IM3

Information Management Maturity Measurement

Questionnaire

Version 1.8, March 2022

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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.

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.

Question 1.1: Literacy & Responsibility
_____

> ❓ *Are staff in your organisation aware of their information and data management responsibilities? What is the capacity for staff in your organisation to exploit information and data? Do staff in your organisation value information and data as assets?*
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> A custodianship model has been deployed that identifies the responsibilities of staff in relation to the organisation's information and data assets. Staff are aware of the importance of information and data management to the organisation and of their responsibilities in relation to it. Staff information and data management responsibilities are defined in documentation such as policies and job descriptions. Staff act in accordance with the Victorian Public Sector Code of Conduct requirements for information and data. Staff manage information and data in line with organisational requirements. Staff are encouraged to exploit information and data to the fullest. They actively engage in new information and data management initiatives and seek better understanding of the organisation's information and data assets. Staff receive training to improve their information and data literacy and to manage information and data 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 and data literacy and responsibility		
Aware	The organisation has an awareness of information and data literacy and responsibility, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data literacy and responsibility, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data literacy and responsibility through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

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

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Evidence to support selected rating

What is needed to reach the next maturity level rating?

Question 1.2: Capability & Capacity

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

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

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

The organisation gives priority to recruiting specialists to help develop the organisation's information and data management capability. The human resource requirements for information and data management are regularly assessed in terms of capacity, skills, and knowledge.

Information and data management specialists are respected professionals who are consulted in the development and implementation of business initiatives. Information and data management specialists have been appointed into dedicated roles.

There are enough staff employed in information and data management roles in the organisation.

Information and data 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 and data management capability and capacity.		
Aware	The organisation has an awareness of information and data management capability and capacity, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management capability and capacity, and the initiatives are operating to a reasonable standard		
Proactive	The organisation has a dedicated commitment to achieving information and data management capability and capacity through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

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

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 1.3: Training, Support & Knowledge Sharing

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> ❓ *What training, support or knowledge sharing is available to staff in your organisation to assist them in meeting their information and data management responsibilities?*
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> The organisation has established initiatives to help build a positive information and data management culture and educate staff on their information and data management responsibilities.
> Staff have access to a range of internal or external information, data, and records management courses and/or knowledge sharing tools relevant to their job role. Training is regularly reviewed and updated to suit needs. Formal training has been established and is regularly maintained to build practical skills and knowledge. Staff are in place to deliver and maintain quality training.
> Documentation/tools such as contact information, manuals and reference guides are available to staff.

Choose the maturity level below that best describes your organisation's current situation.
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, data and records management training, support, and knowledge sharing		
Aware	The organisation has an awareness of information, data and records management training, support, and knowledge sharing, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information, data and records 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, data and records 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, data and records 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)

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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2. Organisation

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

Question 2.1: Governance

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? _To what degree is information and data management formally governed in your organisation?_

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An internal Information and Data Management Governance Committee (IDMGC), or similar has been established to lead, monitor, and report on information and data management activities.
The IDMGC ensures coordination, visibility and appropriate sponsorship of information and data management activities within the organisation. The IDMGC 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 IDMGC

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 and data management governance.		
Aware	The organisation has an awareness of information and data management governance, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management governance, and the initiatives are operating to a reasonable standard		
Proactive	The organisation has a dedicated commitment to achieving information and data 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)

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 2.2: Vision & Strategy

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Does the organisation have a strategy that provides a roadmap for information and data management? Has the organisation formulated and articulated its vision for information and data management?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An information and data management strategy (or strategies) has been developed, implemented, and endorsed to outline the organisation's vision for the systematic approach to the management of information and data. The Strategy adequately highlights organisation-wide information and data management issues, major risks, desired results, and the resource implications.
Strategy development was achieved through collaboration between information and data management and business representatives to align to the organisation's vision, strategic objectives, and business drivers.
The information and data management strategy is assessed for improvement on an annual basis.
The initiatives of the information and data management strategy are resourced and funded.
Other strategic documents are in place in the organisation, which adequately cover information and data 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 and data management vision and strategy.		
Aware	The organisation has an awareness of information and data management vision and strategy, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management vision and strategy, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data management vision and strategy through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

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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?

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Question 2.3 Strategic Alignment

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> ❓ *To what degree is the Information and Data Management Strategy aligned with and incorporated into other strategic planning in your organisation?*
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> Information and data management obligations are identified and acknowledged in other key organisation policies.
> The information and data management strategy is aligned with and/or integrated with other strategic planning in the organisation (e.g. risk, privacy, FOI, ICT, procurement, or environmental management strategies).
> Information and data management capabilities are built into the business through strategy, policy, and projects.
> New organisation projects and initiatives identify information and data 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 and data management strategic alignment.		
Aware	The organisation has an awareness of information and data management strategic alignment, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management strategic alignment, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data management strategic alignment through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

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

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 2.4 Management Support & Leadership

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 Does management support information and data management in your organisation? Is there executive-level representation for information and data management initiatives?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

The organisation has appointed an executive level Chief Information Officer and/or Chief Data Officer (or equivalent).
Information and data management interests and issues are represented at executive level and are given appropriate consideration.
Information and data management policies and practices are actively supported by Senior Management and Middle Management.
Leadership understands information and data management issues and practices and seek additional specialist information and data 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 and data management support and leadership.		
Aware	The organisation has an awareness of information and data management support and leadership, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management support and leadership, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data management support and leadership through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

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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?

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Question 2.5 Audit & Compliance

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How well does your organisation monitor compliance with your own information and data 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 and data management relevant legislation, policies, and standards (such as those issued by Public Record Office Victoria and Office of the Victorian Information Commissioner).
Information and data 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 and data 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 and data management auditing and compliance.		
Aware	The organisation has an awareness of information and data management auditing and compliance, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management auditing and compliance, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data management auditing and compliance through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

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

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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3. Information 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.

Question 3.1: Asset Management

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> How well does the organisation identify, manage, and monitor their significant information and data assets? Have information and data management roles and responsibilities been defined in the organisation to properly manage information and data assets?
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> The organisation's significant information and data assets (i.e., discrete collections of data or information that is recognised as valuable) and critical information and data 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 and maintained to document at minimum, the organisation's significant information and data assets. A custodianship model is in place so that assets have an assigned owner and custodian (or equivalent). The custodianship model supports work with information and data users to actively maintain assets and improve the accessibility, usability and sharing of information and data as required. Users can assess if assets are fit for their intended purpose.

Choose the maturity level below that best describes your organisation's current situation.
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 and data asset management		
Aware	The organisation has an awareness of information and data asset management, but that there is little practical evidence of action		
Formative	The organisation is actively addressing information and data 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 and data asset management, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data asset management through innovation and/or learning based on ongoing monitoring and review		
Unknown			
Not Applicable			

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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?

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Question 3.2: Policies & Procedures

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Does the organisation have fully developed and implemented information and data 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 and data 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. The policies are actively communicated and available to all staff.
Information and data 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. Breaches of policy are actively addressed and rectified.

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 and data management policies and procedures.		
Aware	The organisation has an awareness of information and data management policies and procedures, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management policies and procedures, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data 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)

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 3.3: Meeting Business and User Needs

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> **?** *Are information and data meeting the needs of the business and its users in terms of strategic importance, quality, and availability?*
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> The organisation has established processes and/or a program to address information and data quality issues (ensuring information and data is accurate, consistent, complete, and current).
> An analysis of information and data assets has been conducted to determine if information and data is meeting business needs, accountability requirements and community expectations.
> Data quality statements have been developed for at least the significant (including critical) information and data assets.
> Remediation processes are in place to address information and data quality and/or availability issues.
> Overall, information and data are fit for purpose and/or can be tailored to meet business needs.

Choose the maturity level below that best describes your organisation's current situation.
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 and data business and user needs.		
Aware	The organisation has an awareness of information and data business and user needs, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data business and user needs, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data 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)

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 3.4: Accessibility & Discoverability

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How easy is it for organisation staff and other parties to find the information or data they are looking for? Is critical information and data able to be found in a timely manner when it is needed?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

An organisation-specific information and data repository and/or search applications have been developed and are used by staff.
Information and data are collected and stored with access and discoverability in mind.
Definitions and standards are used to increase the findability of information and data.
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 and data capture, the application of metadata, information and data access, storage, and retrieval

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 and data accessibility and discoverability.		
Aware	The organisation has an awareness of information and data accessibility and discoverability, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data accessibility and discoverability, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data 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)

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 3.5: Information Use & Re-Use

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? _How usable is the information and data 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 and data collection, description, and organisation, and to prevent duplication.
Digital continuity strategies are in place. Information and data assets are shared and re-used across the organisation and with external stakeholders as appropriate.
The organisation applies appropriate licences and quality statements when sharing information and data.
Where appropriate, information and data are released to the public.
Custodians work with information and data users to support the usability of information and data.
The organisation can leverage their information and data for business intelligence and analytics.
Data exchanges occur using standard interfaces and formats

Choose the maturity level below that best describes your organisation's current situation.
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 and data use and re-use		
Aware	The organisation has an awareness of information and data use and re-use, but that there is little practical evidence of action		
Formative	The organisation is actively addressing information and data use and re-use. There will be evidence of a planned approach, even if it is not fully implemented in some areas.		
Operational	The organisation has completed implementation of planned initiatives regarding information and data use and re-use, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data use and re-use through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

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

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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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.

Question 4.1: Information Architecture

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> **?** *Has the organisation developed an information and data architecture model? To what degree does it link to other relevant models?*
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> The organisation has developed an information and data architecture model which provides an overview and description of the organisation's information and data, and their 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 and data architecture aligns to other models such as the IT and data architectures.

Choose the maturity level below that best describes your organisation's current situation.
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 and data architecture		
Aware	The organisation has an awareness of information and data architectures, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing an information and data 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 and data architecture, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving an information and data 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)

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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Question 4.2: Process Improvement

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How well have business processes been aligned with information and data management requirements? Has the organisation identified areas for improvement and eliminated duplicate processes?

EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:

Information and data management practices have been incorporated into business processes.
Efforts have been made to look at where business processes can be re-engineered to improve efficiencies and reduce duplication of information and data.
Process issues impacting information and data management are directed to appropriate staff or working groups for action.
Process owners are open to making changes to improve process and information and data 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 and data management process improvement		
Aware	The organisation has an awareness of information and data management process improvement, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing information and data 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 and data management process improvement, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to achieving information and data management process improvement through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

OFFICIAL

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

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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OFFICIAL

Question 4.3: Business Systems & Tools

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> **?** *Are information and data management capabilities built into business systems and tools?*
>
> **EXAMPLE OUTCOMES / EVIDENCE MAY INCLUDE:**
>
> Information and data management specialists works together with IT and risk management specialists as required to manage existing and/or implement new systems and tools.
> Information (including data and records) managed within the organisation's business systems and tools is effectively managed according to requirements from the Department of Premier and Cabinet, Public Record Office Victoria, and Office of the Information Commissioner.
> The organisation encourages and adopts improvements to system and tool information and data 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 and data management capabilities into business systems and tools		
Aware	The organisation has an awareness of building information and data management capabilities into business systems and tools, but that there is little practical evidence of action.		
Formative	The organisation is actively addressing building information and data 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 and data 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 and data management capabilities into business systems and tools through innovation and/or learning based on ongoing monitoring and review.		
Unknown			
Not Applicable			

OFFICIAL

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

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Evidence to support selected rating

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What is needed to reach the next maturity level rating?

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OFFICIAL

Question 4.4: Information Privacy & Security

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> *What is the status of information and data privacy and security in the organisation? Do staff have the knowledge and support to protect information and data and ensure their confidentiality, integrity, and availability? Is the organisation able to respond to information and data 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 and data privacy and security strategies in place and an assurance program in place to manage privacy and security risks. The organisation has conducted Privacy Impact Assessments and Security Risk Assessments. The organisation has appropriate plans in place which are reviewed and maintained (such as a *Protective Data Security Plan* and *Cyber Incident Response Plan*). The organisation has clear procedures and points of contact to seek out guidance regarding information and data 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 and data privacy and security management.		
Aware	The organisation has an awareness of information and data privacy and security management, but that there is little practical evidence of action		
Formative	The organisation is actively addressing information and data 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 and data privacy and security management, and the initiatives are operating to a reasonable standard.		
Proactive	The organisation has a dedicated commitment to information and data 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?

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