

# Public Record Office Victoria Report

**Information Management Maturity Assessment Program 2023-24**

## **Report Part One B: IMMAP Methodology**

## IMMAP Report 2023-24 Part 1B IMMAP Methodology Version 2: Deidentified

### Document information

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# Table of Contents

<b>1</b>	<b>Introduction</b>	<b>4</b>
<b>2</b>	<b>The Assessment Process</b>	<b>5</b>
2.1	IMMAP stages and timing	5
2.2	Changes to the IM3 Tool	5
2.3	Participants	6
2.4	Dimensions	7
2.5	Maturity Levels and Scoring	7
2.6	Analysis	8
2.7	Questionnaire	9

# 1 Introduction

This is the fifth round of the Information Management Maturity Assessment Program (IMMAP) since commencement in 2015.<sup>1</sup>

IMMAP assists individual Victorian government organisations to self-assess their performance against information and data management requirements and best practice. The evidence gathered provides an opportunity to gain valuable insights into organisational information and data management trends and gaps, and also seeds the development of collaborative information and data management projects and initiatives.

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

- Part One: Consolidated Results: includes recommendations
  - Part One A: Executive Summary
  - **Part One B: IMMAP Methodology (this part)**
  - 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

Public Record Office Victoria (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*<sup>2</sup> (IMF) developed by the Victorian government Information Management Group (IMG).<sup>3</sup> Information and data management maturity assessments are completed by participating organisations using PROV's Information Management Maturity Measurement (IM3) tool<sup>4</sup>.

The IM3 tool was extensively revised prior to this round of IMMAP to include an optional fifth dimension on data integrity, and separate responses for information management and data management.

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.

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

<sup>2</sup> Department of Premier and Cabinet, 2016 (revised 2021), *Information Management Framework for the Victorian Public Service*

<sup>3</sup> 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.

<sup>4</sup> The IM3 tool can be downloaded from <https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

## 2 The Assessment Process

### 2.1 IMMAP stages and timing

IMMAP assists individual Victorian government organisations to self-assess their performance against information and data management requirements and best practice using PROV's IM3 tool<sup>5</sup>. IMMAP is administered by PROV every two years, which includes ongoing review and update of the IM3 tool as part of the administration process.

The program is delivered in four stages, as outlined in Figure 1, below.

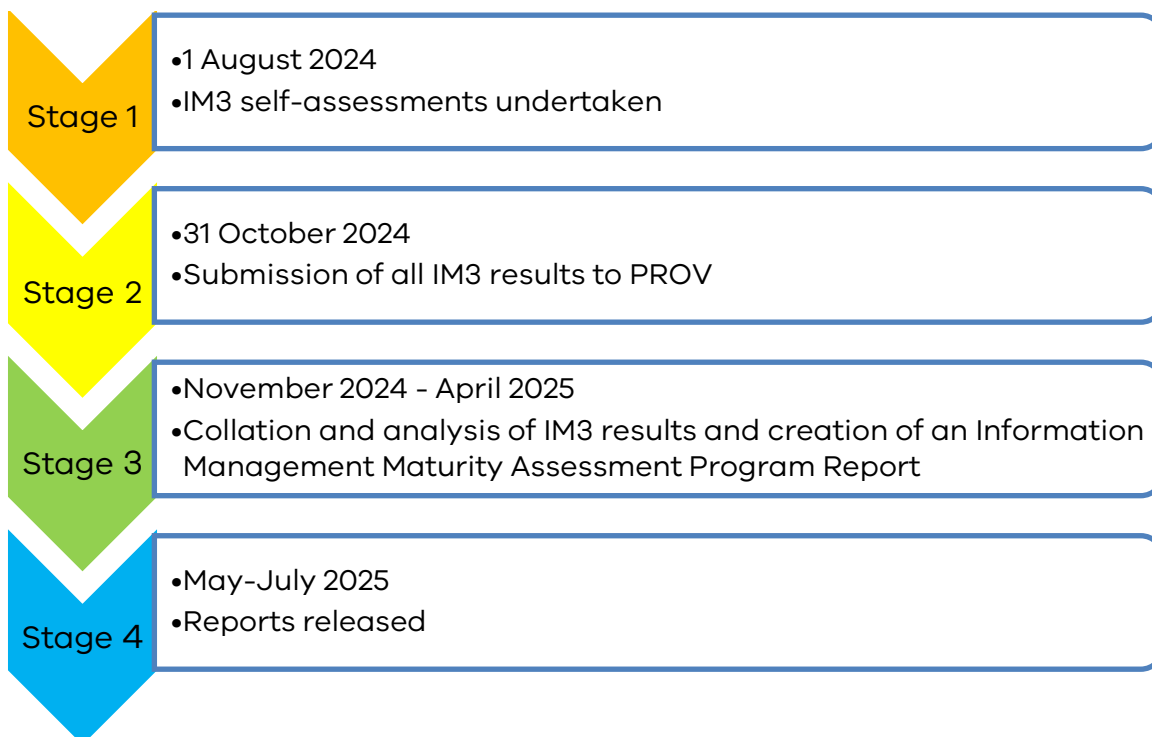


Figure 1 2023-24 IMMAP Stages

### 2.2 Changes to the IM3 Tool

The IM3 tool was developed by PROV and members of the IMG in 2013 and has been updated prior to each assessment. It is composed of a self-assessment questionnaire (MS Excel Spreadsheet) and supporting guidance.<sup>6</sup>

Prior to this round of IMMAP the IM3 tool was extensively updated to align with the results and recommendations outlined in the 2021-22 IMMAP Report. Changes made to the tool are as follows:

<sup>5</sup> <https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

<sup>6</sup> The current version of the tool is located on PROV's website, here: <https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

- A section (Dimension 0 Scope) has been added so that contextual information about those participating in IMMAP can be collated and analysed as part of the overall assessment without individual participants being identifiable when results are included in the de-identified version of the report.
- Each question across Dimensions one through four now has two streams – an information management stream and a data management stream. This enables information and data management practices to be assessed alongside each other. Results can be compared, which will help information and data to become aligned with each other over time. Questions can also be tailored to the respective professional discipline and focus so that differences between the two can be more efficiently explored.
- A new fifth Dimension has been added which is currently optional to complete. The new dimension is solely focused on data management and so does not have an equivalent 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.

Members of the IMMAP Working Group consisting primarily of IMG representatives from across the Departments reviewed and amended questions, examples of evidence, supporting guidance, and other aspects of the IM3 Tool.

## 2.3 Participants

As outlined in *IM STD 03 Information Management Governance Standard*<sup>7</sup>, it is a requirement for all Victorian government departments and Victoria Police to participate in the IMMAP.<sup>8</sup>

PROV recognises that the participants of the IMMAP operate in varied and complex environments, which include:

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

IMMAP does not collect and report on participants' operating and legislative contexts. Information not collected includes the number of subject matter experts in each of the organisations and the number or type of areas they service (such as corporate only, specific functional areas, and subordinate entities).

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<sup>7</sup> *IM STD 03 Information Management Governance Standard* is available for download here: <https://www.vic.gov.au/information-management-policies-and-standards#information-management-governance-standards>

<sup>8</sup> PROV is aware that other agencies across government use the IM3 tool, but currently these are not tracked or in scope of the IMMAP.

## 2.4 Dimensions

The IM3 tool is a self-assessment questionnaire where organisations identify and justify their maturity level across a range of dimensions designed to address different aspects of information and data management. Dimensions are specified in Figure 2, below.







0. SCOPE		How the context of an organisation impacts the IM3 assessment results.
1. PEOPLE		How the knowledge, skills, experience, and attitudes of staff contribute to good information and data management.
2. ORGANISATION		How information and data management operate within the organisation and whether it receives support from senior management.
3. LIFECYCLE AND QUALITY		How information and data assets are managed in the organisation and whether there is a common view to long term access to quality information and data.
4. BUSINESS SYSTEMS AND PROCESSES		How business systems and processes (both electronic and manual) support information and data management practices.
5. DATA INTEGRITY		How systems and processes (both electronic and manual) support the integrity of data in relation to data management. (note this dimension is optional).

Figure 2 IM3 Dimensions

## 2.5 Maturity levels and scoring

Data for the IMMAP was collected using results from a common set of questions found in the IM3 tool.<sup>9</sup> (See Parts Two and Three of this report for the relevant questionnaires).

IM3 content is based on the IMF, which is a navigational tool administered by the Digital Transformation (DT) branch of the Department of Government Services and co-developed by the IMG. The framework<sup>10</sup> contains standards, policy, and guidelines that provide strategic and comprehensive direction on information and data best practice for organisations.

<sup>9</sup> For information on the IM3 tool and a link to the tool refer to <https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

<sup>10</sup> See Appendix D of the 2021-22 IMMAP Report (<https://prov.vic.gov.au/recordkeeping-government/research-projects/information-management-maturity-assessment-program-immap>) for information on recent changes to the IMF that have not yet been added to the main website, primarily due to delays caused by machinery of government change.

Each participant downloaded the IM3 tool, completed the questionnaire and submitted results to PROV. For each question, the organisation selected their current 'maturity level' using a scale of one to five, with one being the least developed and five the most developed (See Figure 3 below).

Level 5 - Proactive	The organisation has a dedicated commitment to achieving information and data management through innovation and/or learning based on ongoing monitoring and review.
Level 4 - Operational	The organisation has completed implementation of planned initiatives regarding information and data management, and the initiatives are operating to a reasonable standard.
Level 3 - Formative	The organisation is actively addressing information and data management. There will be evidence of a planned approach, even if it is not fully implemented in some areas.
Level 2 - Aware	The organisation has an awareness of information and data management, but there is little practical evidence of action.
Level 1 - Unmanaged	The organisation is either unaware or has taken no steps to address information and data management.
Unknown	The situation regarding information and data management is unknown in relation to the question. A level of 0.5 corresponds with a Maturity Level Rating of Unknown.
Not Applicable	The question is not applicable. A level of NA corresponds with a Maturity Level Rating of Not Applicable.

**Figure 2** IM3 Maturity Levels

The options Unknown and Not Applicable as maturity level ratings were included in previous IMMAP rounds, and both were selected by participants for multiple question responses this round for the first time.

## 2.6 Analysis

Data for the IMMAP was collected using results from a common set of questions found in the IM3 tool. (See Parts Two and Three of this report for the relevant questionnaire). Each participant downloaded the IM3 tool, completed the questionnaire and submitted results to PROV. For each question, the organisation selected their current 'maturity level' using a scale of one to five, with one being the least developed and five the most developed (See Figure 2 above). Two other options (Unknown and Not Applicable) were also available. As both were selected by participants this IMMAP round, a maturity level of Unknown was allocated 0.5. A maturity level of Not Applicable resulted in the participating organisation not receiving a rating for that question. Dimensions 1 through 4 are mandatory for the assessment, so the participant was included in the graph to

illustrate that a rating was provided, while the rating was not included in calculations for the question average.

Due to variations in participant size, structure, resourcing, and capability, each organisation was responsible for determining the most suitable assessment methodology for its environment and selecting an appropriate maturity level rating. Methods used to complete the assessment included surveys, workshops, and interviews.<sup>11</sup>

Once the organisation completed all questions, the IM3 generated a table and graph of results. Responses were emailed to PROV for analysis and summary reporting.

PROV compared the maturity level ratings submitted by participants across all questions. Average rating levels were calculated for each participant and information and data management dimension addressed in the IM3 questionnaire. Patterns and trends were identified in the results to determine themes and challenges and provide recommendations.

Each question in the IM3 tool provides a section for documenting the reasons for the selected rating and the provision of evidence. Some of this information is noted in the individual question ratings. Comments used by participants to support the rating for each question are provided in part A of the relevant Results By Question report.

## 2.7 Questionnaire

The following was recommended when completing the IM3 questionnaire:

- Note that there are two sets of questions:
  - One set of questions is tailored for information management (see Part Two B: Information Management Questionnaire)
  - One set of questions is tailored for data management (see Part Three B: Data Management Questionnaire)
- Circulate the relevant questionnaire to representatives across the organisation. Different parts of an organisation may have different levels of information and data management maturity and different issues to contend with.
- Ensure that recordkeeping, information management and data management perspectives are included. This may be achieved by having a panel of people from each discipline discussing what score should be applied and why.
- Use the **Percentage** box in the scoring table for each question to flag any differences in maturity across the organisation. For example, 50 per cent of the agency may be at maturity level 2 Aware, 10 per cent 1 Unmanaged and 40 per cent 3 Formative.
- Use the **Progress** score box in the scoring table for each question to flag how progressed the agency is in that maturity level. There are three progress levels to choose from: 1 – Early Stages, 2 – Well Progressed, and 3 – Nearing the Top. These can be allocated alongside the percentages to address complexity. For example, for Aware the agency may be 2-Well Progressed, Unmanaged may be 3 – at the top and Formative may be 1 – early stages.

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<sup>11</sup> Some methods are described in the guideline *Developing Information Management in your Organisation*, which accompanies the IM3 tool (<https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>).

- Use the combination to determine an overall maturity level rating. For example, from looking at the combined percentages and progress scores outlined above, the scores are clustered around the maturity level of Aware. While some of the organisation is 1-Unmanaged, it is only 10 per cent and they are at the top of that maturity level. While some of the organisation is 3-Formative, even though this is 40 per cent of the organisation, they are in the early stages of that maturity level. This would most likely result in an overall score of 2-Aware.

Following the scoring table and overall rating box were two other spaces to record additional information for each question.

- The first is a space to record the evidence used to support the maturity level rating assigned.
- The second is a space to record what is required for your organisation to move to the next level.

The responses provided for each question were used to flag what has been achieved so far and to plan next steps that build on those achievements.

A copy of the Questionnaire is located in Part B of the relevant Results By Question report.