

# Public Record Office Victoria Report

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

## **Report Part Two: Information Management Results By Question**

## IMMAP Report 2023-24 Part 2 Information Management Results Version 2: Deidentified

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# 1 Introduction

## 1.1 Report Overview

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
  - Part One C: Context
- **Part Two: Information Management: by Question (this part)**
  - 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) would like to acknowledge the continuing support and engagement of the participating organisations in IMMAP. 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.

## 1.2 Scope

This is the fifth round of the Information Management Maturity Assessment Program (IMMAP) since its commencement in 2015. The **IMMAP Report Part Two: Information Management** covers the 17 information management questions asked across the four dimensions of People, Organisation, Lifecycle and Quality, and Business Systems and Processes.

For each question, the following is provided:

- The question/s asked
- Themes and Challenges noted from the participating organisations' supporting comments
- Maturity level rating
- Comparison by organisation for this round of IMMAP
- Comparative rating by question average since the commencement of IMMAP
- Maturity level comparison since the commencement of IMMAP.

Participating organisations provided evidential comments supporting each rating, which has been collated by question and is located in **Part Two A: Supporting Comments**. A copy of the questionnaire used by participants to assess their information management maturity through the Information Management Maturity Measurement (IM3) Tool<sup>1</sup> is located in **Part Two B: Information Management Questionnaire**.

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<sup>1</sup> <https://prov.vic.gov.au/recordkeeping-government/learning-resources-tools/information-management-maturity-measurement-tool-im3>

## 2 D1: People

### Question 1.1 Information literacy and responsibility

*Do the staff in your organisation demonstrate awareness of their information management responsibilities and are they commensurate to their roles?*

*What is the current level of information literacy held by staff in your organisation?*

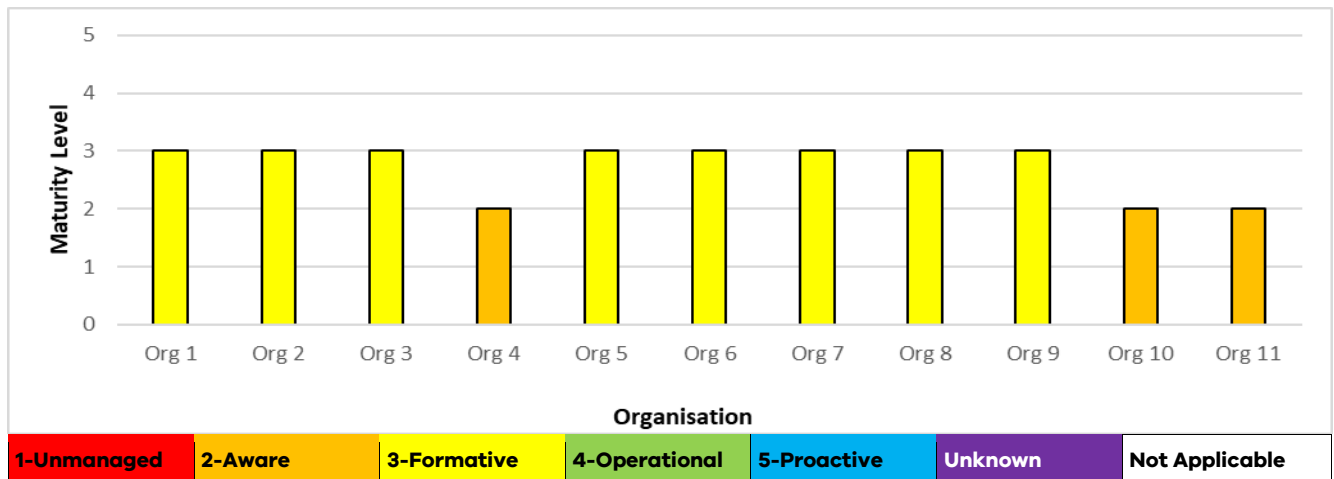
*Do staff in your organisation value information as an asset?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• There were a variety of ways that staff members could engage with and remain informed about information management. For example, through discussion in team meetings, communities of practice, throughout day-to-day analytical work, when engaging with stakeholders, using eLearning modules, policies, standards, intranet hubs, videos and other tools.</li> <li>• There was a wide range of information management topics covered in formal advice, including governance, secure handling of information, risk management, training and awareness, incident management, business continuity planning and disaster recovery, working with third parties, logs and monitoring, systems requirements, network security, privacy, change and configuration management, personnel and physical security and cryptography.</li> <li>• Use of tools to enable literacy and actively engage with responsibilities, such as a business classification and retention tool, an Information Management Accountability Framework that set out responsibilities for information management, and mechanisms that provided groups with some flexibility to configure their sites and libraries in the SharePoint EDRMS to</li> </ul>	<ul style="list-style-type: none"> <li>• Multiple machinery of government changes continued to impact the consistent application of information literacy and responsibilities.</li> <li>• Continued inconsistencies in the use of current systems and tools, including information asset registers.</li> <li>• Ongoing lack of resources to ensure information literacy opportunities are possible, current and useful and for key tools to be taken up and used effectively. Resources include infrastructure, finance, and staff availability.</li> </ul>

suit their ways of working with information and records.

- Responses emphasised privacy, security, and accessibility regarding elements that were resourced.

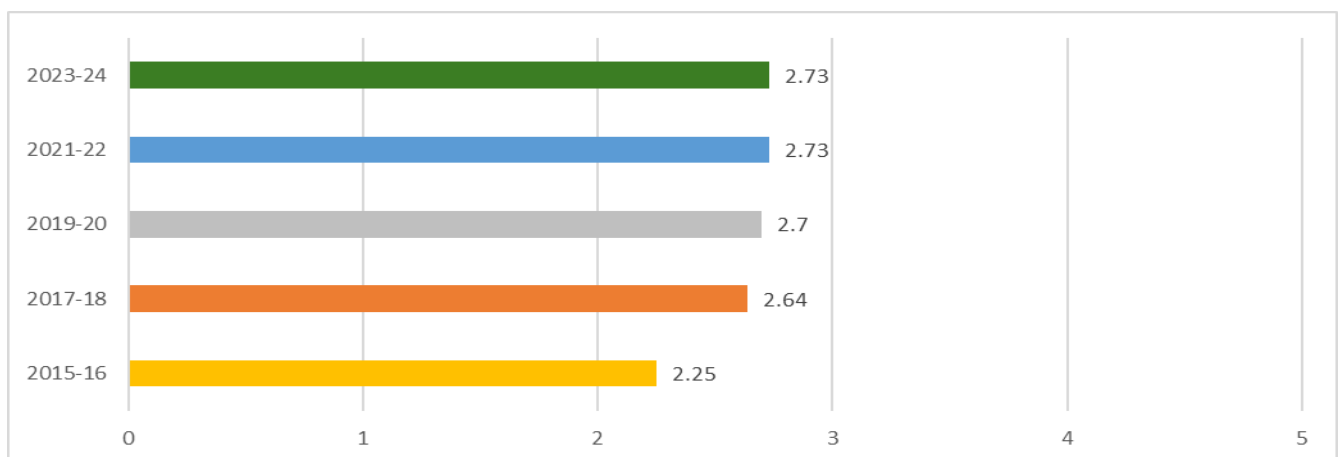
The average maturity level for this question was 2 Aware.



**Chart 2.1a** Question 1.1 rating levels – 2023-24 assessment

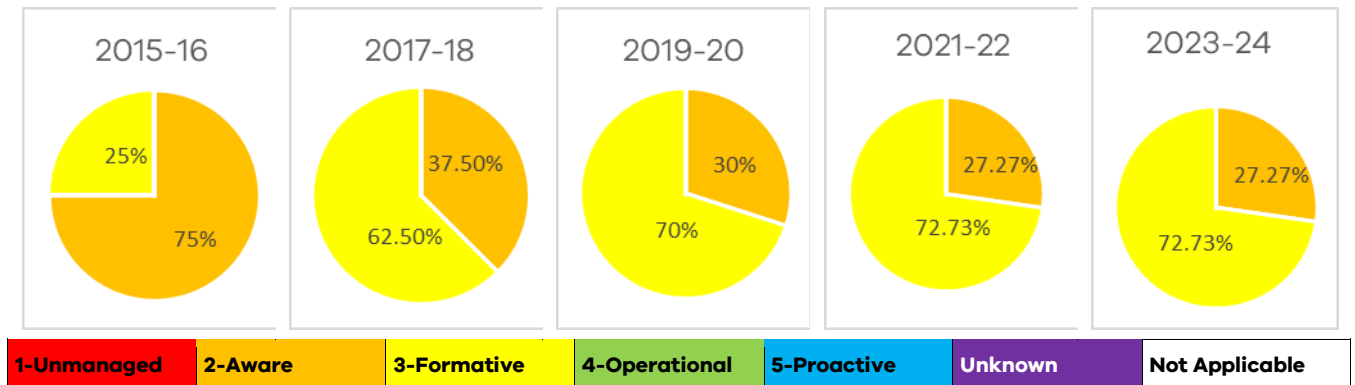
Most participants remained on a maturity level of 3 Formative, potentially due to the availability of resources and training material, effective use of the information asset register, and active discussion of specific information areas (such as data security, database management, and data sharing agreements).

Three participants were at a maturity level of 2 Aware, primarily due to the need for individuals to proactively locate and access information management resources, with no onboarding or classroom training available.



**Chart 2.1b** Question 1.1 rating levels – average comparison

Comparison of the averages for this question since commencement of IMMAP showed a stabilisation around the level of 2.73. For progression to 3 Formative to be achieved, appropriate resources for information management will be required, and mechanisms for successful use of information management will need to be understood by all staff.



**Chart 2.1c** Question 1.1 rating levels – comparison by IMMAP assessment

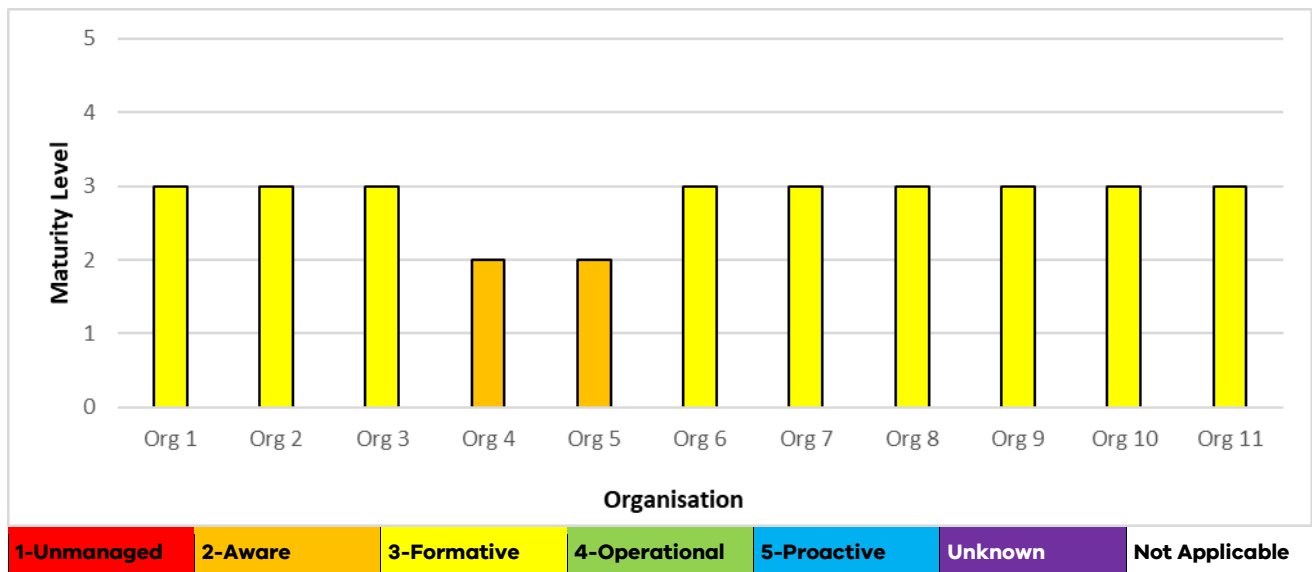
In comparison with the spread of maturity from previous assessments, this round of IMMAP showed maturity levels remained steady and were the same as the last assessment.

## Question 1.2 Capability and capacity

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

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• There has been an increase in active collaboration, brainstorming and sharing of information through use of communities of practice, engaging with subject matter experts where needed, and network meetings.</li> <li>• There has been a focus on upskilling staff and on utilising existing specialist information management roles to provide relevant and timely expertise with some executive level support.</li> <li>• A diversity in and promotion of tools used to gather, analyse, understand, and harness information to support business, including an information management professional capability set, information asset register, Privacy Impact Assessments, processes and policies for information related areas such as cyber security, and mandatory refresher training using relevant eLearning modules.</li> <li>• Assessments of records / information management undertaken in collaboration with business areas to better understand what is needed.</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced resources including funding and a reduction in specialist roles being filled resulting in a low capacity to meet demands. This is partially driven by executive decisions to move essential resources from information management to different parts of the organisation and partially through machinery of government change that has moved key specialist roles out of the participating organisation or otherwise reduced capacity to meet demands.</li> <li>• Ad hoc and inconsistent capability for good information management practices, including inconsistent take up of available expertise and opportunities as well as staff practices not aligning with policy requirements.</li> <li>• There was a separation of knowledge regarding information management where specialist staff provided expertise and remained the repository of information management. Non-specialist staff were removed from seeing the broader information management vision through the encouragement of dependencies on specialist staff rather than focusing on strengthening their information management capability.</li> </ul>

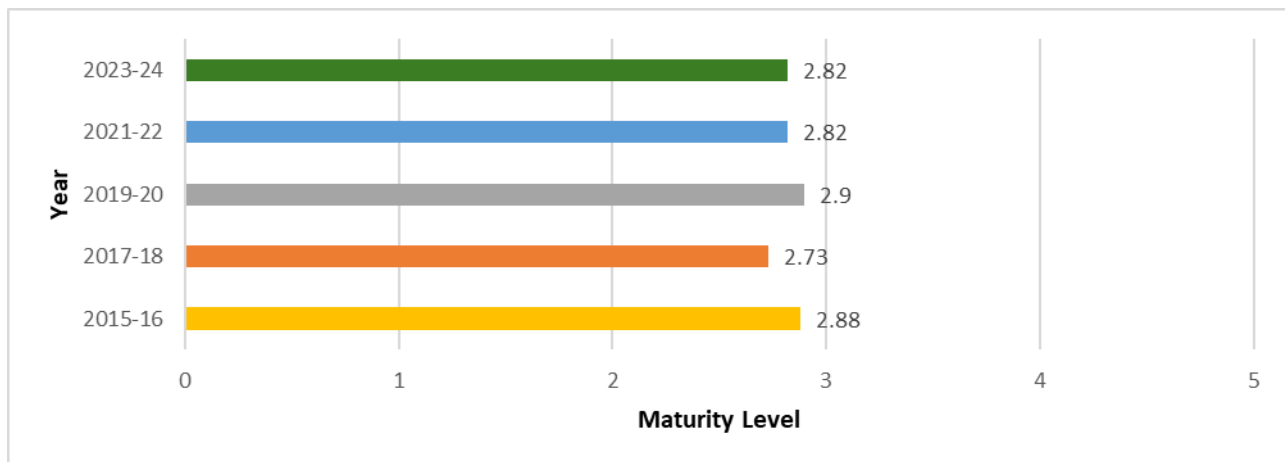
The average maturity level for this question was 2 Aware.



**Chart 2.2a** Question 1.2 rating levels – 2023-24 assessment

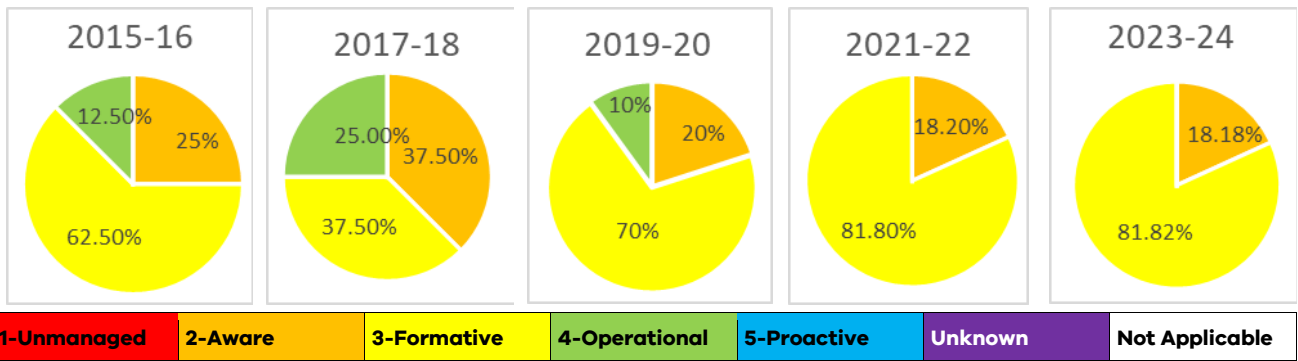
The majority of participants remained at maturity level 3 Formative, partially due to having a range of resources and training material to grow capacity, executive level support, and having clear processes and strategies in place.

Two organisations were at 2 Aware, possibly due to inconsistent, ad hoc practices, insufficient resources, and reliance on staff with expertise.



**Chart 2.2b** Question 1.2 rating levels – average comparison

Assessment scores remained at an average of 2.82, which was nearing the top of maturity level 2 Aware. Scores remained lower than assessment levels of 2019-20 Assessment, which was likely due to the reduction of resources and ongoing machinery of government change.



**Chart 2.2c** Question 1.2 rating levels – comparison by IMMAP assessment

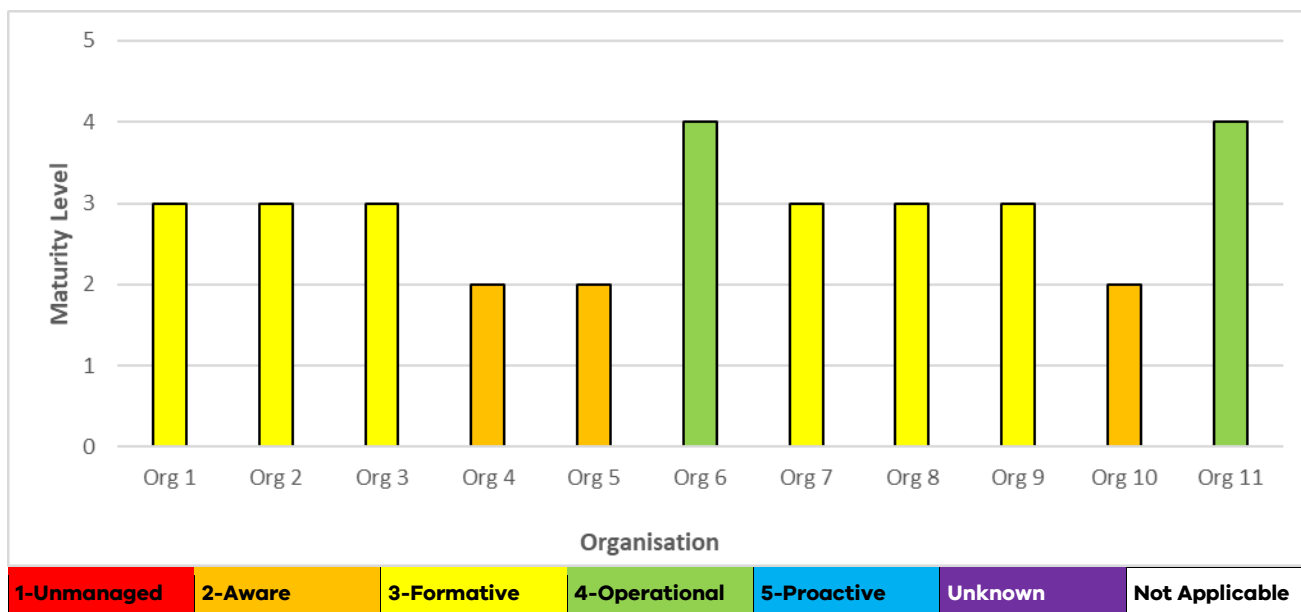
Comparison of the spread of maturity levels with previous assessments demonstrated stability in capability and capacity, although there remains a lack of the 4 Operational maturity level responses that existed pre-COVID.

## 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?

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• There were a range of formal training opportunities available, including use of eLearning modules, customised training, use of external training available such as LinkedIn Learning, guidance material including videos and dashboard guides, and in-person onboarding.</li> <li>• There was a central point for both online and in person guidance where appropriate through SharePoint sites, hubs and helpdesks for records management, security, information management, and privacy.</li> <li>• There were tools to support training and knowledge sharing, such as a business classification and retention tool, naming conventions, folder structure guidance, and other finding aids.</li> <li>• There were multiple informal opportunities for knowledge sharing including Communities of Practice, support groups, active and focused knowledge sharing with business teams, Innovation Network group participation, newsletters, relevant internal subject matter expert training offered through the EDRMS, and Viva Engage / Yammer sites.</li> <li>• Training topics include privacy, security, information and records management, M365, EDRMS, SharePoint, data access and release, information governance, classification and retention.</li> </ul>	<ul style="list-style-type: none"> <li>• Staff needed to be actively interested in gaining knowledge and seek out relevant training materials.</li> <li>• Ad hoc training and support were provided with an over reliance on online resources that were not tailored to specific user needs.</li> <li>• There was a lack of appropriate budget and other resources to provide relevant and timely training, and consequently a reliance on freely available/no cost resources.</li> </ul>

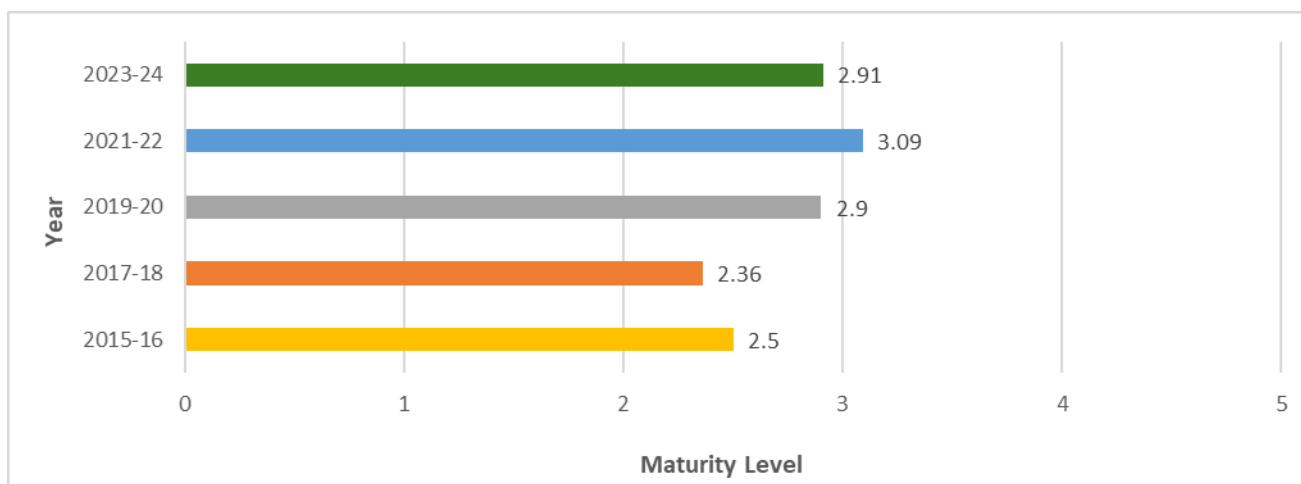
The average maturity level for this question was 2 Aware.



**Chart 2.3a** Question 1.3 rating levels – 2023-24 assessment

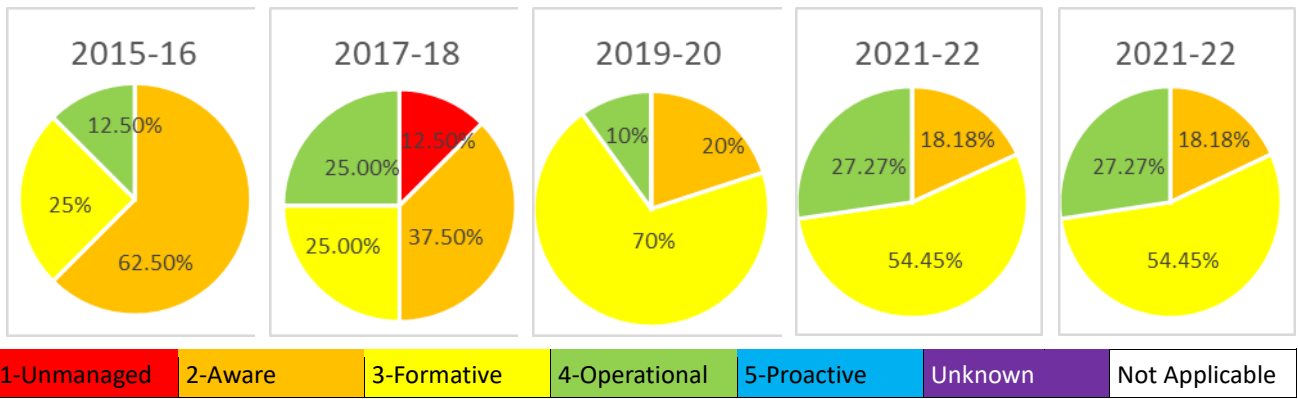
The highest ratings were achieved by Organisations 11 and 6 with a maturity level of 4 Operational, possibly due to active and engaged information and data management training programs, and tools such as a central information and records management hub to promote good practice.

Organisations 10, 5 and 4 recorded a rating of 2 Aware, potentially due to training programs that partially covered relevant areas, or which needed to be actively sought out. The remainder of participants were on 3 Formative.



**Chart 2.3b** Question 1.3 rating levels – average comparison

After a period of ongoing progression, this round of IMMAP has reverted to 2019-20 figures. While this corresponds to a partial return to office, it is difficult to determine the degree to which the previous figures were a result of COVID and the need for people to be working remotely and therefore the need for training and knowledge sharing resources to be available and accessible.



**Chart 2.3c** Question 1.3 – comparison by IMMAP assessment

While the figures for 3 Formative remain the same as the last assessment, the ratings for 4 Operational and 2 Aware have swapped and show an overall reduction in maturity level from the previous assessment.

### 3 D2: Organisation

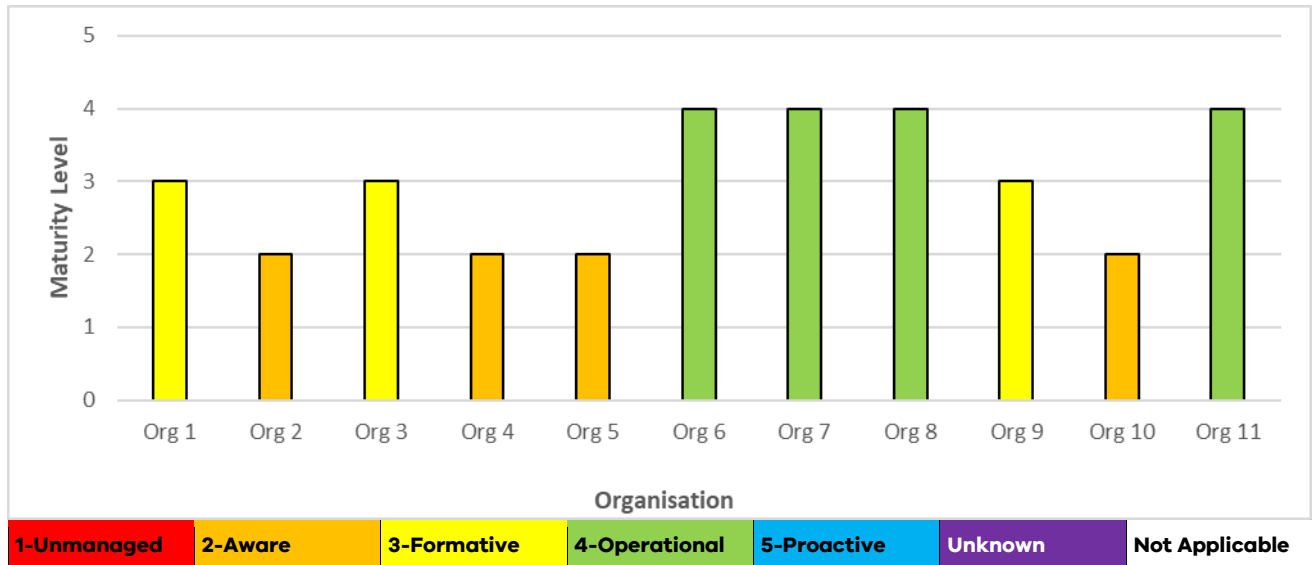
#### Question 2.1 Governance

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

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Some responses showed a central governance body chaired by or reported to the executive, had representation from across different business areas and professional disciplines, provided formal governance for information management through actions such as discussing and reviewing key projects and initiatives, advised on strategic objectives and operational requirements, encouraged development of common practices, supported knowledge transfer, and monitored and reported on information management activities.</li> <li>Organisation-wide governance frameworks based on central strategies and policies supported by the Executive that informed and reinforced good information management practices.</li> <li>A series of localised distributed frameworks and governance committees based on professional disciplines, business areas or projects across the organisation that provided context to implementing overarching governance strategies and enabled reporting up of recommendations, results and business needs to the Executive.</li> <li>Ongoing review and addressing of gaps in specific areas of governance, such as disaster recovery capabilities and business continuity plans, governance</li> </ul>	<ul style="list-style-type: none"> <li>Lack of information management government committees and other governance structures.</li> <li>Inconsistent governance of systems, especially legacy systems which were poorly governed due to expectations they would be decommissioned soon.</li> <li>Clause 11 impacts on existing structures due to organisational changes and resulting impacts on resources.</li> <li>Poor awareness of existing governance structures.</li> </ul>

committee structures, and enterprise of other governance related architectures.

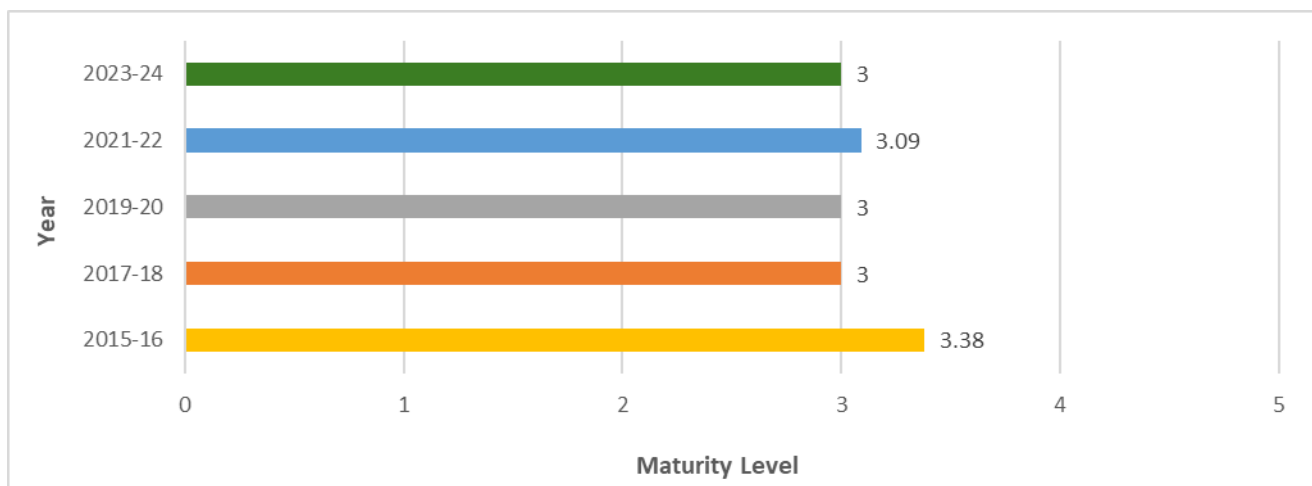
The average maturity level for this question was 3 Formative.



**Chart 2.4a** Question 2.1 rating levels – 2023-24 assessment

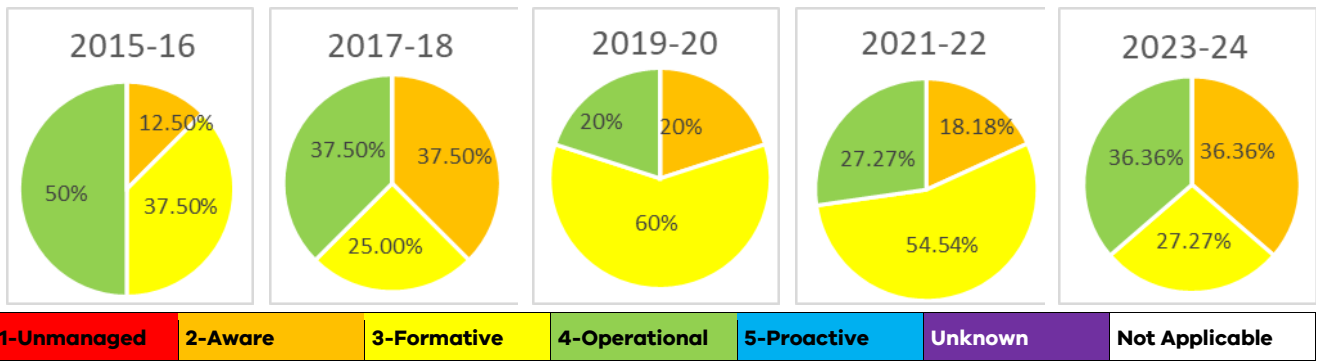
Organisations 6, 7, 8 and 11 all received an above average rating of 4 Operational, due to having information management committees in place with executive level support and strong governance structures.

Organisations 2, 4, 5, and 10 held a below average rating of 2 Aware, possibly due to gaps in the governance structure including no information management committee in place, or implementation processes underway but not completed.



**Chart 2.4b** Question 2.1 rating levels – average comparison

The average maturity level rating has returned to the pre-2021-22 level of 3, which is the third time a rating of 3.0 has been recorded.



**Chart 2.4c** Question 2.1 rating levels – comparison by IMMAP assessment

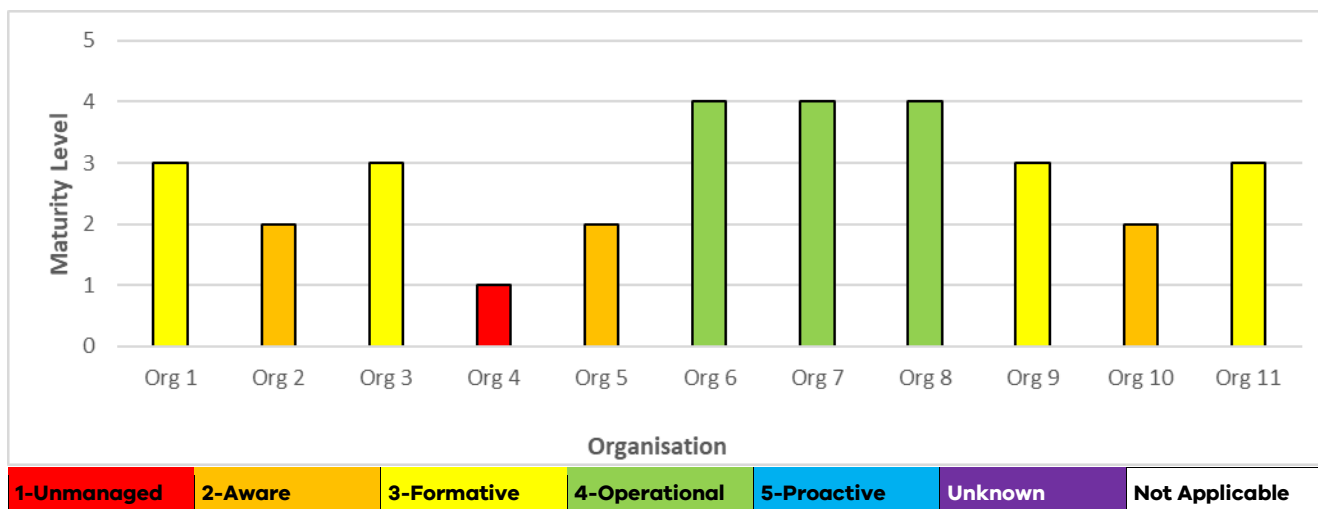
While there is an increase in maturity level of 4 Operational, there has also been an increase in maturity for 2 Aware at the detriment of 3 Formative. The spread of maturity across the three areas resembles pre COVID levels.

## Question 2.2 Information management 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?

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Some responses showed a central, organisation-wide strategy, aligned with other strategies, that contained the vision and/or future direction for information management at a high level and which covered various elements regarding information management such as issues, major risks, desired results, what is required, and resource implications. The strategy, vision or roadmap for information management was included as part of another broader strategy for some organisations.</li> <li>Various localised strategies based on context such as business area, specialist expertise, need, or project that specified plans to improve information management capabilities, processes and practices, and which addressed possible gaps and opportunities.</li> <li>Some strategies were in development or being revised to ensure that they remained relevant, partially due to machinery of government change and partially due to gaps identified when undertaking assessments of specific business areas, processes, practices, and capabilities.</li> <li>Implementation of some strategic objectives in line with focus areas across the organisation as a result of resourcing being available, including funding and staff members with the relevant expertise.</li> </ul>	<ul style="list-style-type: none"> <li>Key information management tools, such as a strategy, vision or roadmap, not existing, or no longer current and in need of review.</li> <li>Lack of resources, including funding, hindering implementation of the information management strategy, vision or roadmap.</li> </ul>

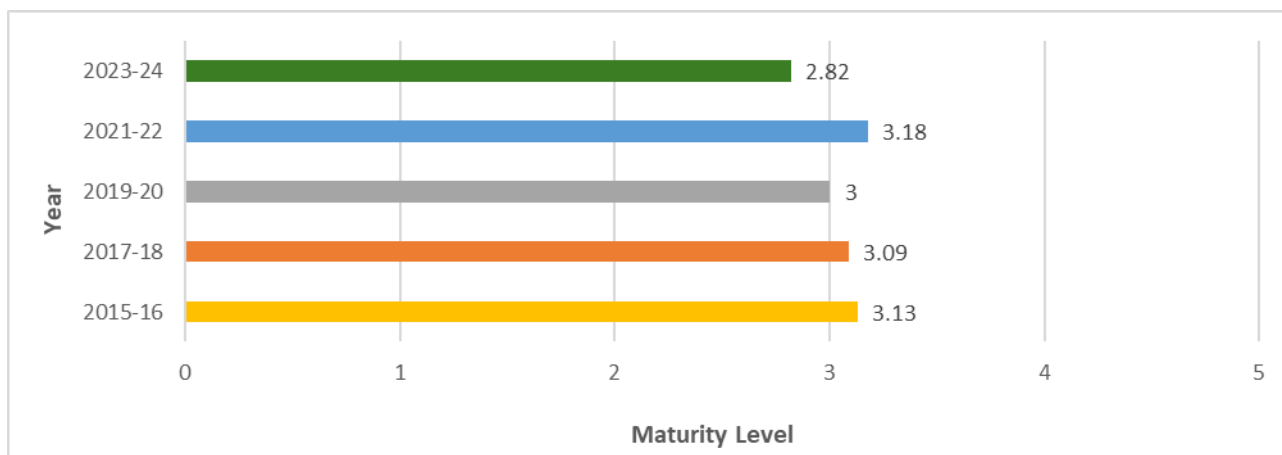
The average maturity level for this question was 2 Aware.



**Chart 2.5a** Question 2.2 rating levels – 2023-24 assessment

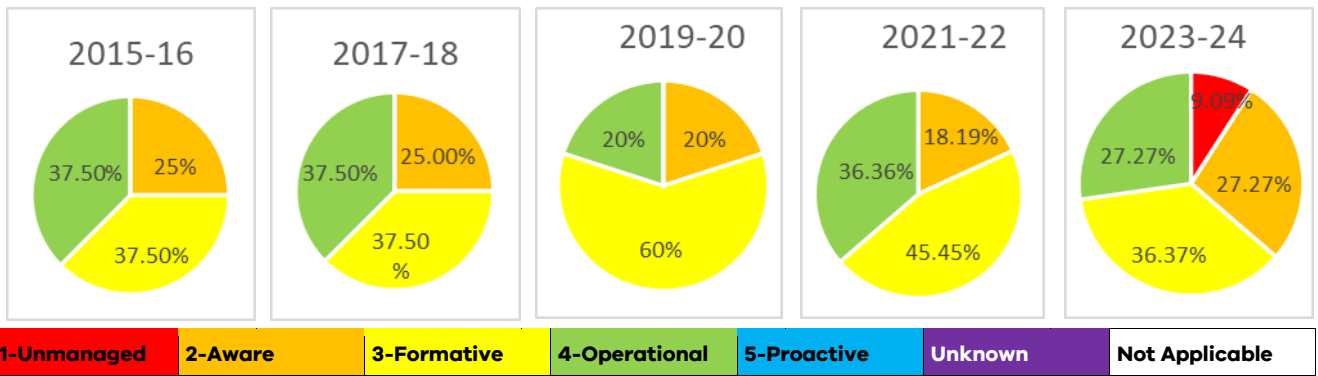
Highest maturity level ratings of 4 Operational were achieved by Organisations 6, 7 and 8, with organisations 1, 3, 9 and 11 also achieving a maturity level rating higher than the average. Comments cited high maturity due to having in place an executively endorsed information management strategy, supported by other relevant strategies, with wide consultation and engagement throughout the drafting process, and continually referred to as a guiding document for information management work.

Organisations 2, 5 and 10 held maturity levels at the average of 2 Aware, and Organisation 1 held a maturity level rating lower than average. Supporting comments mentioned funding and other resourcing issues that prevented a valid, current, and strong information management strategy from being produced and implemented.



**Chart 2.5b** Question 2.2 rating levels– average comparison

Comparative results show a substantial decline with the lowest score so far recorded for this question. Comments indicated that machinery of government change has impacted multiple participants and appears to have profoundly affected the development and ongoing maintenance of information management strategy and vision.



**Chart 2.5c** Question 2.2 rating levels – comparison by IMMAP assessments

Comparing the spread of maturity with previous assessments, maturity levels are showing a decline. Resourcing issues from the machinery of government change was likely a major contributor to this decline.

## Question 2.3 Strategic alignment

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

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Groups and committees were used to create wider strategic alignment across domains, as well as executive support to drive alignment.</li> <li>Strategic alignment was influenced and supported through review of key strategic areas such as information privacy, and cyber security, and of requirements for key projects.</li> <li>There were various localised strategies and policies that aligned information management to the relevant business processes and areas, including cyber security, and which facilitated delivery of strategic priorities.</li> </ul>	<ul style="list-style-type: none"> <li>Lack of a current and relevant information management strategy.</li> <li>Machinery of government change impacting information management programs and reducing resources available.</li> <li>Minimal acknowledgement of information management in executive level strategies.</li> </ul>

The average maturity level for this question was 2 Aware.

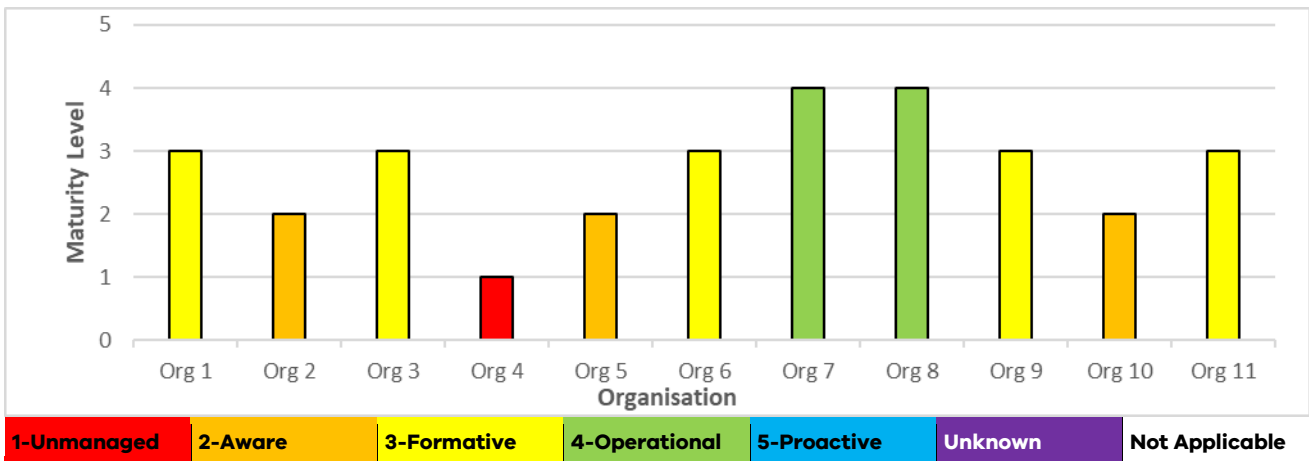
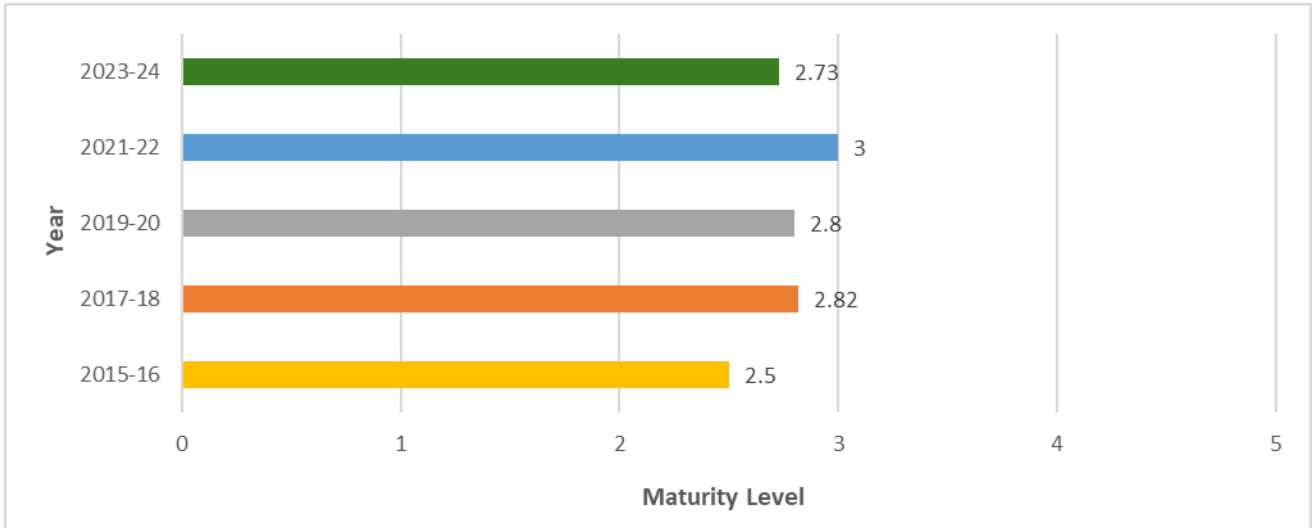


Chart 2.6a Question 2.3 rating levels – 2023-24 assessment

Organisations 7 and 8 held the highest maturity level of 4 Operational. This was primarily due to aligning information management strategy with the information management strategic plan, which includes data management, information access, technological effectiveness and improved evidential monitoring for improvement, and by providing support through policies including security and risk management.

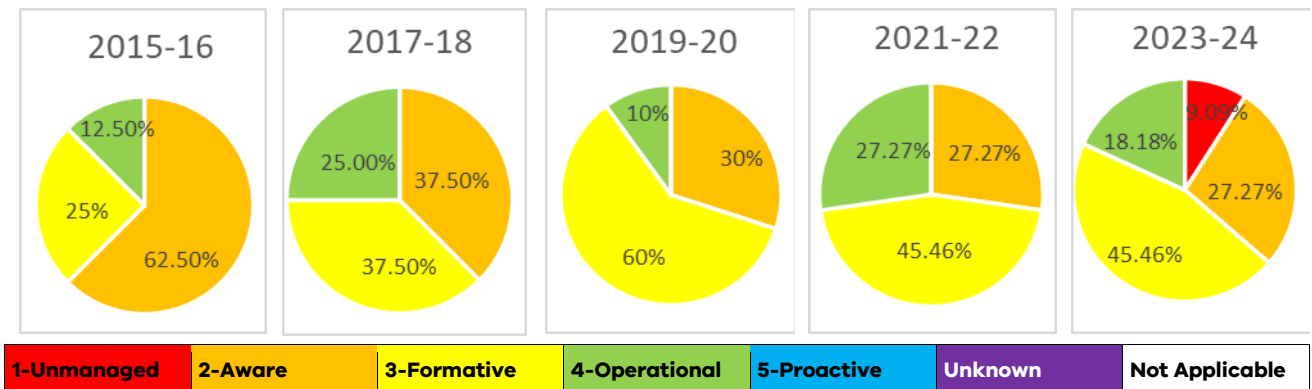
Organisations 1, 3, 6, 9 and 11 were also above average at 3 Formative, and Organisations 2, 5, and 10 held a maturity rating at the average of 2 Aware.

Organisation 4 was at a maturity of 1 unmanaged, below the average for this question, providing comments acknowledging the gap and that they have commenced work to include considerations in the information management policy and program.



**Chart 2.6b** Question 2.3 rating levels– average comparison

Comparative results show a decline from the previous rating provided, which is the second lowest recorded since commencement of IMMAP.



**Chart 2.6c** Question 2.3 rating levels – comparison by IMMAP assessment

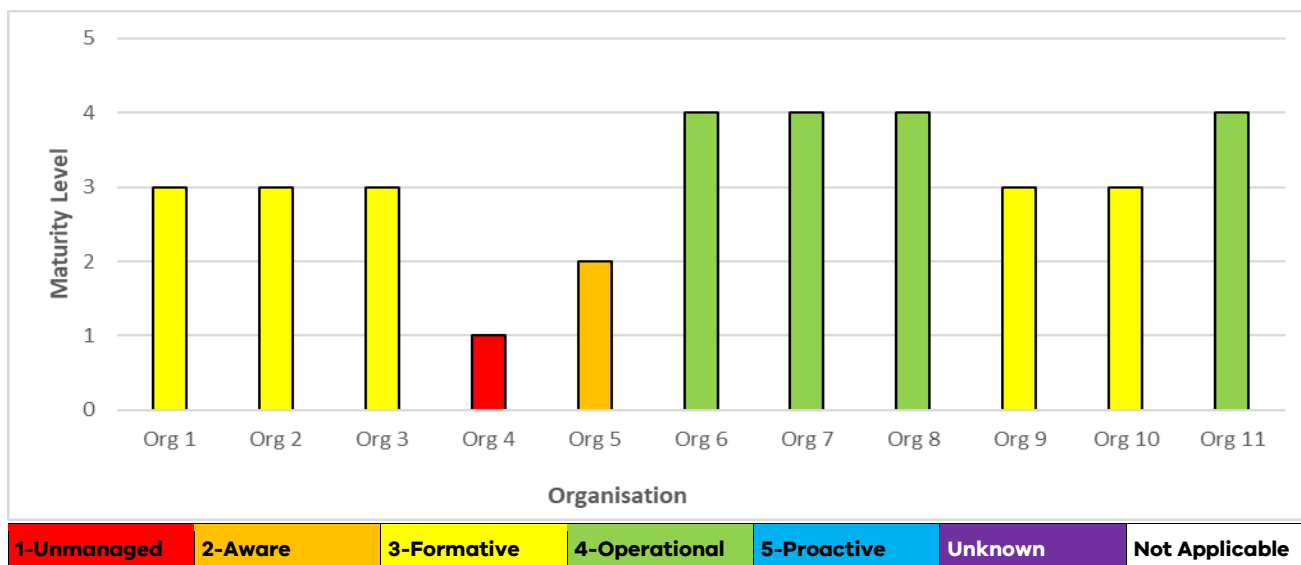
While the maturity levels of 2 Aware and 3 Formative were on par with the previous assessment, there was a decline in 4 Operational levels and the emergence of a 1 Unmanaged which affected the overall maturity level rating.

## Question 2.4 Management support and leadership

Do all levels of management actively support information management in your organisation?  
Is there executive-level representation and advocacy for information management initiatives?

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• Specific information management roles were assigned to advocate and implement information management, including Chief Information Officer and Enterprise Information Management.</li> <li>• Executive level representation and advocacy was shown primarily through use of governance committees, such as Information Management and Technology Committees, Combined strategy steering Committee.</li> <li>• Advocacy for information management initiatives was shown through high priority projects and business processes that involved management and specialist representatives from across the organisation, such as risk mitigation, cyber security, and enterprise solutions.</li> <li>• Localisation of information management support and leadership was shown through business areas being responsible for their own implementations and through specialised area hubs, such as cyber security, system management and enterprise architecture.</li> </ul>	<ul style="list-style-type: none"> <li>• There were inconsistencies in representation and advocacy of information management across the organisation.</li> <li>• There was an over reliance on pre-existing policies, procedures and initiatives remaining sufficient to meet existing and future information management needs.</li> <li>• There was a decentralisation and a focus on aspects of information management spread across multiple roles, including information security, cyber security and digital/technology, rather than on information management as a whole program of work.</li> </ul>

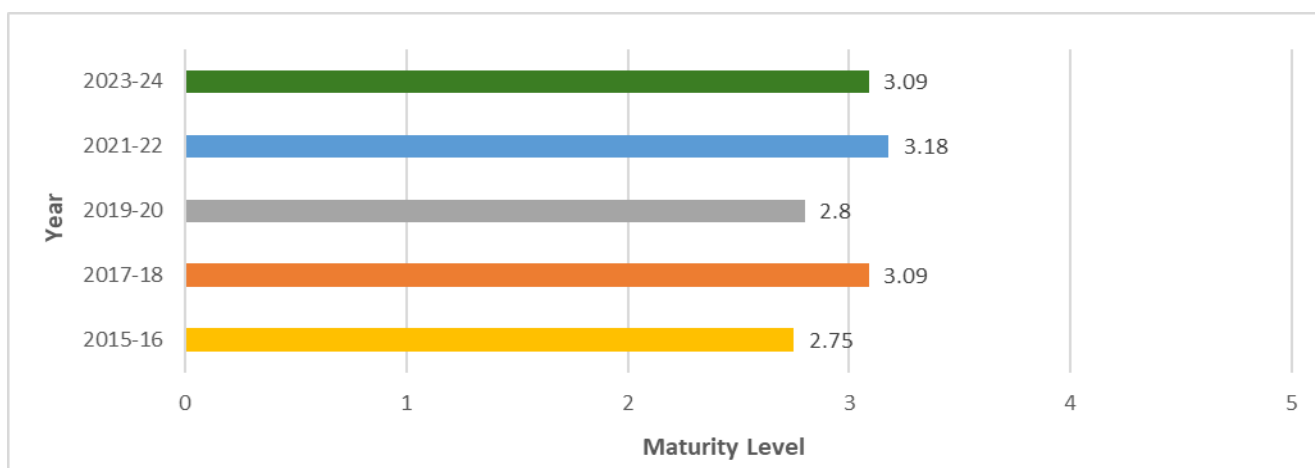
The average maturity level for this question was 3 Formative.



**Chart 2.7a** Question 2.4 rating levels – 2023-24 assessment

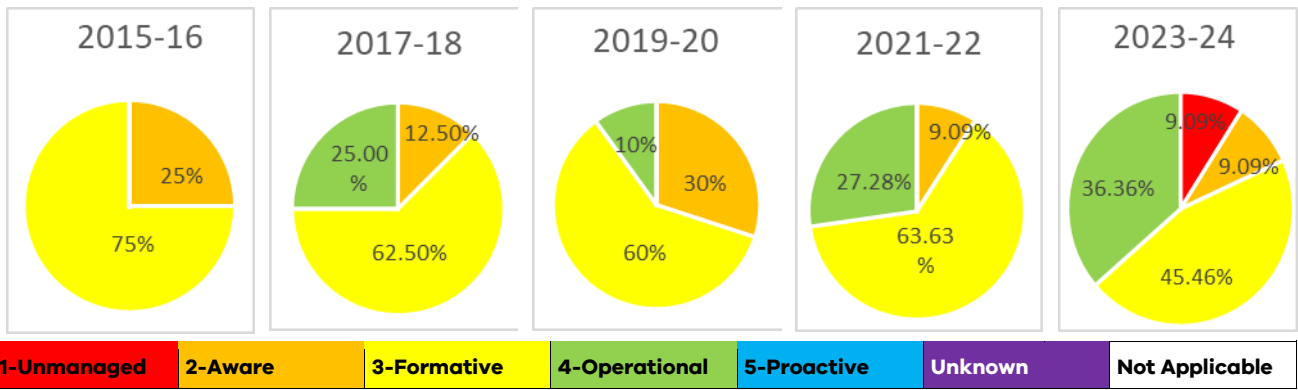
Organisations 6, 7, 8 and 11 achieved a maturity level higher than the average of 4 Operational. Comments suggested the rating resulted from having executive level information management committees that monitored information management, aligned with information technology and other relevant areas, and reported to executive management, and to having dedicated specialist management level positions for information management. Organisations 1, 2, 3, 9 and 10 held a maturity level at the average of 3 Formative.

Organisations 5 and 4 held maturity levels below the average for this question of 2 Aware and 1 Unmanaged respectively, acknowledging that there was a gap which was being addressed through activities such as high-priority projects that provided opportunity to engage with senior leadership to spread information management best practice.



**Chart 2.7b** Question 2.4 rating levels– average comparison

While comparative results show a slight decrease in maturity level from the previous round of IMMAP, levels remain at 3 Formative.



**Chart 2.7c** Question 2.4 ratings – comparison by IMMAP assessment

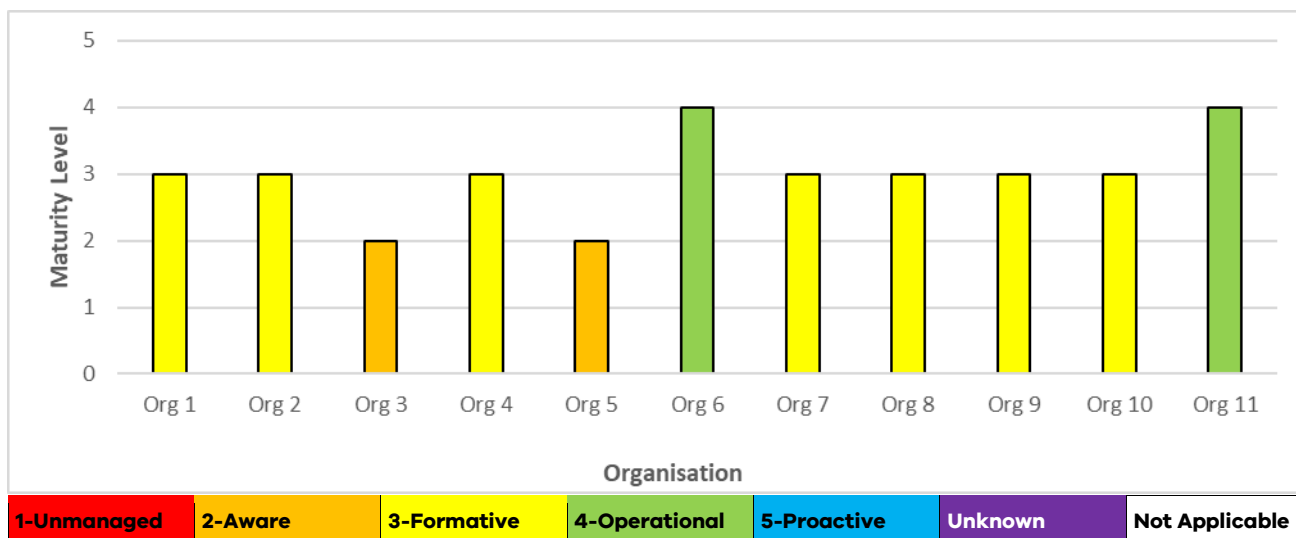
Comparing maturity levels with previous rounds of IMMAP, we have an increase in maturity for 4 Operational, which is now the highest it’s been since IMMAP commenced. While there is a 1 Unmanaged rating this round, it is in relation to the introduction of a new organisation with maturity levels in the early stages rather than an overall decline.

## 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?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Existing assessment products from various organisations were leveraged as auditing tools. This included the Office of the Victorian Information Commissioner's (OVIC) Victorian Protective Data security Framework assessment to audit privacy and security elements related to information management; PROV's Information Management Maturity Measurement (IM3) Tool to audit broader information management; and the Victorian Managed Insurance Authority's (VMIA) Essential 8 Self-Assessment to audit information security.</li> <li>Internal committees, including the Audit and Risk Management Committee, were used to review results of external based audits, and determine actions required.</li> <li>Compliance with internal processes and policies was assessed across the business by subject matter experts in information management with support provided such as guidance material to improve information management actions.</li> <li>Localised audit and compliance structures and frameworks were developed and implemented to address information management needs of specific business units.</li> </ul>	<ul style="list-style-type: none"> <li>Audit and compliance actions centred on privacy and data security needs, leading to possible undetected gaps in a programme of information management.</li> <li>Capacity to undertake audit and compliance activities and to address known gaps was limited due to the impacts of restructures, machinery of government change, and insufficient resources.</li> <li>There was a lack of formal information management auditing programmes.</li> </ul>

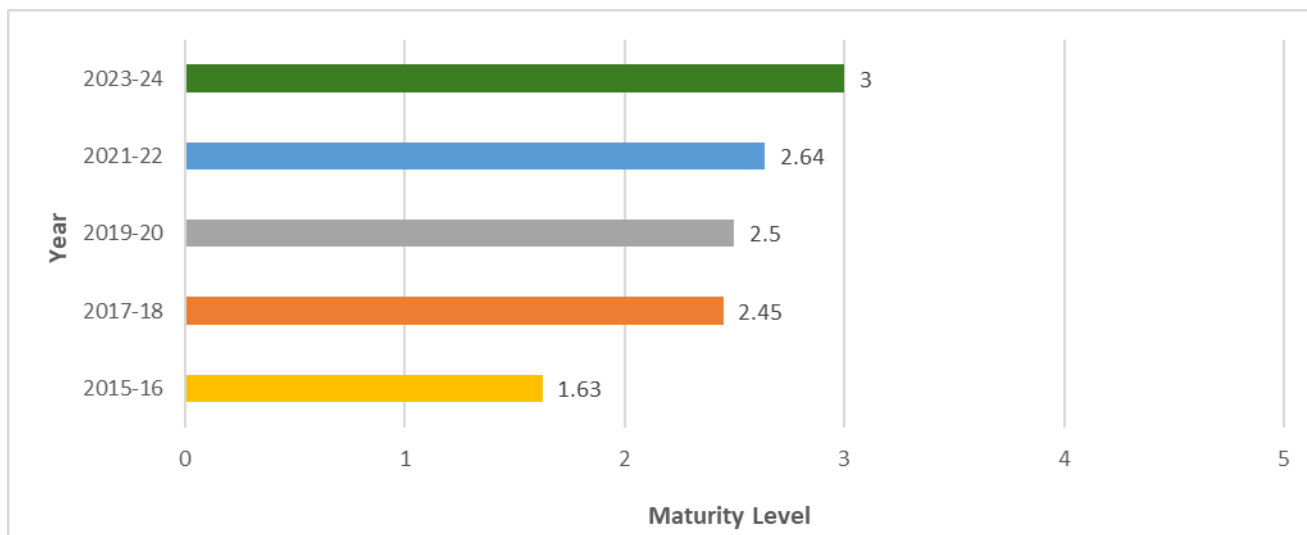
The average maturity level for this question was 3 Formative.



**Chart 2.8a** Question 2.5 rating levels – 2023-24 assessment

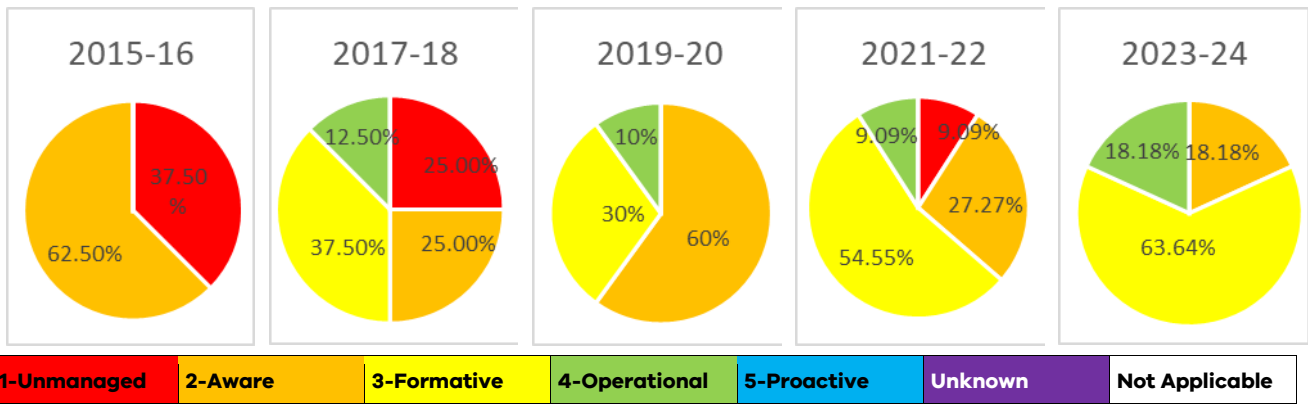
Organisations 6 and 11 achieved a maturity rating of 4 Operational, which was above average for this question. Comments provided to support their rating suggested it was achieved through leveraging external and internal audit and review processes, including IMMAP. Information management was also reviewed against PROV standards and the annual Victorian Protective Data Security Plan attestation to OVIC. Results were reported to executive committees to form and action responses. Organisations 1, 2, 4, 7, 8, 9 and 10 achieved a maturity level at the average of 3 Formative.

Organisations 3 and 5 held a maturity rating of 2 Aware, which was below the average. Comments suggest the rating was due to limited opportunities for formal auditing across the whole organisation, with pockets of localised audit and review activity based on function or business unit.



**Chart 2.8b** Question 2.5 rating levels– average comparison

In comparison with previous results, there has been a profound improvement this IMMAP round, which showed the highest rating to date for audit and compliance.



**Chart 2.8c** Question 2.5 rating levels – comparison by IMMAP assessment

In comparison with previous rounds of IMMAP, an increase in both 4 Operational and 3 Formative has been achieved. Supporting comments for this question primarily cite OVIC’s assessment requirements against the Victorian Protective Data Security Standards, although some also cite in-house risk-based audits, IM3 assessments and records management assessments.

# 4 D3: Lifecycle and Quality

## Question 3.1 Asset management

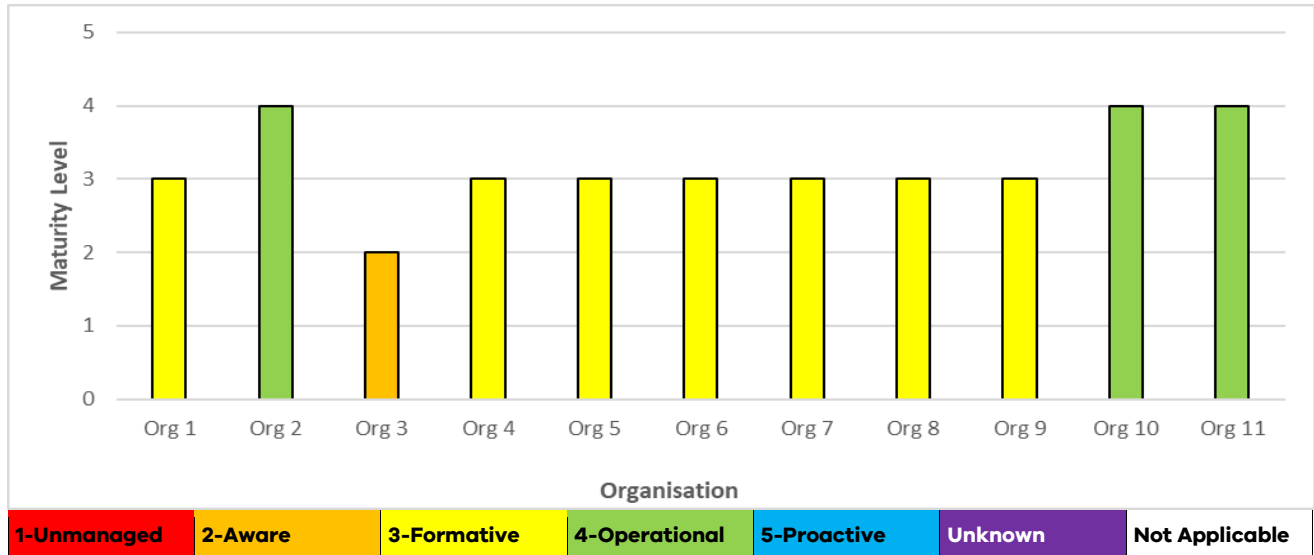
*How well does the organisation identify, manage, monitor, and utilise their significant information assets?*

*Have information management roles and responsibilities been defined and applied in the organisation to properly manage information assets?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Information asset registers and / or data catalogues were used to identify and capture information assets. The registers and data catalogues were centralised across the whole organisation or localised to specific business areas or projects.</li> <li>Information captured in information asset registers included the location of the asset, business owner and custodian, retention and security classification requirements, business impact levels, and audit actions.</li> <li>Information asset registers were used as a central tool for finding, accessing and using information by staff through a designated access portal, such as a SharePoint site. Information asset registers were also used as a key records management tool enabling the risk, business value (including whether the asset is a vital record), preservation, and lifecycle management to be more effectively undertaken.</li> <li>Information asset registers were subject to regular review (annual was common) by relevant subject matter experts to ensure they remained current and useful.</li> <li>Cyber security, privacy and other programs were leveraged to gain</li> </ul>	<ul style="list-style-type: none"> <li>Inadequate resourcing, insufficient awareness, loss of key knowledge, and lack of interest by business areas outside of information management (including related business areas, such as information technology) hindered the collection, assessment and use of information assets.</li> <li>Information Asset Registers and associated Asset Management Framework were missing, out of date, not maintained, or did not meet expectations.</li> </ul>

visibility and interest in identifying and managing information assets.

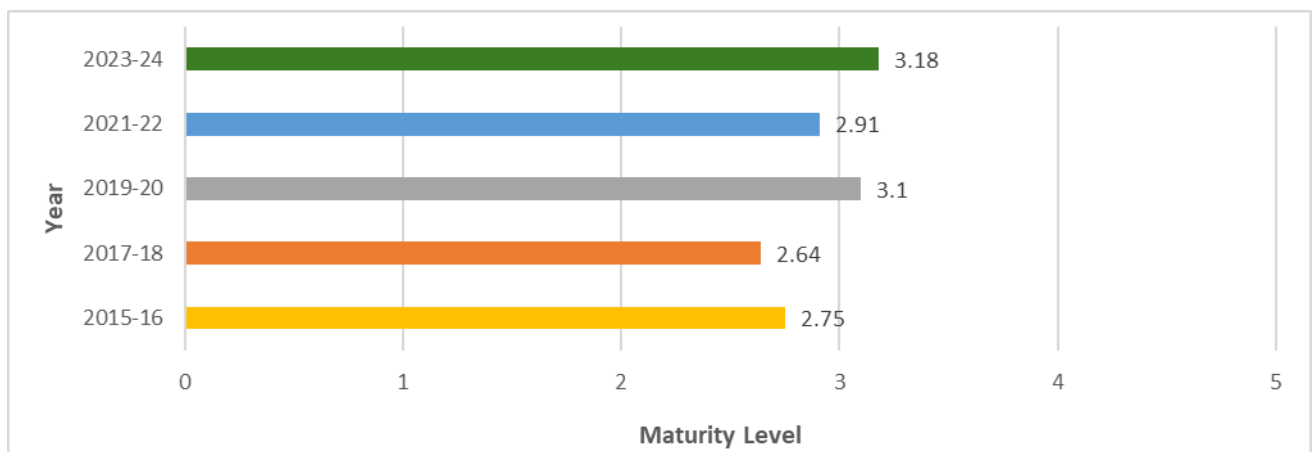
The average maturity level for this question was 3 Formative.



**Chart 2.9a** Question 3.1 rating levels – 2023-224 assessment

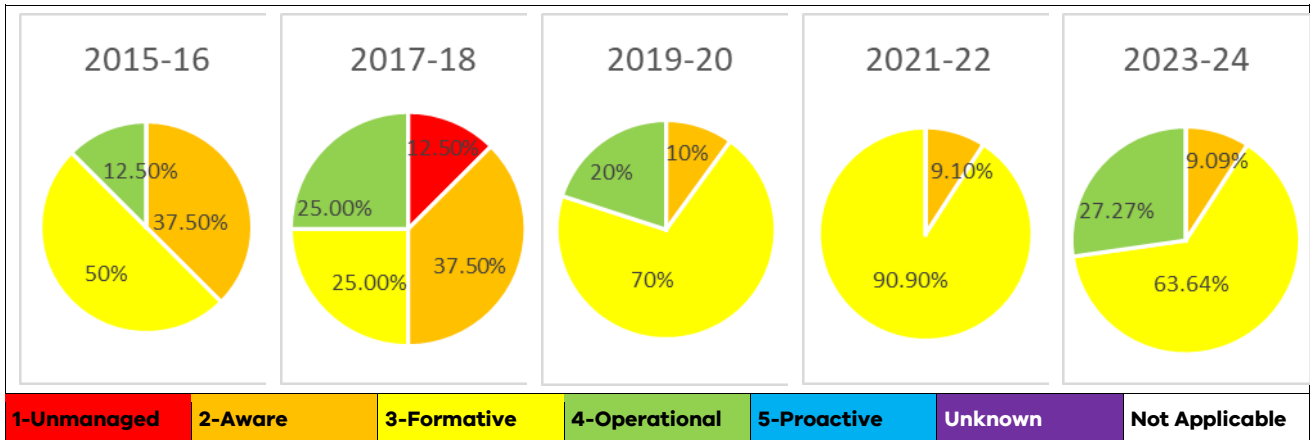
Organisations 11, 10 and 2 achieved an above average maturity rating of 4 Operational. Comments supporting the rating suggested the high maturity was due to having information asset registers in place, fully implemented across the organisation, and maintained through regular monitoring, review, update and reporting processes. Organisations 9, 8, 7, 6, 5, 4, and 1 all held a maturity level rating at the average of 3 Formative.

Organisation 3 held the lowest rating of 2 Aware, which was below the average. Supporting comments acknowledged the gap, which may have been due to a reliance on individual business units maintaining an information asset register for their area in line with Department policy, and holding custodianship for their information, rather than maintaining a central register.



**Chart 2.9b** Question 3.1 rating levels– average comparison

Comparative results show an increase in maturity level rating of 3.18, which is the highest received since the commencement of IMMAP. Information asset registers and other ways of identifying, recording and managing information assets such as high value high risk frameworks, were well established across all participants.



**Chart 2.9c** Question 3.1 rating levels – comparison by IMMAP assessment

Maturity levels this round of IMMAP showed a reemergence of 4 Operational to higher than previous levels achieved.

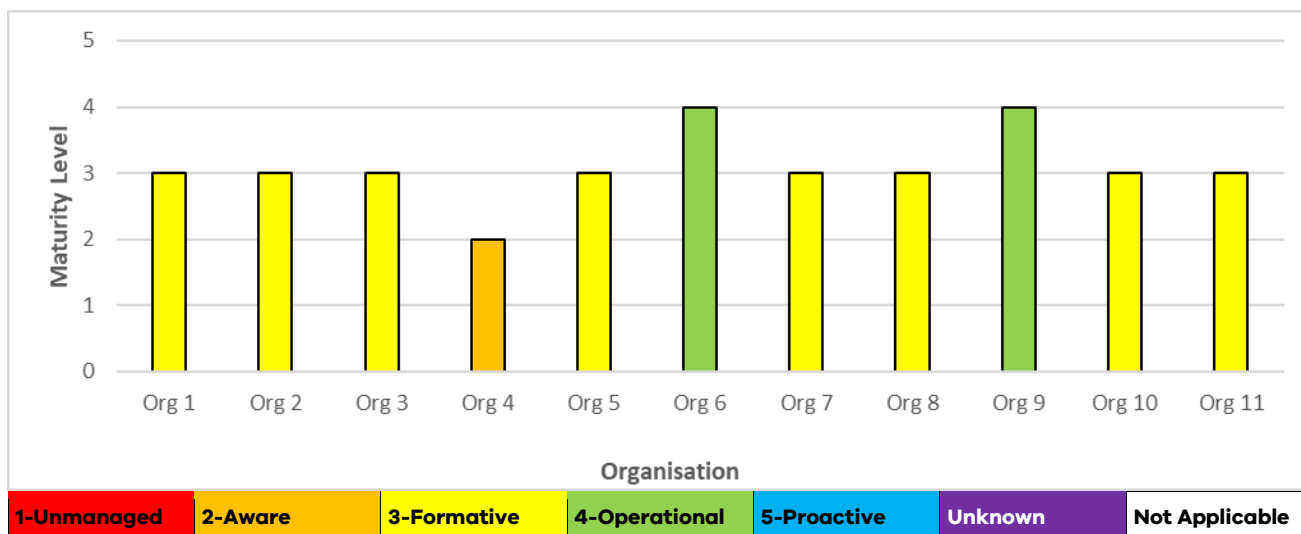
## Question 3.2 Policies and procedures

*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?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Organisations used a suite of aligned policies regarding information management in use, including records management policy, information asset governance policy, information security / cyber security policy, enterprise content management policy amongst others.</li> <li>Policies used were supported by a broad suite of procedures, frequently asked questions, guidance material, and training. Products were available through SharePoint hubs, intranets, and other central locations.</li> <li>Policies and procedures were aligned with key legislation, industry standards (including those produced by PROV and OVIC), supported by tools and programs that drive best practice and endorsed by the executive.</li> <li>Localised policies and procedures or strategies addressed the specific needs of business units, groups and divisions and were either in alignment with or fitted under a broader policy.</li> </ul>	<ul style="list-style-type: none"> <li>The main challenge noted by participants was keeping policies and procedures up to date and relevant, especially with limited resources and priorities being realigned as a result of machinery of government change and restructures.</li> </ul>

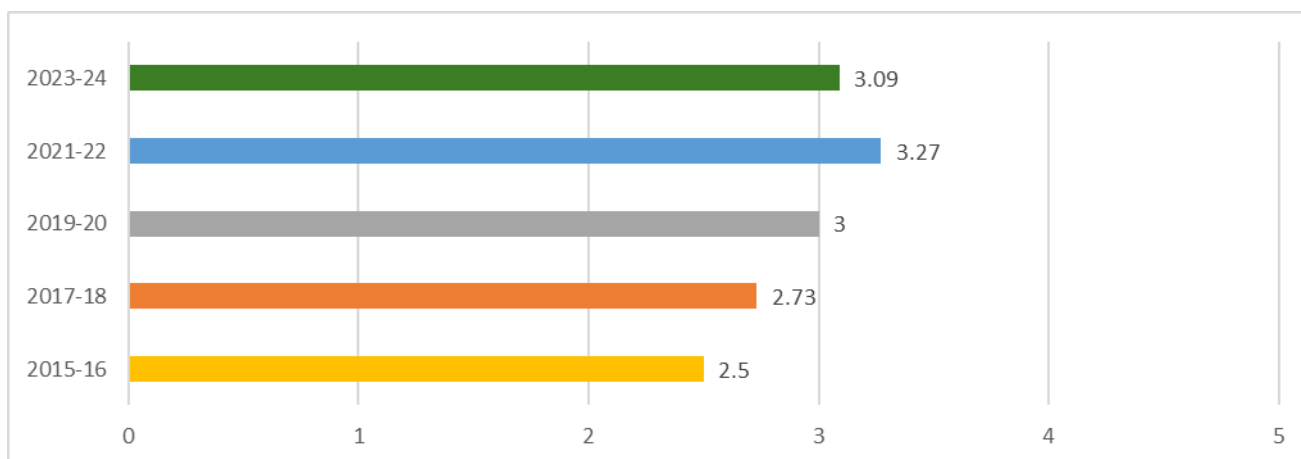
The average maturity level for this question was 3 Formative.



**Chart 2.10a** Question 3.2 rating levels – 2023-24 assessment

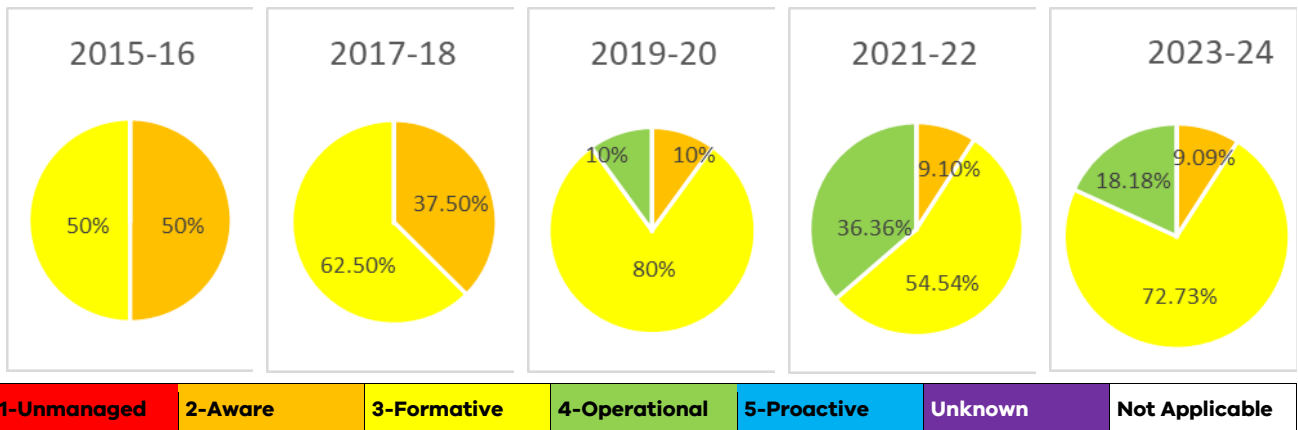
Organisations 6 and 9 achieved a higher-than-average maturity rating of 4 Operational. Comments suggest this was due to having information management and associated policies and procedures implemented and available to all staff across the organisation, supported by all levels of management, and aligned with OVIC and PROV standards. Organisations 1, 2, 3, 5, 7, 8, 10 and 11 all held maturity level ratings at the average of 3 Formative.

Organisation 4 held a rating of 2 Aware, which was below the average. Comments supporting the result confirm that information management policies and associated procedures were in development with foundational policies accessible to staff.



**Chart 2.10b** Question 3.2 rating levels– average comparison

For the first time since commencement, comparative results show a drop in maturity level. While levels are lower than the 2021-22 IMMAP, they continue to be within the 3 Formative maturity level.



**Chart 2.10c** Question 3.2 rating levels – comparison by IMMAP assessment

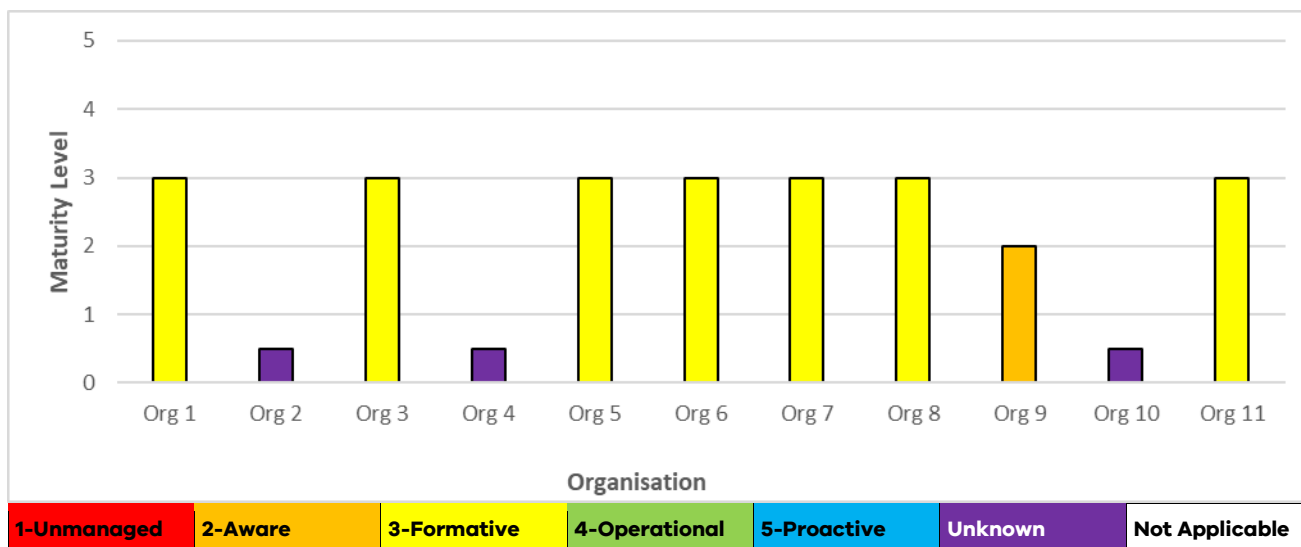
This round of IMMAP saw a decrease in 4 Operational and increase in 3 Formative. Supporting comments provided suggest that lack of resources needed to maintain and update policies and procedures was a contributing factor.

### Question 3.3 Meeting business needs

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

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• Various frameworks, strategies, systems, and plans were in place, in development, or under review, that: focused on information quality, integrity and accuracy, informed business needs, and enabled information to be available.</li> <li>• Engagement with internal and external information users was ongoing to review how well information met needs, including ensuring that relevant information was available.</li> <li>• Skilled information management and records management staff provided to support and consult on information management matters across the organisation.</li> <li>• Information management processes, systems and programs were established by localised groups or divisions to meet specific information quality needs.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence regarding whether information management business needs were being met was lacking. This included no organisation wide quality and availability program, or no formal program to measure whether information was meeting business needs, and limitations on the ability to retrieve information for decision making.</li> <li>• Competing priorities prevented available resources from actively addressing information management business needs.</li> <li>• Limited and overstretched resources resulted in minimal capacity to understand and address information management business needs.</li> </ul>

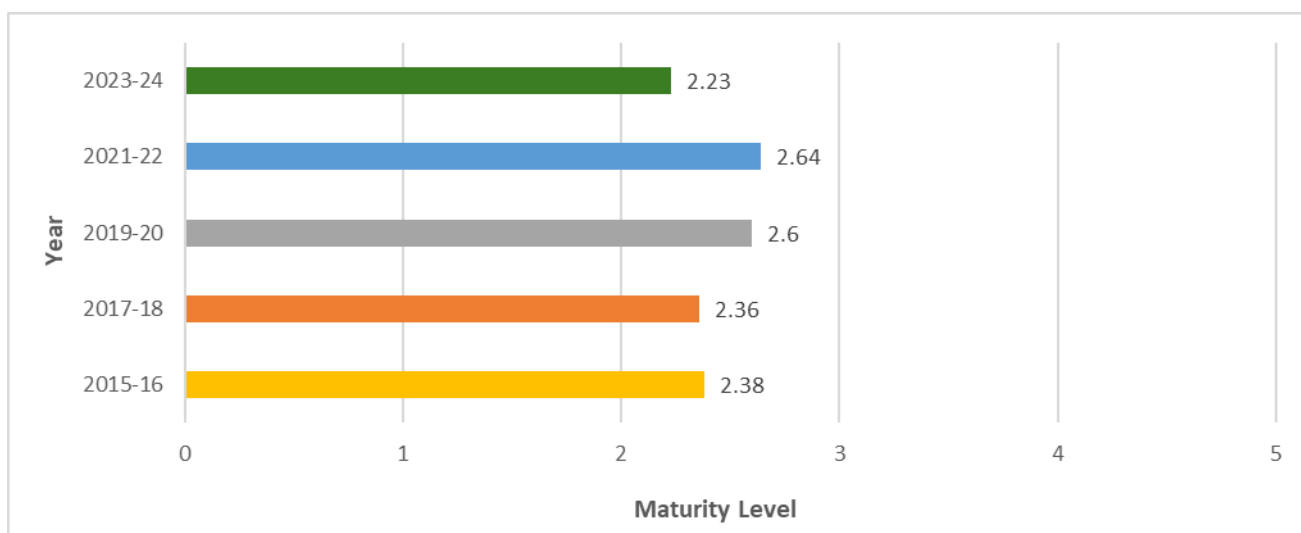
The average maturity level for this question was 2 Aware.



**Chart 2.11a** Question 3.3 rating levels – 2023-24 assessment

Organisations 1, 3, 5, 6, 7, 8, and 11 all achieved a maturity rating of 3 Formative, which was above the average for this question. Supporting comments suggest the high maturity was achieved through focused engagement with information users regarding their information needs and how well they were being addressed, through localised practices and systems for quality improvement, through a focus on digital capture of information, and through leveraging related processes such as security assessment and asset management processes. Organisation 9 achieved a maturity level at the average of 2 Aware.

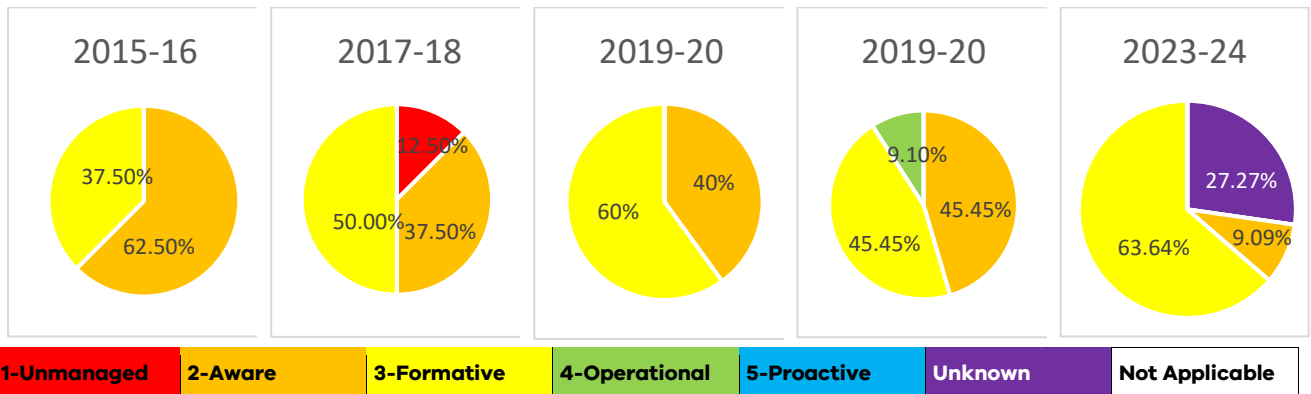
Organisations 2, 4 and 10 provided a maturity level rating of Unknown for this question. Comments suggest this was due to machinery of government change and associated resource limitations that resulted in no working knowledge of the information management needs of users.



**Chart 2.11b** Question 3.3 rating levels– average comparison

Comparative results show a decline in meeting information management business needs on the previous IMMAP assessment. Results achieved were the lowest on record for this question. A possible

reason was the impact of machinery of government change as time and resources are needed to understand and address business needs.



**Chart 2.11c** Question 3.3 rating levels – comparison by IMMAP assessment

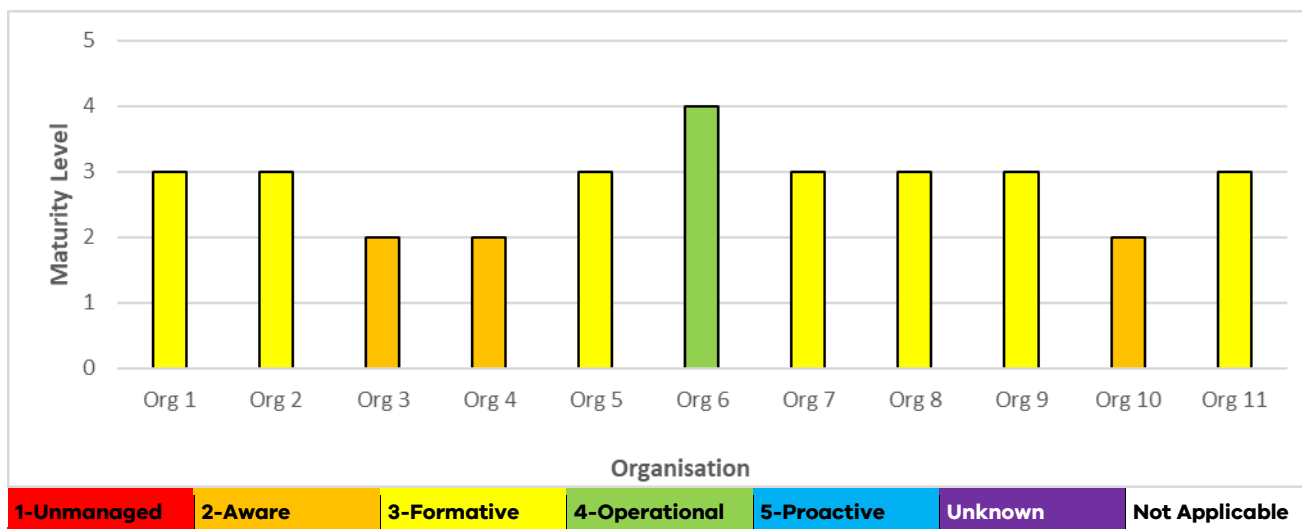
This round saw maturity levels of Unknown assigned, for the first time since the commencement of IMMAP, by three organisations. This round, the 3 Formative maturity level spread has increased and is the highest recorded so far. Supporting comments suggested that several organisations were taking advantage of strategic plans, information asset registers, and various stakeholder engagement methods to build on existing structures and improve meeting business needs.

### 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?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• Technology-based tools and applications were used to aid accessibility and discovery, including migration to M365, and use of the organisation’s EDRMS.</li> <li>• Information Asset Register, Data Catalogues, Business Classification Schemes and metadata policies were leveraged to aid discovery and accessibility.</li> <li>• Organisations moved towards accessing information within the various systems that they were captured in rather than placing information in a single repository. Reasons supplied were that this reduced duplication and improved contextual understanding.</li> <li>• Improving processes, guidance materials, and training for information capture, identification, and retrieval (including metadata, definitions and standards, naming conventions, security, access, and lifecycle management) to aid understanding and enable discoverability.</li> <li>• Use of subject matter experts to deliver tailored analytics and insights to stakeholders to improve access.</li> </ul>	<ul style="list-style-type: none"> <li>• Silos, legacy systems, and inconsistencies with how information systems, processes and practices were utilised, hindered the discoverability and access of information.</li> <li>• Technologies used did not enable the easy identification and access of information. For example, some had no federated search capability, limited metadata fields, or restrictive access controls.</li> <li>• There were gaps in staff knowledge and capability regarding how to effectively search for, identify and access information in systems used prevented timely location and access of relevant information.</li> <li>• The impact of functions moving due to machinery of government change required staff to relearn how to discover and access relevant information due to the associated changes in ways of working.</li> </ul>

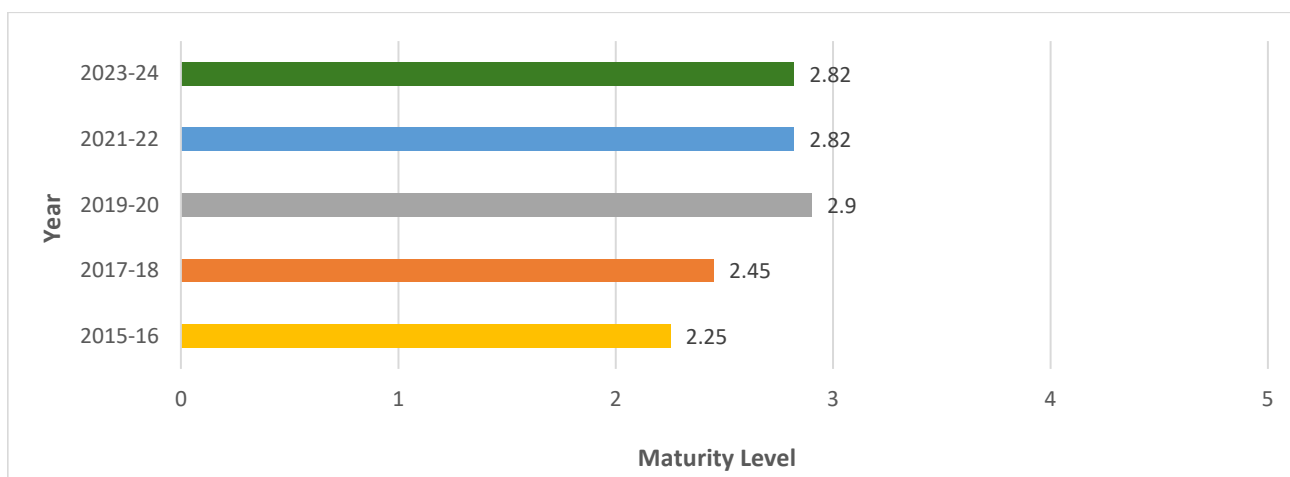
The average maturity level for this question was 2 Aware.



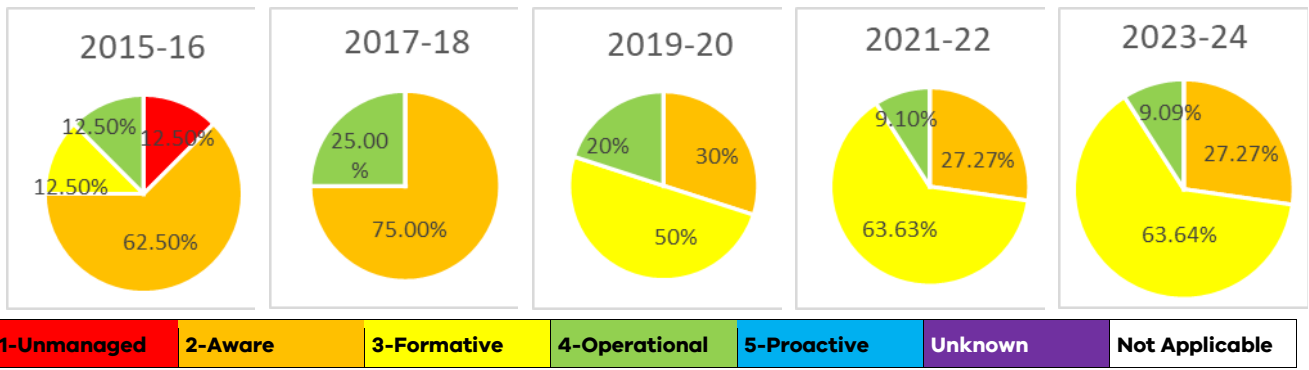
**Chart 2.12a** Question 3.4 rating levels – 2023-24 assessment

Organisation 6 achieved the highest maturity level of 4 Operational, with supporting comments implying it was due to the implementation of applications and systems that improved the availability and discoverability of information, including a new intranet and the information asset register, and to specialised expertise that enabled provision of tailored analytics and insights to stakeholders. Organisations 1, 2, 5, 7, 8, 9 and 11 also achieved a higher-than-average maturity level rating of 3 Formative.

Organisations 3, 4 and 10 held a maturity level at the average of 2 Aware. Supporting comments suggest this was due to using multiple separate repositories and locations for information for various reasons. These included the practicalities associated with machinery of government change, lack of federated search capability, and a change in direction in progress towards capture information and data once using processes including metadata, security and access architecture, and lifecycle management.



Comparative results show that maturity remains at the same level as last assessment.



**Chart 2.12c** Question 3.4 rating levels – comparison by IMMAP assessment

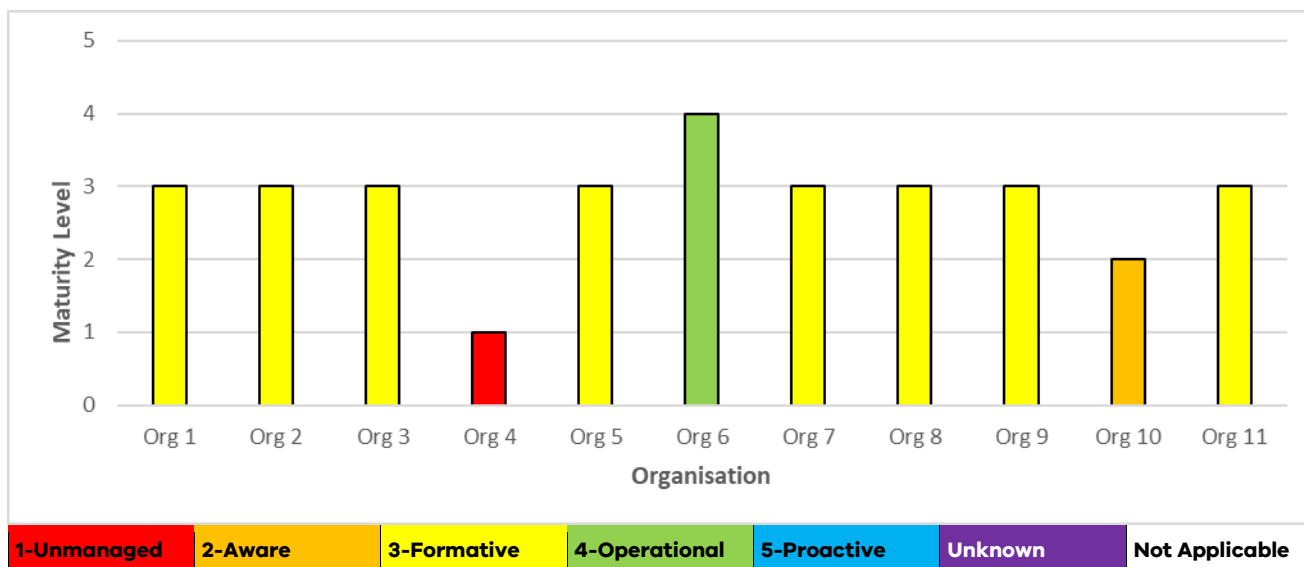
The spread of maturity remains the same as the previous round of IMMAP.

### Question 3.5 Information use and reuse

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

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• Use of the VPS Data Sharing Framework and VPS Data Sharing Heads Of Agreement to form information sharing processes (including quality assurance and privacy assessment processes and other safety and quality safeguards) that enabled use and reuse of organisational data publicly or by other organisations via the DataVic platform, primarily for analytical purposes.</li> <li>• Information Asset Registers, information hubs, SharePoint Sites, Microsoft Teams, and other internal sites and tools were leveraged to promote use and reuse through central information repositories.</li> <li>• Standards, policies and procedures were promoted to guide consistent, accountable and lawful collection, use and storage of information, including encouragement to share and reuse information rather than recollect and recapture it.</li> <li>• Relevant retention and disposal authorities and associated processes used to ensure time-expired information is lawfully disposed of in accordance with a current, lawful and executively approved disposal program.</li> </ul>	<ul style="list-style-type: none"> <li>• A lack of standardisation and application of policy was shown, resulting in fragmented understanding of information sharing and reuse protocols by staff.</li> <li>• Functions moving due to machinery of government change and associated changes in practice hindered information use by staff due to the need to learn, document and be able to apply new ways of working.</li> <li>• Silos made information difficult to locate and access and therefore hard to use due to a range of different systems and repositories being used by various areas of the organisation.</li> </ul>

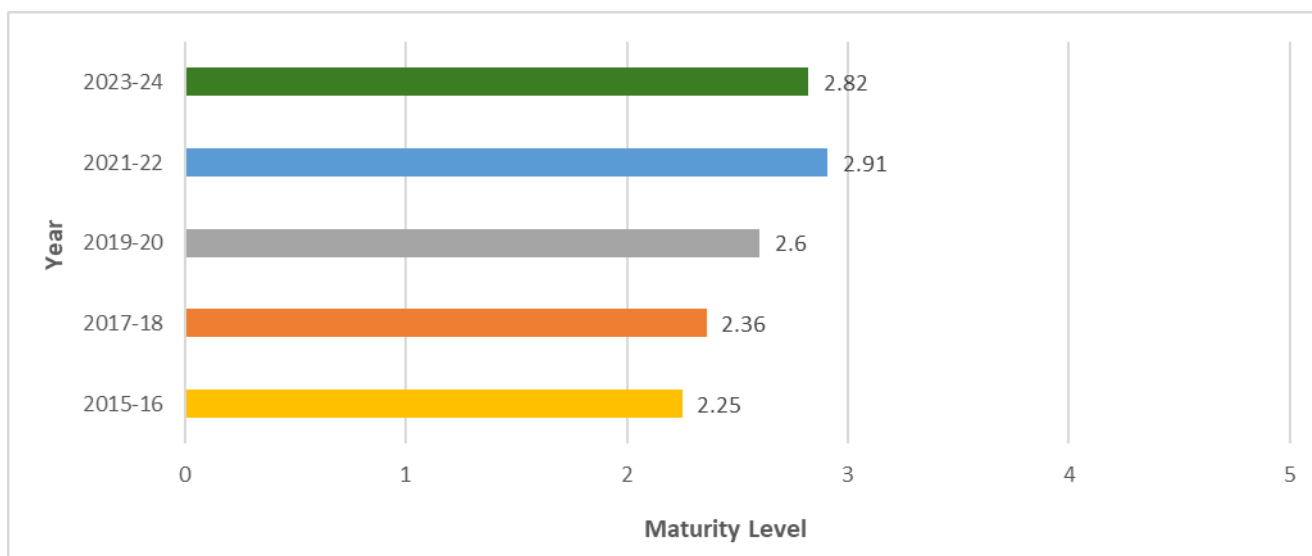
The average maturity level for this question was 2 Aware.



**Chart 2.13a** Question 3.5 rating levels – 2023-24 assessment

Organisation 6 achieved the highest maturity level of 4 Operational, with supporting comments suggesting the higher maturity was due to use of an Information Sharing Standard available via the intranet and through maximising use of the Information Asset Register. Organisations 1, 2, 3, 5, 7, 8, 9, and 11 also achieved a maturity level rating higher than the average.

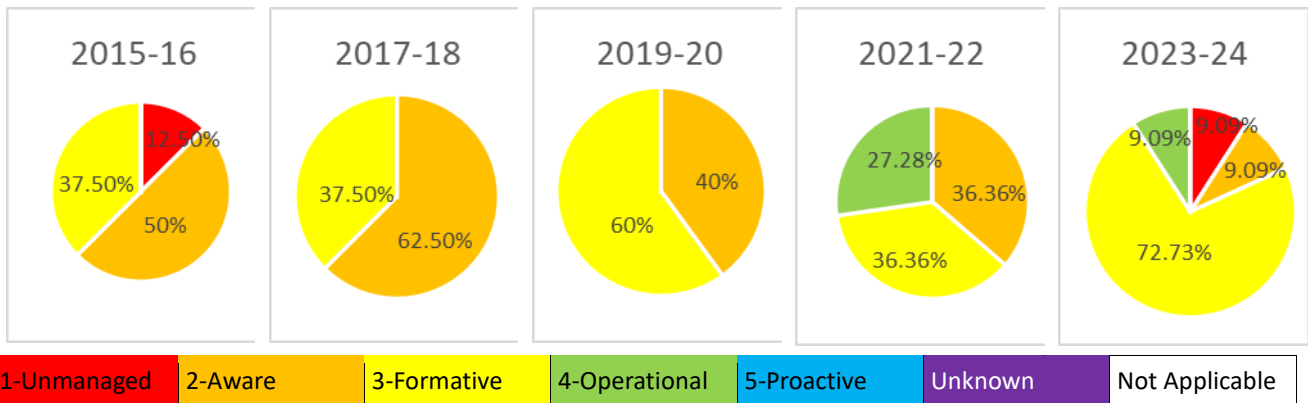
Organisation 10 held a maturity level at the average of 2 Aware, while Organisation 1 held a maturity level rating of 1 Unmanaged, which was below average. Comments supplied suggest the low maturity rating was due to machinery of government change resulting in staff that used separate repositories and therefore different processes/practices.



**Chart 2.13b** Question 3.5 rating levels – average comparison

Comparative results show a slight decline in maturity level after a period of increase. The impact of machinery of government change and resulting differences in systems, processes and practices

combined with a decentralisation of information management practices have contributed to this result.



**Chart 2.13c** Question 3.5 rating levels – comparison by IMMAP assessment

While there has been an overall decrease in maturity, the spread of maturity shows 3 Formative as having increased substantially from the previous round of IMMAP. Supporting comments provided suggest this may be impacted by strong clusters of good practice regarding information use and reuse. Existing structures were being strengthened through introduction of new data sharing practices and the expansion of policies and practices within organisations.

## 5 D4: Business system and process

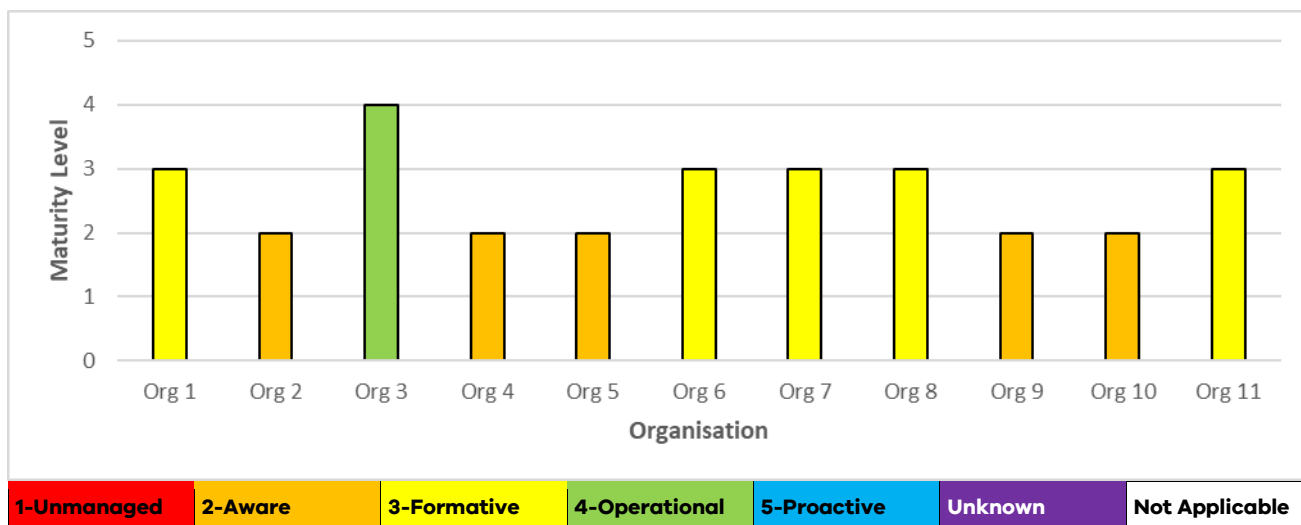
### Question 4.1 Information architecture

*Has the organisation developed an information architecture model?*

*To what degree does it link to other relevant models?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>Information architecture models in place or in progress aligned with information management strategy in existing systems, and overseen by a committee or business unit or specialist role.</li> <li>Existing frameworks, roadmaps, and governance strategies utilised to provide structure for identifying, managing and using information systems, platforms, repositories and hubs.</li> <li>Active engagement shown between relevant specialist areas, such as information management, ICT, privacy, and security, commonly as part of a broader committee.</li> <li>A localisation of frameworks or strategies to address the needs of specific business units and speciality areas that were managed by the group or division responsible.</li> </ul>	<ul style="list-style-type: none"> <li>Not having information architecture due to not having the necessary technical architecture to draw from, or there being no evidence of having information architecture.</li> <li>Being aware of the components of information architecture existing, but not having the resources to ensure it is documented in an architecture.</li> <li>Complexity across an organisation making a central information architecture difficult to achieve and complicated to use, unlike having several domain-based architectures, which focused on information resources and structures for specific focus areas.</li> </ul>

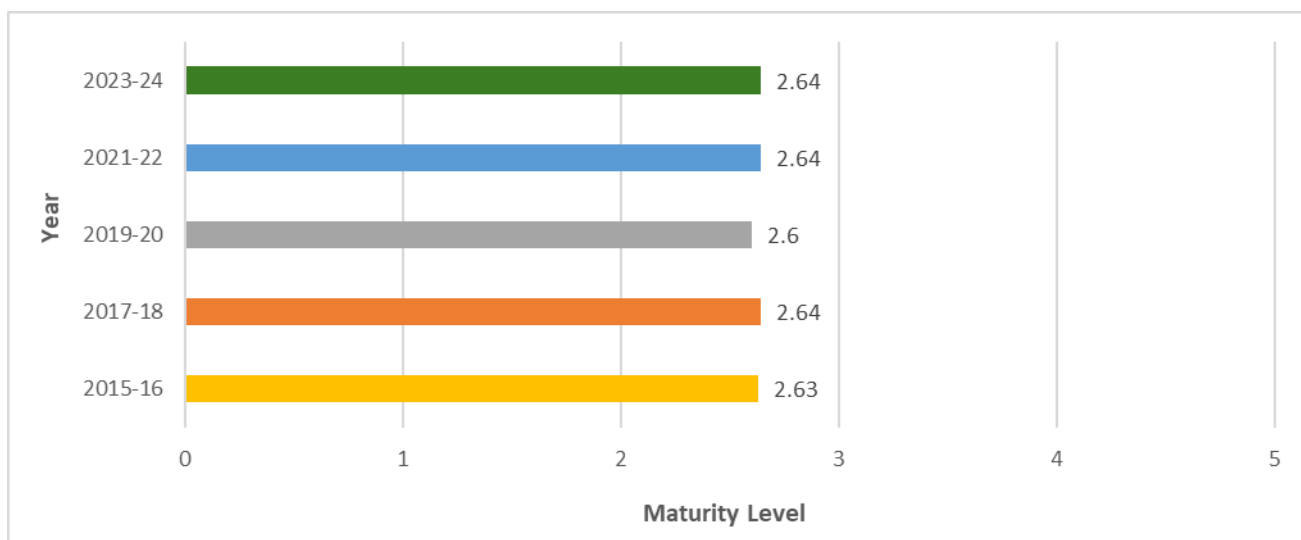
The average maturity level for this question was 2 Aware.



**Chart 2.14a** Question 4.1 rating levels – 2023-24 assessment

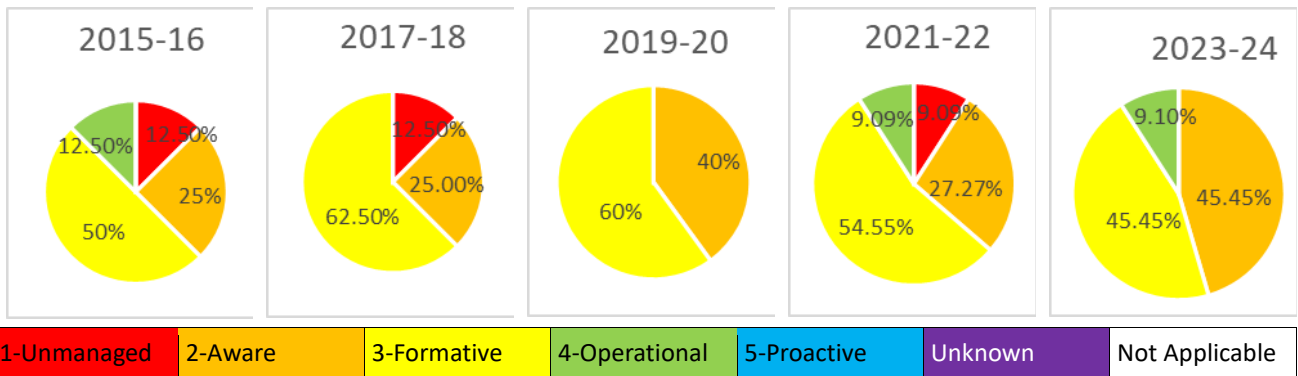
Organisation 3 achieved the highest maturity level of 4 Operational, with supporting comments suggesting the high maturity was due to active engagement between information management specialists and technology solutions when developing and managing business systems and tools, guided by guardrail and engagement processes when considering new applications, platforms, or upgrades for deployment. Organisations 1, 6, 7, 8, and 11 also achieved a higher-than-average maturity level rating of 3 Formative.

Organisations 2, 4, 5, 9, and 10 held a maturity level rating at the average of 2 Aware. Supporting comments suggested this was due to not having an enterprise information architecture model in place, to information architecture models that were not up-to-date or incomplete, or to there being no practical evidence of an information architecture model.



**Chart 2.14b** Question 4.1 rating levels– average comparison

Comparative results show consistency across the IMMAPs conducted to date.



**Chart 2.14c** Question 4.1 rating levels – comparison by IMMAP assessment

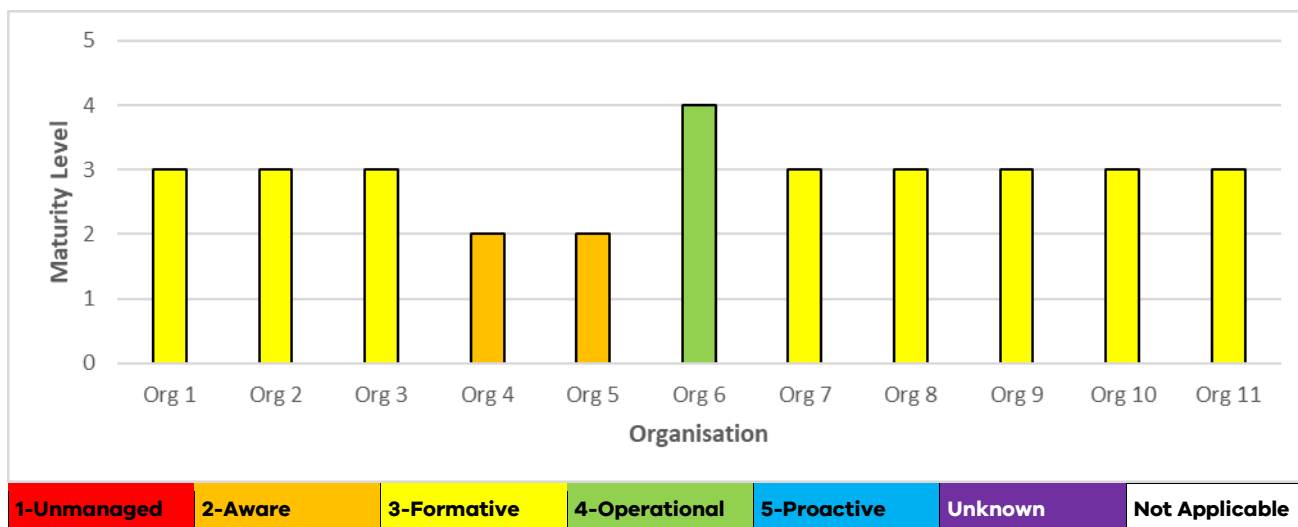
While the average maturity level rating remains constant, the spread of maturity has fluctuated across assessment periods. Maturity levels for this round of IMMAP show an increase in 2 Aware since the previous assessment. Machinery of government change was likely a contributing factor.

## 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?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• Business processes were aligned with information management requirements primarily as part of EDRMS, M365, and other technological implementations, and configurations.</li> <li>• Improvements were undertaken as the consequence of reviewing structures as part of a move from legacy systems to modern platforms, as part of simplification, deduplication, and cost-effectiveness exercises, and to address the practical needs of specific business teams, divisions or projects.</li> <li>• Process improvement was specified in PDP goals, part of the responsibilities of specific committees, risk management programs, and divisional plans.</li> <li>• Process alignment and improvements were focused around digital first recordkeeping practices, such as gap analysis and possible digital solutions.</li> </ul>	<ul style="list-style-type: none"> <li>• Not having a program to assess business processes in order to build automated processes or otherwise tailor them to technical environments.</li> <li>• While strategic goals exist to improve business process alignment with information management, the resources to implement them in a technical environment were limited.</li> </ul>

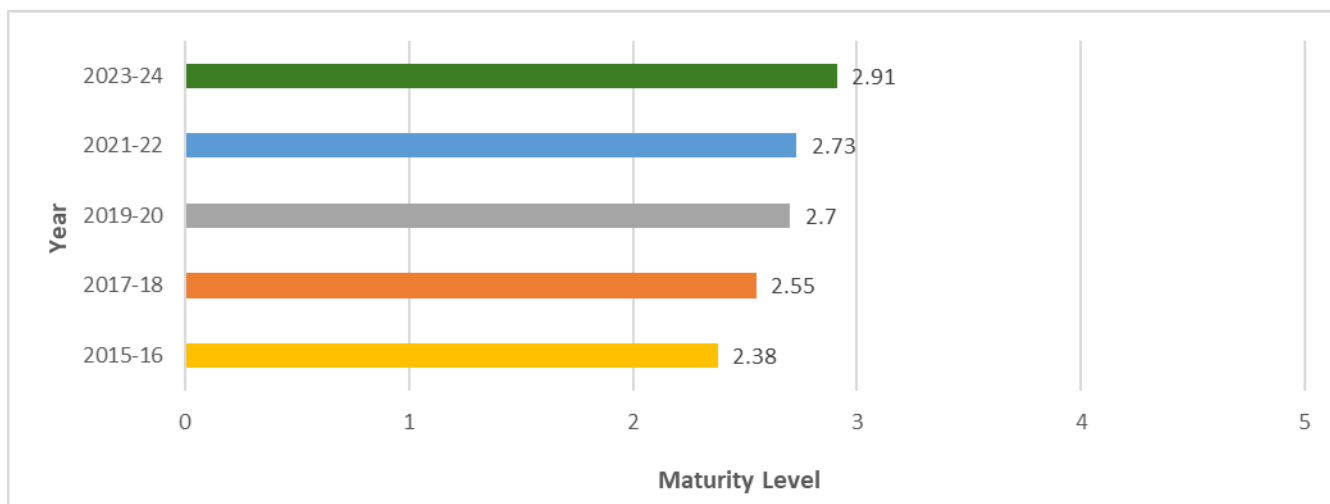
The average maturity level for this question was 2 Aware.



**Chart 2.15a** Question 4.2 rating levels – 2023-24 assessment

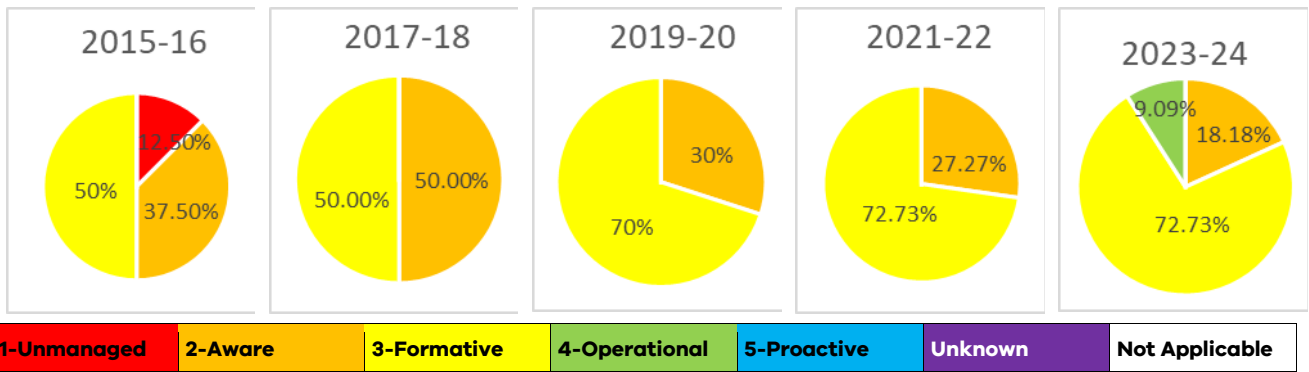
Organisation 6 achieved the highest maturity level of 4 Operational, with comments suggesting the higher maturity was due to leveraging moving from legacy systems to modern platforms to obtain improvement in related processes, and having a designated business group to oversee design of new information and data systems and their alignment with business requirements and efficient handling of information and data. Organisations 1, 2, 3, 7, 8, 9, 10, and 11 also achieved a maturity level of 3 Formative, which was higher than the average.

Organisations 4 and 5 held a maturity level at the average of 2 Aware. Comments suggest this was due to improvements being conducted on an as needs basis or as part of projects and programs, and to processes being in development rather than at a stage where improvement is needed.



**Chart 2.15c** Question 4.2 rating levels– average comparison

The comparative results by question average show a slow and steady progression within the overarching maturity level of 2 Aware.



**Chart 2.15d** Question 4.2 rating levels – comparison by IMMAP assessment

The spread of maturity across IMMAP assessments shows consistency in relation to 3 Formative, and movement towards 4 Operational. Supporting comments provided suggest that work towards improvement by many organisations has been primarily around key business areas and strategic objectives, rather than as a result of an overarching continuous improvement program. A couple of organisations were actively working towards improving information management in relation to business processes as part of a broader improvement program. This work was influenced by changes in technology and methods to improve efficiency.

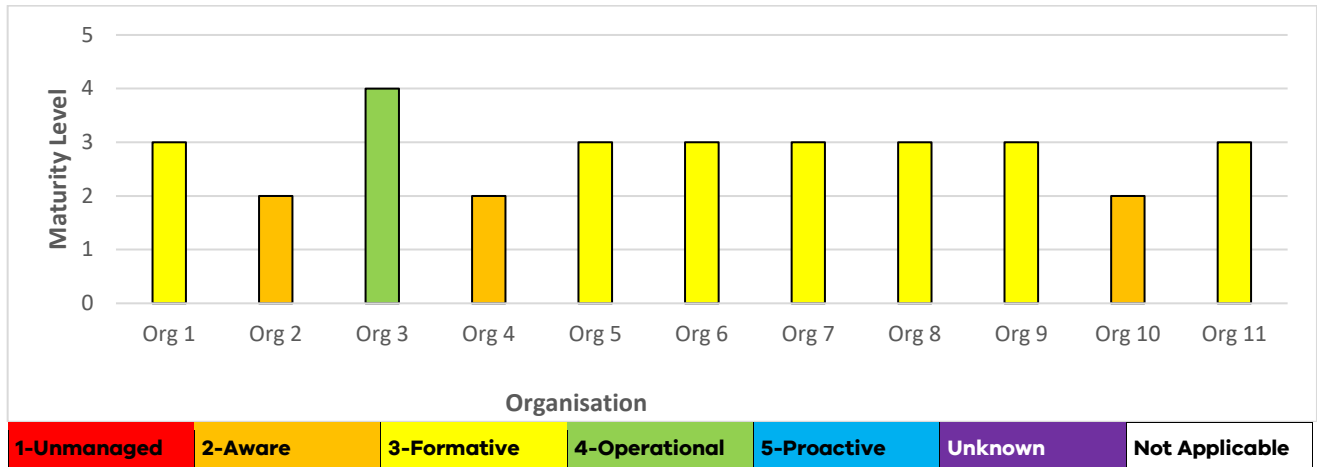
## Question 4.3 Business systems and tools

*Are information management capabilities built into business systems and tools?*

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• There was a strong focus on building capability to match the systems and tools used, rather than finding tools to match capability. Tools and systems were aligned with legislative requirements, internal policy and processes, but in most cases the tool or system came first and was then configured to fit the capability required (where this was possible). This process was often driven by cost-effectiveness and information technology needs.</li> <li>• Legislative compliance remained a strong driver when selecting tools and systems, with the emphasis on security above all else. Other aspects of information management capability were incorporated by organisations that have a strong relationship between information management and systems technology teams.</li> <li>• Collaboration between various branches, divisions, or groups and the information management specialists within an organisation drives more localised implementations and configurations so that the tool or system matched the business needs, including information management policy and other legislative needs. This included assessments or reviews of tool/system process effectiveness to identify gaps and agree on possible solutions.</li> <li>• Procurement, decommissioning, and migration needs were considered as part of information lifecycle risk, and more commonly addressed as part of</li> </ul>	<ul style="list-style-type: none"> <li>• The age of systems and tools used impacted on what was possible regarding information management capability, meaning that the ability to utilise modern capabilities for improved information management was limited.</li> <li>• There were inconsistencies regarding the take up and use of systems which impacted on the application of information management capabilities in practice.</li> <li>• Some organisations used shared systems and did not have the ability to ensure their information management capabilities were implemented. There was also a lack of visibility regarding shared services delivered via the cloud that obscured what information management capabilities were possible.</li> <li>• Not all systems used had the capacity to meet legislative requirements regarding information management.</li> </ul>

systems lifecycle with information management concerns being addressed as needed.

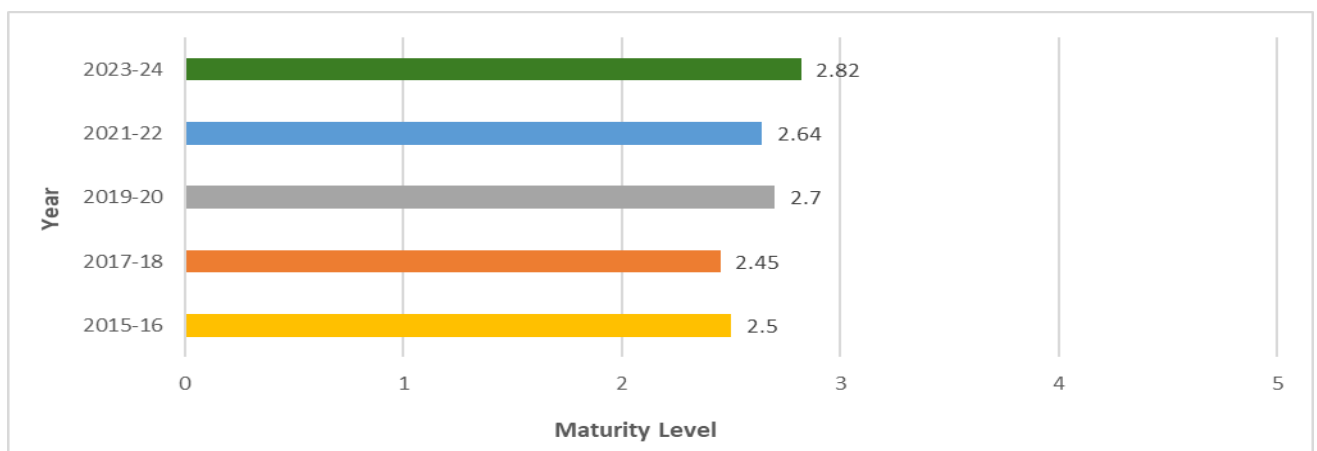
The average maturity level for this question was 2 Aware.



**Chart 2.16a** Question 4.3 rating levels – 2023-24 assessment

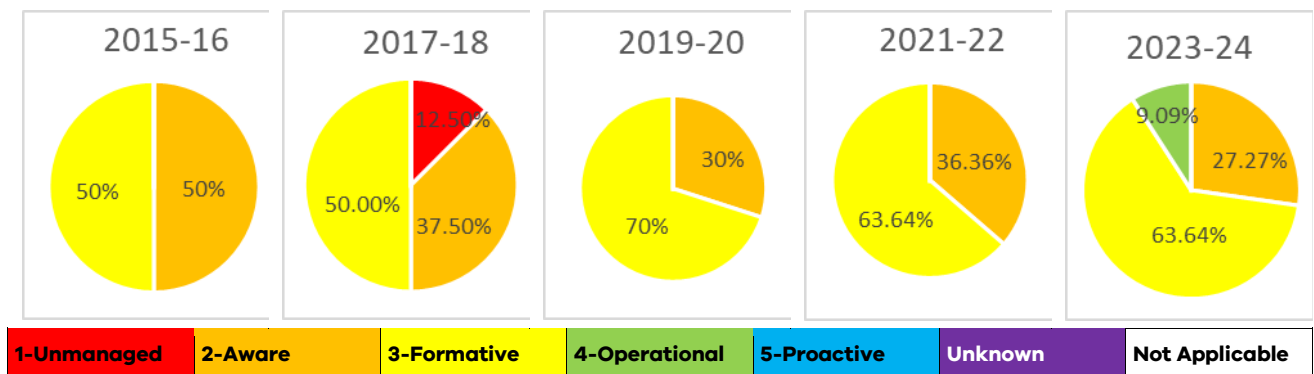
Organisation 3 achieved the highest maturity rating of 4 Operational. Supporting comments suggested this was due to active engagement between information management specialists and technology solutions when developing and managing business systems and tools. Contributing factors also included work being guided by guardrail and engagement when considering new applications, platforms, or upgrades for deployment. Organisations 1, 5, 6, 7, 8, 9, and 11 achieved a maturity level of 3 Formative, which was also higher than the average for this question.

Organisations 2, 4, and 10 held maturity levels at the average of 2 Aware. Comments suggested this was due to not having an organisational system to manage information compliantly, to a lack of visibility over online and shared services when systems were being moved into cloud systems such as M365, and to limited aging systems having capabilities that fulfilled PROV requirements for compliance.



**Chart 2.16b** Question 4.3 rating levels – average comparison

Comparative results show an increase to the highest maturity level rating so far achieved since the commencement of IMMAP. There appears to be a repeating pattern of a slight decrease in ratings followed by improvement.



**Chart 2.16c** Question 4.3 rating levels – comparison by IMMAP assessment

The spread of maturity across IMMAP rounds supports the steady progression. Maturity levels this round reached 4 Operational for the first time and levels for 3 Formative remained consistent with figures for the last round of IMMAP. Maturity in part is dependent on the age and lifecycle stage of the systems and tools being used, as well as the possible functionality present.

## Question 4.4 Information privacy and security

What is the status of information privacy and security in the organisation?

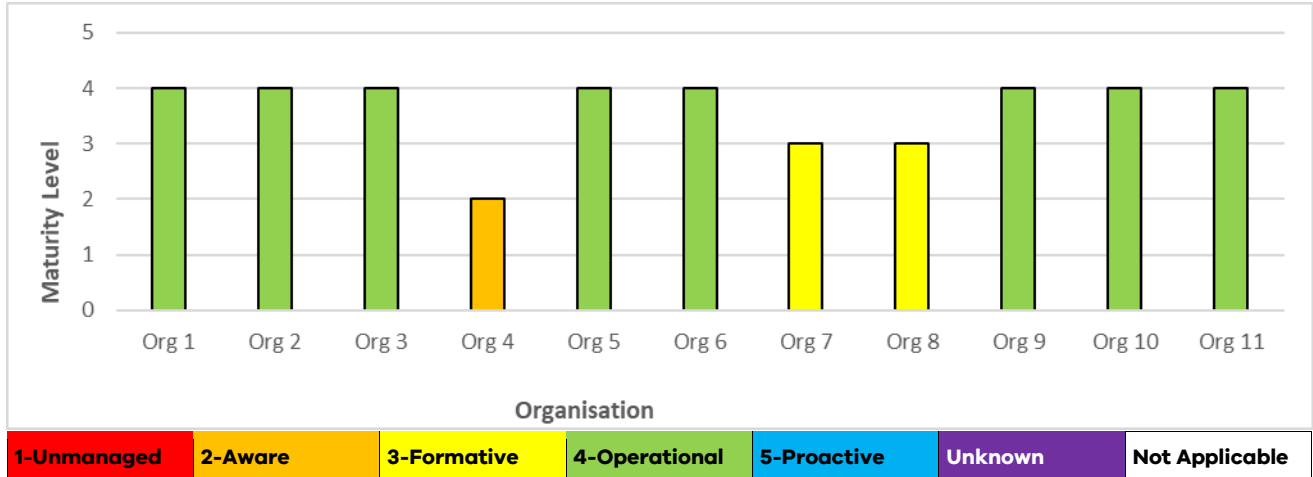
Do staff have the knowledge and support to protect information and ensure their confidentiality, integrity, and availability?

Is the organisation able to respond to information privacy and security incidents?

Key Themes	Key Challenges
<ul style="list-style-type: none"> <li>• There was conscious and active implementation of the Victorian Protective Data Security Standards (VPDSS), including the Information Privacy Principles (IPP), through dedicated specialists, assigned responsibilities, policies, cyber security programs, protective data security plans, roll out and use of protective markings, use of privacy impact assessments, Generative AI Interim Policy, and risk management programs.</li> <li>• Active engagement programs were in place with points of contacts, training programs, committees, central hubs, network meetings, tools, and guidance products covering subjects such as data privacy, information security, email and document labelling, scam awareness, and phishing awareness.</li> <li>• Privacy impact assessments (PIA) and security assessments being implemented as part of project management, procurement of new applications, system developments, and risk management activities. This included provision of related policies, processes, and guidance material including training sessions.</li> <li>• Regular privacy impact assessments and cyber security assessments undertaken and reported on to overarching committees. Assessments also included third party gap</li> </ul>	<ul style="list-style-type: none"> <li>• There were no challenges identified by participants, although one organisation noted that a governance structure was needed to improve their rating.</li> </ul>

assessment, penetration testing, and essential 8 maturity.

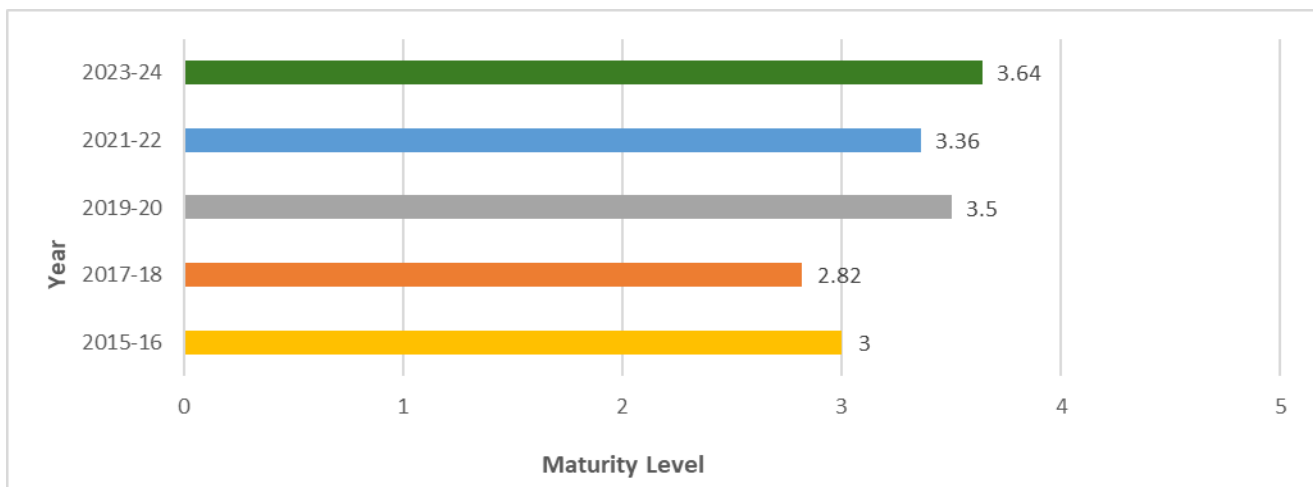
The average maturity level for this question was 3 Formative.



**Chart 2.17a** Question 4.4 rating levels – 2023-24 assessment

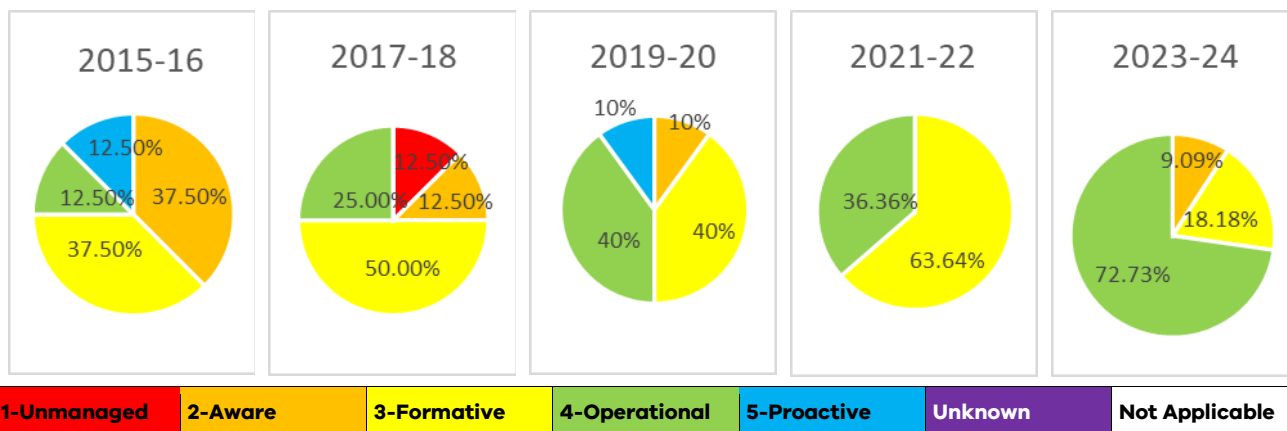
Organisations 1, 2, 3, 5, 6, 9, 10 and 11 all achieved the highest maturity level rating of 4 Operational. Comments suggested this was due to active implementation of Victorian Protective Data Security Standards and Information Privacy Principles requirements, appropriate use of protective markings, cyber incident response plans and processes, appropriate executive level governance, privacy and security strategies, mandatory training in privacy and information security for all staff, assurance function assessments and regular monitoring and assessment for improvement. Organisations 7 and 8 held a maturity level at the average of 3 Formative.

Organisation 4 held a maturity level of 2 Aware, which was below the average for this question. Comments suggested this was due to policies being in development or in their early stages, including an operational Privacy and FOI Office, and to having conducted privacy impact assessments, penetration tests, and security assessments.



**Chart 2.17b** Question 4.4 rating levels – average comparison

Comparative results show an increase in maturity level to the highest recorded so far. Maturity for this question is higher than any other question asked in IM3. This is in part due to a consistent engagement with the Victorian Protective Data Security Standards and Information Privacy Principles through OVIC's assessment and attestation programs.



**Chart 2.17c** Question 4.4 rating levels – comparison by IMMAP assessment

Comparison with previous rounds of IMMAP show the growth of 4 Operational to over 70 per cent. Supporting comments provided by participants show that consistent and continual growth in this area is likely the result of information privacy and security being resourced, considered high value, obtaining executive level support and advocacy, prioritised in strategic plans, and heavily supported across the organisation through training, guidance, specialised positions, and allocated budget.