciplines enables an improved understanding of what is needed for maturity to be achieved.

The 2023-24 IMMAP Report provides comparative and separate results for information and data management. As such, it is a step towards improved understanding and alignment of both disciplines within participating organisations, and across Victorian government.