

Public Record Office Victoria Report

Information Management Maturity Assessment Program 2023-24

Report Part Two B: Information Management Questionnaire

IMMAP Report 2023-24 Part 2 B Information Management Questionnaire Version 2: Deidentified

Document information

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1 Introduction

1.1 Report overview

This is the fifth round of the Information Management Maturity Assessment Program (IMMAP), which was conducted in the second half of 2024.

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 (this part)**
- 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

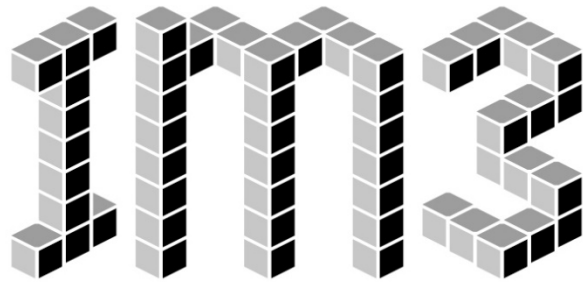
Part Two B: Information Management Questionnaire contains the information management questions from the Information Management Maturity Measurement (IM3) Tool¹ used by the participating organisations to assess their information management maturity.

Participating organisations provided evidential comments supporting each rating. A collation of comments received is located in **Part Two A: Supporting Comments**.

Ratings assigned by participating organisations for the 17 information management questions asked across the four dimensions of People, Organisation, Lifecycle and Quality, and Business Systems and Processes are provided in **Part Two: Information Management: by Question**.

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

2 Questionnaire



Information Management Maturity Measurement

Questionnaire

Version 2.0, March 2024

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3 About the Questionnaire

Vision statement for Information Management Maturity

The Victorian Government and its citizens have access to trusted information and data that improves decision making whilst protecting rights of citizens, enables insight, and supports the planning and delivery of good policy and better services to the public.

How to use this questionnaire

The following is recommended when undertaking an IM3 assessment using this questionnaire

- Circulate this questionnaire to representatives across your organisation. Different parts of an organisation may have different levels of information 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% of the agency is Aware, 10% Unmanaged and 40% Formative.
- Use the **Progress** score box in the scoring table for each question to flag how progressed the agency is in that maturity level. 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.
- 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 Unmanaged, it is only 10% and they are at the top of that maturity level. While some of the organisation is Formative, even though this is 40% of the organisation, they are in the early stages of that maturity level. This would most likely result in an overall score of Aware.

Following the scoring table and overall rating box are 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 can be used to flag what has been achieved so far and to plan next steps that build on those achievements.

4 Dimension 0. Scope

The questions in this section ask you to think about the scope of the assessment.

4.1 Question 0.1: Coverage



What parts of the organisation are included in this IM3 assessment?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An organisational chart showing what business areas within the organisation are included in the assessment.

A hierarchical relationship diagram outlining the underlying agencies associated with a parent agency and showing which are included in the assessment.

A location chart detailing where the business units of an agency are located in relation to each other and flagging which are included in the assessment.

Choose the coverage below that best describes the scope for this assessment - select from the drop down in the Response box (Yes, No, Unknown, Not Applicable).

Option to use the percentage marker if multiple responses are correct.

Statement	%	Yes No Unknown Not Applicable
The assessment only covers the information and data management team/s within the organisation.		
The assessment covers the broad section of the organisation that information and data management sit within.		
The assessment covers the main business areas of the organisation.		
The assessment covers the central organisation fully, but does not cover any outlying or subsidiary parts of the organisation (such as regional offices, or subordinate agencies).		
The assessment covers all parts of the organisation, including any regional, subordinate, or other areas.		

Other: Please specify [Free Text Field]

Supportive Evidence

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4.2 Question 0.2: Organisation Size - number of Staff



How many staff members are employed within your organisation?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Annual report showing staff numbers (headcount)

Choose the coverage below that best describes the scope for this assessment - select from the drop down in the Response box (Yes, No, Unknown, Not Applicable).
Option to use the percentage marker if multiple responses are correct.

Statement	%	Yes No Unknown Not Applicable
The number of staff within the organisation (headcount) is less than two thousand (<2,000) people.		
The number of staff within the organisation (headcount) is between two thousand and four thousand (2,000 - 4,000) people.		
The number of staff within the organisation (headcount) is between four thousand and seven thousand (4,000 - 7,000) people.		
The number of staff within the organisation (headcount) is over seven thousand (>7,000) people.		
Other: Please Specify [Free Text Field]		

Supportive Evidence

4.3 Question 0.3: Position of Data Management in Organisation



Where do information and data management sit in relation to each other within the organisation? How well is the Data Management Team represented [effectiveness and reach] across the organisation?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Organisation structure charts showing where information management and data management specialists sit in relation to each other.

Position descriptions outlining responsibilities regarding data management.

Chart showing what committees / where IM/DM embedded / represented

Choose the coverage below that best describes the scope for this assessment - select from the drop down in the Response box (Yes, No, Unknown, Not Applicable).
Option to use the percentage marker if multiple responses are correct.

Statement	%	Yes No Unknown Not Applicable
The organisation does not have dedicated information management or data management specialists.		
The organisation have information management or data management specialists, but only for the one area leaving either information management or data management not covered.		
The organisation have both information management and data management specialists, but they sit in different parts of the organisational structure and are not strategically aligned.		
The organisation have dedicated information management and data management teams that sit in different parts of the organisational structure, and they are strategically aligned.		
The organisation have dedicated information management and data management specialists that are either part of the one team or allied teams that sit in the same part of the organisational structure.		
Other: Please Specify [Free Text Field]		

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Supportive Evidence

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4.4 Question 0.4: Methods and Techniques used to Complete Assessment



What methods and techniques were used to complete this assessment?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Minutes of meetings

Workshop outlines

Survey responses

Choose the coverage below that best describes the scope for this assessment - select from the drop down in the Response box (Yes, No, Unknown, Not Applicable).
Option to use the percentage marker if multiple responses are correct.

Statement	%	Yes No Unknown Not Applicable
One or more workshops with relevant personnel from across the organisation were used to complete the assessment.		
A survey using the Organisation's preferred method was prepared and circulated across the organisation with results collated by the nominated representative, analysed and used to complete the assessment.		
The nominated representative held meetings with relevant personnel across the organisation, and used the results to complete the assessment.		
The nominated representative conducted extensive analysis of systems, processes, and other available documentation, and used this as a basis to complete the assessment.		
A committee was set up with tasks related to segments of the assessment allocated to the various members from across the organisation, and the combined results used to complete the assessment.		

Other: Please Specify [Free Text Field]

Supportive Evidence

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5 Dimension 1: People

The questions in this section ask you to think about the extent to which the knowledge, skills, experience, and attitude of staff in the organisation contribute to good information and data management.

5.1 Question 1.1: Literacy & 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?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

A custodianship model has been deployed that identifies the roles and responsibilities of staff in relation to the organisation's information assets.

Staff demonstrate that they are aware of the importance of information management to the organisation and of their responsibilities in relation to it. Staff information management roles and responsibilities are defined in documentation such as policies and job descriptions and are commensurate to their roles.

Staff are aware of and act in accordance with the Victorian Public Sector Code of Conduct requirements regarding information. Staff manage information in line with organisational requirements and use information effectively in a manner that is commensurate to their roles.

Staff are educated and encouraged to exploit information to the fullest. They actively engage in new information management initiatives and seek better understanding of the organisation's information assets. Staff receive training to improve their information literacy and to manage information in line with their role within the organisation.

Choose the maturity level below that best describes your organisation's current situation.
 Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information literacy and responsibility		
Aware	The organisation has an awareness of information literacy and responsibility, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information literacy and responsibility. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information literacy and responsibility, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information literacy and responsibility through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

5.2 Question 1.2: Capability & Capacity



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Strategies and/or programs of work have been implemented to address any gaps in information management skills, capability, and capacity.

The organisation gives priority to recruiting specialists to help develop the organisation's information management capability.

The human resources requirements for information management are regularly assessed in terms of capacity, skills, and knowledge.

Information management specialists are respected professionals who are consulted in the development and implementation of business initiatives.

Information management specialists have been appointed into dedicated roles and actively maintain their knowledge and literacy as commensurate to their roles.

There are enough staff with relevant capability and capacity employed in information management roles in the organisation.

Information management projects and initiatives are adequately resourced and funded within the organisation.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management capability and capacity.		
Aware	The organisation has an awareness of information management capability and capacity, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management capability and capacity. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information management capability and capacity, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management capability and capacity through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

5.3 Question 1.3: Training, Support & Knowledge Sharing



What training, support or knowledge sharing is available to staff in your organisation to assist them in meeting their information management responsibilities?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has established initiatives to help build a positive information management culture and educate staff on their information management responsibilities.

Staff have access to and utilise a range of internal or external information and records management courses and/or knowledge sharing tools relevant to their role.

Training is regularly reviewed and updated to suit needs, with the results of reviews actioned and a clear escalation path documented as part of the review process.

Formal training has been established and is regularly maintained to build and continually improve practical skills and knowledge.

Staff are in place to deliver and maintain quality training.

Documentation/tools such as contact information, manuals and reference guides are available to staff and actively utilised.

The organisation invests in upskilling staff to support information management.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management training, support, and knowledge sharing		
Aware	The organisation has an awareness of information management training, support, and knowledge sharing, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management training, support, and knowledge sharing. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information management training, support and knowledge sharing, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management training, support and knowledge sharing through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

6 Dimension 2. Organisation

The questions in this section ask you about the organisational context in which Information Management operates, and the support IM receives from management.

6.1 Question 2.1: Governance



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An internal Governance Committee, or other formal governance structure, has been established to lead, monitor, and report on information management activities.

The Governance Committee ensures coordination, visibility and appropriate sponsorship of information management activities within the organisation.

The Governance Committee is chaired by an executive-level officer, reports to the department head (or a peak executive body chaired by the department head) and has representation from key business areas of the organisation.

The organisation head supports and values the work of the Governance Committee.

Appropriate controls are in place to govern information formally and holistically across the organisation.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management governance.		
Aware	The organisation has an awareness of information management governance, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management governance. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information management governance, and the initiatives are operating to a reasonable standard		
Proactive	The organisation has a dedicated commitment to achieving information management governance through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

6.2 Question 2.2: Vision & Strategy



Does the organisation have a strategy that provides a roadmap for information management?

Has the organisation formulated and articulated its vision for information management?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

A strategy (or strategies) for information management has been developed, formally endorsed (by the executive-level representative who chairs the formal Governance Committee or higher) and adopted across the organisation. The strategy outlines the organisation's vision for the systematic approach to the management of information and is overseen by the Governance Committee.

The Strategy adequately highlights organisation-wide information management issues, major risks, desired results, and the resource implications. Strategy development was achieved through collaboration between information management and business representatives to align to the organisation's vision, strategic objectives, and business drivers. The strategy is aligned with other relevant strategies.

The information management strategy is assessed for improvement on an annual basis, with improvements actioned. The initiatives of the information management strategy are resourced, funded, and actively addressed. Other strategic documents are in place in the organisation, which adequately cover information management needs and initiatives.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management vision and strategy.		
Aware	The organisation has an awareness of information management vision and strategy, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management vision and strategy. There will be evidence of a planned approach, even if it is not fully implemented in some areas		
Operational	The organisation has completed implementation of planned initiatives regarding information management vision and strategy, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management vision and strategy through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

6.3 Question 2.3 Strategic Alignment



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Information management obligations are identified and acknowledged in other key organisation policies.

The information management strategy is aligned with and/or integrated with other strategic planning in the organisation (e.g. data, risk, privacy, FOI, cyber security, information technology, procurement, or environmental management strategies).

Information management capabilities are built into the business through strategy, policy, and projects.

New organisation projects and initiatives identify information management implications, dependencies, and synergies.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management strategic alignment.		
Aware	The organisation has an awareness of information management strategic alignment, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management strategic alignment. There will be evidence of a planned approach, even if it is not fully implemented in some areas		
Operational	The organisation has completed implementation of planned initiatives regarding information management strategic alignment, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management strategic alignment through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

6.4 Question 2.4 Management Support & Leadership



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has appointed an executive level information management position, such as Chief Information Officer (or equivalent).

Information management interests and issues are represented and advocated for at the executive level and are given appropriate consideration.

Information management policies and practices are actively supported and adopted by Senior Management and Middle Management.

Leadership understands information management issues and practices and seek additional specialist information when needed.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management support and leadership.		
Aware	The organisation has an awareness of information management support and leadership, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management support and leadership. There will be evidence of a planned approach, even if it is not fully implemented in some areas		
Operational	The organisation has completed implementation of planned initiatives regarding information management support and leadership, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management support and leadership through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

6.5 Question 2.5 Audit & Compliance



How well does your organisation monitor compliance with your own information management standards and with Victorian Government-mandated legislation and requirements?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has an internal audit process/program in place to work towards achieving compliance against information management relevant legislation, policies, and standards (such as those issued by Public Record Office Victoria and Office of the Victorian Information Commissioner).

Information management compliance requirements are known, communicated, and applied within the organisation.

Corrective actions have been implemented to address causes of non-compliance.

Opportunities to improve information management compliance are explored and implemented.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management auditing and compliance.		
Aware	The organisation has an awareness of information management auditing and compliance, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management auditing and compliance. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information management auditing and compliance, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management auditing and compliance through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

7 Dimension 3: Lifecycle & Quality

The questions in this section ask you about the management of specific information assets in your organisation, with a view to long-term access to quality information.

7.1 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?*

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation's significant information assets (i.e., discrete collections of information that is recognised as valuable) and critical information assets (i.e., subsets of significant information assets that are considered high value/high risk or vital) have been identified.

An Information Asset Register (IAR) has been established, maintained to document at minimum, the organisation's significant information assets and is demonstrably benefiting the organisation.

A custodianship model is in place so that assets have an assigned owner and custodian (or equivalent) who are aware of and undertake their role and responsibilities in relation to the information assets assigned.

The custodianship model supports work with information users to actively maintain assets and improve the accessibility, usability and sharing of information as required.

Users are aware of the asset register and their responsibilities in relation to it, can assess if assets are fit for their intended purpose, and locate and use the relevant asset when needed, if access is approved.

Retention periods are assigned and applied to information assets in line with current and relevant retention and disposal authorities (RDAs), and management of the information assets includes lawful disposal once the retention periods have ended in line with the RDAs.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information asset management		
Aware	The organisation has an awareness of information asset management, but that there is little practical evidence of action		
Formative	The organisation is actively addressing information asset management. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information asset management, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information asset management through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

7.2 Question 3.2: Policies & Procedures



Does the organisation have fully developed and implemented information management policies that align to relevant legislation and standards?

Are these policies supported by documented procedures?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has established information management policies that align to relevant legislation and standards (such as those issued by Public Record Office Victoria and Office of the Victorian Information Commissioner).

The policies have been approved and endorsed by the Secretary or an executive level board/officer and are actively supported by all levels of management.

The policies are actively communicated and available to all staff, who are aware of and act in accordance with the directives specified within them.

Information management procedures have been established and implemented within the organisation.

Policy and procedures are appropriate to the organisation's business and are reviewed for improvement as required, with improvements actioned.

Breaches of policy are actively addressed and rectified, with a clear escalation path documented as part of the process.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information management policies and procedures.		
Aware	The organisation has an awareness of information management policies and procedures, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management policies and procedures. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives in regard to information management policies and procedures, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management policies and procedures through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

7.3 Question 3.3: Meeting Business & User Needs



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has established and implemented processes and/or a program to address information quality issues (ensuring information is accurate, unbiased, consistent, complete, clear, explainable, and current).

The needs of the business are assessed routinely to determine whether the right information is being captured at the right points of the process and are accessed and used by the right people at the right time to achieve the strategic plans of the business.

An analysis of information assets is regularly conducted to determine information is meeting business needs, accountability requirements and community expectations. The results are actioned with a clear escalation path for high-risk issues in place.

Quality statements have been developed and maintained for at least the significant (including critical) information assets.

Remediation processes are in place to address information issues, with a clear and documented escalation path as part of the process, and remediation actions required prioritised and addressed.

Overall, information is demonstrably fit for purpose and/or can be tailored to meet business needs within an appropriate timeframe.

There are clear practices of collaboration between information managers, users and owners to ensure proper information usage.

Automated capabilities support streamlined maintenance of information assets where practical.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information business and user needs.		
Aware	The organisation has an awareness of information business and user needs, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information business and user needs. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information business and user needs, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information business and user needs through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

7.4 Question 3.4: Accessibility & Discoverability



How easy is it for organisation staff and other parties to find the information they are looking for?

Is critical information able to be found in a timely manner when it is needed?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An organisation-specific information repository and/or search applications have been developed and are used by staff.

Information is collected and stored with access and discoverability in mind. Definitions and standards are used to increase the findability of information. Sufficient metadata is provided to correctly identify and locate information. Access to controlled information and data sources have been defined and implemented.

Procedures have been implemented for information capture, the application of metadata, information access, storage, and retrieval.

The organisation can establish standards for metadata and provide oversight and advice to others. The organisation maintains knowledge of metadata best practice, including standards and applications. The organisation can use a range of tools for storing and working with metadata. The organisation keeps metadata refreshed and updated and can repair items that are incorrect or out of date.

Preservation strategies ensure information remains accessible, discoverable, and readable for the duration of their retention periods, including migration between systems where this is required.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information accessibility and discoverability.		
Aware	The organisation has an awareness of information accessibility and discoverability, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information accessibility and discoverability. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information accessibility and discoverability, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information accessibility and discoverability through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

7.5 Question 3.5: Information Use & Reuse



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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Organisation standards/procedures have been introduced to facilitate consistent information collection, description, and organisation, and to prevent duplication.

Digital continuity strategies are in place. Information assets are shared and reused across the organisation and with external stakeholders in accordance with the original purpose of collection, privacy legislation, and other relevant regulation.

The organisation applies appropriate licences and quality statements when sharing information to ensure it remains fit for purpose and in line with privacy and other regulations. Where appropriate, and in accordance with relevant legislation, information is released to the public.

Custodians work with information users to support the usability of information in accordance with the original purpose of collection and relevant legislation.

The organisation can leverage their information for business intelligence and analytics.

Information exchanges occur using standard interfaces and formats and in line with relevant legislation.

Retention periods are assigned in accordance with current and authorised Standards, reviewed, and disposal actions managed in accordance with a lawful, current and executive approved disposal program.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information use and reuse		
Aware	The organisation has an awareness of information use and reuse, but that there is little practical evidence of action		
Formative	The organisation is actively addressing information use and reuse. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information use and reuse, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information use and reuse through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

8 Dimension 4: Business Systems & Processes

The questions in this section ask you about the systems and processes (both digital and manual) that support the organisation's Information Management practices.

8.1 Question 4.1: Information Architecture



*Has the organisation developed an information architecture model?
To what degree does it link to other relevant models?*

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has developed an information architecture model which provides an overview and description of the organisation's information and its relationships to:

- business requirements, systems, and processes
- applications and technology, and
- strategies, standards, and legislation.

The model is managed and resourced and maintained accordingly. The information architecture aligns to other models such as the information technology and data architectures.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address an information architecture		
Aware	The organisation has an awareness of information architectures, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing an information architecture. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding an information architecture, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving an information architecture through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

8.2 Question 4.2: Process Improvement



How well have business processes been aligned with information management requirements?

Has the organisation identified areas for improvement and eliminated duplicate processes?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Information management practices have been incorporated into business processes.

Efforts have been made to look at where business processes can be re-engineered to improve efficiencies and reduce duplication of information.

Process issues impacting information management are directed to appropriate staff or working groups for action.

Process owners are open to making changes to improve process and information management outcomes and develop/update process documentation accordingly.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address an information management process improvement		
Aware	The organisation has an awareness of information management process improvement, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information management process improvement. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information management process improvement, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information management process improvement through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

8.3 Question 4.3: Business Systems & Tools



Are information management capabilities built into business systems and tools?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Information management specialists works together with Information Technology and risk management specialists as required to manage existing and/or implement new systems and tools.

Information managed within the organisation's business systems and tools is effectively managed according to requirements from the Department of Government Services, Public Record Office Victoria, and Office of the Victorian Information Commissioner

The organisation encourages and adopts improvements to system and tool information management capabilities.

Systems and tools are effectively managed over their life, from acquisition to decommissioning, to ensure their integrity, reliability, and performance.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address building information management capabilities into business systems and tools		
Aware	The organisation has an awareness of building information management capabilities into business systems and tools, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing building information management capabilities into business systems and tools. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding building information management capabilities into business systems and tools, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to building information management capabilities into business systems and tools through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?

8.4 Question 4.4: Information Privacy & 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?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation is actively implementing requirements outlined in the *Victorian Protective Data Security Standards*, the *Information Privacy Principles*, and the *Victorian Government Cyber Incident Management Plan*.

The organisation has information privacy and security strategies in place and an assurance program in place to manage privacy and security risks. The organisation has conducted *Privacy Impact Assessments* and *Security Risk Assessments*. The organisation has appropriate plans in place which are reviewed and maintained (such as a *Protective Information Security Plan* and *Cyber Incident Response Plan*). The organisation has clear procedures and points of contact to seek out guidance regarding information privacy and security, and cyber security.

Protective measures are embedded in day-to-day processes to prevent privacy and security breaches and incidents. If incidents occur within the organisation, they are reported in alignment to requirements of the *Information Security Incident Notification Scheme*.

Choose the maturity level below that best describes your organisation's current situation. Use the percentage and progression markers to explore complexity to determine an overall maturity level.

Maturity Level	Maturity Statement	%	1 - early stages 2 - well progressed 3 - nearing the top
Unmanaged	The organisation is either unaware or has taken no steps to address information privacy and security management.		
Aware	The organisation has an awareness of information privacy and security management, but that there is little practical evidence of action		
Formative	The organisation is actively addressing information privacy and security management. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information privacy and security management, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to information privacy and security management through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

Overall Maturity Level Rating (unmanaged, aware, formative, operational, proactive &c)

Evidence to support selected rating

What is needed to reach the next maturity level rating?
