

Report

Information Management Maturity Current State Assessment 2015-2016 Version 2: De-identified Data

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1 Executive Summary

Background

The Information Management Maturity Measurement tool (IM3) was developed by Public Record Office Victoria (PROV) in 2013 in collaboration with Victorian Government departments and key agencies that form the Information Management Group (IMG). The IMG reports to the Chief Information Officer (CIO) Leadership Group.

The IM3 tool is designed to gauge an agency's current level of information management (IM) maturity. It is composed of a self-assessment questionnaire and support documents presented around four key areas: People, Organisation, Information Lifecycle and Quality, Business Systems and Processes.

In December 2015, the Victorian Auditor-General's report *Access to Public Sector Information*¹ endorsed PROV's IM3 tool as valuable and recommended that agencies assess and address their information management maturity using IM3.

The Information Management Maturity Assessment Program (IMMAP) was launched by PROV in January 2016 and requested that seven departments and four key agencies, all members of the IMG, use the IM3 tool and send their results to PROV to identify information management maturity in Victorian Government.

The IMMAP was designed to provide:

- A mechanism for identifying and initiating IM enhancement opportunities both within and across departments and agencies.
- An evidence base which informs the strategic direction and priorities for IM decision makers across Victorian Government.

PROV collated and analysed results in July 2016 and identified a number of strengths and weaknesses in IM maturity across departments and key agencies of Victorian Government. PROV did not direct agencies to adopt a particular methodology to complete the IM3 assessment and not all participants have provided details on what methodology(s) they utilised to obtain maturity level ratings for each question.

This report provides an overview of self-assessed IM maturity and does not provide explanation of why participants have rated their IM maturity as they did. It is recognised that there will be diverse and complex reasons for the ratings provided by the participants.

This version of the report outlines de-identified results of department and agency participants of the IMMAP during the 2015-2016 financial year.

Results

Through the IMMAP, PROV has identified a number of strengths and weaknesses in IM maturity across departments and key agencies of Victorian Government. Ratings for IM areas and participants are on a scale of one to five, with one being "unmanaged" and five being "proactive". (See **Table 5**, page 9 for full set of results for the 2015-2016 IMMAP).

Strengths

Most departments and agencies have established good *IM Governance* and have developed solid *IM Vision and Strategy*. One department and one agency are leading the field with strong results in *Information Security*.

¹ Victorian Auditor General's Office 2015 *Access to Public Sector Information*, viewed 14 December 2015
http://www.audit.vic.gov.au/reports_and_publications/latest_reports/2015-16/20151210-access-to-information.aspx.

Weaknesses

The weakest area across all departments and agencies is in *IM Audit and Compliance*. This area received an average “unmanaged” rating level of 1.6.

Other underperforming areas include:

- *Information Literacy and Responsibility*
- *Accessibility and Discoverability*
- *Information Use and Reuse*.

Recommendations

PROV has prepared 9 recommendations to address the lowest maturity level ratings and identify enhancement opportunities. (See all recommendations and further information in **Recommendations**, page 17). Key recommendations include:

1. Enterprise Solutions at DPC and PROV explore development of a formal online training IM program for all Victorian Public Sector staff.
5. IMMAP participants work towards implementing internal Audit and Compliance programs to increase their maturity rating levels by 2018.
8. PROV will work with DPC and consult with the IMG to improve and enhance the IM3 tool and its supporting documentation to expand its coverage and address organisation complexity and emerging IM issues, technologies and standards.
9. Finally, it is also recommended that IMMAP IM3 assessments are next conducted in financial year 2017-2018 and biennially² thereafter. PROV will collate, analyse and report on IM results during 2018 to continue to understand, measure and improve IM maturity in Victorian Government.

² Departments and agencies currently using the IM3 on an annual basis to internally measure IM maturity can continue to do so and will contribute their results to the IMMAP as required.

2 Background

2.1 Information Management Maturity Measurement (IM3) tool

The Information Management Maturity Measurement tool (IM3) was created by PROV in 2013 in collaboration with members of the Whole of Victorian Government Information Management Group (IMG).

The IM3 tool is designed to allow users to self-assess their agency's current level of information management (IM) maturity. It is composed of a questionnaire and support documents presented around four key areas: People, Organisation, Information Lifecycle and Quality and Business Systems and Processes.

The IM3 tool:

- Helps assess performance against the Whole of Victorian Government (WoVG) Information Management standards.
- Provides valuable insight and evidence into department and agency IM trends, gaps and opportunities.
- Delivers a basis for possible collaborative IM initiatives across government.

The IM3 was subsequently revised in 2015, strengthening its relevance and coverage and PROV plans to undertake further updates to the tool during 2017.

2.2 Information Management Measurement Assessment Program

The Information Management Maturity Assessment Program (IMMAP) was launched by PROV in January 2016 and requested that seven departments and four key agencies, all members of the IMG, use the IM3 tool during the 2015-2016 financial year and send their results to PROV to undertake analysis and comparison.

The IMMAP was designed to provide:

- A mechanism for identifying and initiating IM enhancement opportunities both within and across departments and agencies.
- An evidence base which informs the strategic direction and priorities for IM decision makers across Victorian Government.

The IMMAP would be delivered in four stages as outlined in **Table 1** below.

Stage No	Date	Actions	Completed
Stage 1	Jan – Jun 2016	Department and agency IM3 self-assessments undertaken.	✓
Stage 2	30 Jun 2016	Submission of all department and agency IM3 results to PROV.	✓
Stage 3	Jul – Sep 2016	Collation and analysis of IM3 results and creation of an <i>Information Management Maturity Current State Assessment Report</i> .	✓
Stage 4	30 Sep 2016	Report released to Whole of Victorian Government Information Management Group (IMG), Chief Information Officer Leadership Group, Deputy Secretaries Leadership Group, Victorian Secretary's Board, Public Record Advisory Council (PRAC) and Victorian Auditor General's Office (VAGO).	✓

Table 1 – 2015-2016 IMMAP Program Stages

2.3 Reporting to senior government and IM community

PROV collated results in July 2016 from five departments and three agencies who participated in the IMMAP during 2015-2016 financial year with the intention of releasing an IM maturity report to the CIO Council, senior government bodies and the wider IM community. Results are also being utilised by the IMG for work planning purposes.

Two versions of the report are available, as outlined in **Table 2** below.

Report Version	Description	Submitted to
Version 1	Report presents data that identifies the IM3 results for individual departments and agencies who participated in the IMMAP.	Whole of Victorian Government Information Management Group (IMG), Public Record Advisory Council (PRAC) Deputy Secretaries Leadership Group and Victorian Auditor General's Office (VAGO).
Version 2	Report presents de-identified IM3 result data.	IM and RM community via PROV public website, blog and government newsletter.

Table 2 – Versions of the IMMAP Report

This version of the report, Version 2, outlines de-identified results of department and agency participants of the IMMAP during 2015-2016 financial year and will be distributed to information and records Management communities via the PROV website, blog and PROV Bytes government e-newsletter.

Version 1 of the report, outlining identified results of the five departments and three agencies that participated in the IMMAP during 2015-2016 financial year, will be distributed up to the Victorian Secretaries Board as well as the Public Records Advisory Council (PRAC) and the Victoria Auditor-General's Office.

3 Methodology

3.1 Participants

In January 2016, all department members of the IMG were asked by PROV to participate in the IMMAP by self-assessing their IM maturity using the IM3 tool. **Table 3** below outlines all of the departments invited to participate. Many of the departments had already used the IM3 tool since its launch in 2013 and thus were easily able to take part in the IMMAP.

Department name	Abbreviated name	Participated in IMMAP
Department of Economic Development Jobs Transport & Resources	DEDJTR	No ³
Department of Education and Training	DET	Yes
Department of Environment, Land, Water and Planning	DELWP	Yes
Department of Health and Human Services	DHHS	Yes
Department of Justice and Regulation	DJR	Yes
Department of Premier and Cabinet	DPC	Yes
Department of Treasury and Finance	DTF	No ⁴

Table 3 - Departments invited to participate in IMMAP

A number of key government agencies who are also members of the IMG were also invited to participate in the IMMAP as outlined in **Table 4** below.

Agency name	Abbreviated name	Participated in IMMAP
State Revenue Office	SRO	Yes
VicRoads	VR	Yes
Victoria Police	VP	Yes
Environment Protection Authority	EPA	No ⁵

Table 4 - Agencies invited to participate in IMMAP

PROV is aware that many other agencies across government have been using the IM3, but these are not currently tracked or in scope of the IMMAP.

³ The Department of Economic Development, Jobs, Transport and Resources (DEDJTR) did not submit IM3 results and did not provide reasons for their non-participation.

⁴ The Department of Treasury and Finance (DTF) have completed an IM3 assessment but were unable to send results to PROV in time for report publishing.

⁵ The Environment Protection Authority (EPA) did not submit IM3 results due to a current lack of IM resources and staffing in the agency.

3.2 Questionnaire and rating levels

The IMMAP was conducted using a common set of questions found in the IM3 tool. (See **Appendix A**, page 18 for full set of IM3 questions). Each participating department and agency downloaded the tool from the PROV website and completed 17 questions covering four broad areas:

1. People
2. Organisation
3. Information Lifecycle and Quality
4. Business Systems and Processes.

For each question, the department or agency selected their current 'maturity' level using a scale of one to five, with one being the least developed and five the most developed. See **Figure 1** below for an overview of the maturity levels.



Figure 1 IM3 Maturity Levels

Due to variations in department and agency size, structure, resourcing and capability, PROV did not direct agencies to adopt a particular method to complete the IM3 questions. Thus each department and agency were responsible for determining the best approach to interpreting and answering the questions and selecting an appropriate maturity level rating. As such, the IMMAP participants utilised different methodologies and samples to complete the assessment including surveys, workshops and/or interviews.

To ensure consistency and longevity, PROV recommended that agencies and departments try to repeat the same methodology for future IM3 assessments. Once the department or agency completed all of the questions, the IM3 generated a table and graph of results and these were emailed to PROV for analysis.

3.3 PROV analysis

PROV compared the maturity level ratings submitted by the IMMAP participants across all questions and average rating levels were calculated for each participant and IM area addressed in the IM3 questionnaire. Patterns and trends were identified in the results to ascertain strengths and weaknesses and provide recommendations.

PROV did not collect information as to why agencies have rated their IM maturity at particular levels.

4 Results

4.1 Overview of results

	Question	Dept1	Dept2	Dept3	Dept4	Dept5	Agency1	Agency2	Agency3	Average rating	
1. PEOPLE	1.1 Information Literacy & Responsibility	2	2	2	2	3	3	2	2	2.3	AWARE
	1.2 Capability & Capacity	3	3	3	2	4	3	2	3	2.9	AWARE
	1.3 Training, Support & Knowledge Sharing	2	2	3	3	4	2	2	2	2.5	AWARE
2. ORGANISATION	2.1 Governance	2	4	4	4	3	4	3	3	3.4	FORMATIVE
	2.2 Information Management Vision & Strategy	2	4	3	4	4	3	3	2	3.1	FORMATIVE
	2.3 Strategic Alignment	2	2	3	3	4	2	2	2	2.5	AWARE
	2.4 Management Support & Leadership	2	3	3	3	3	3	2	3	2.8	AWARE
	2.5 Audit & Compliance	1	1	2	2	2	2	1	2	1.6	UNMANAGED
3. INFORMATION LIFECYCLE & QUALITY	3.1 Asset Management	2	2	3	3	4	3	2	3	2.8	AWARE
	3.2 Policies & Procedures	2	3	2	3	3	2	3	2	2.5	AWARE
	3.3 Meeting Business Needs	2	2	3	2	3	3	2	2	2.4	AWARE
	3.4 Accessibility & Discoverability	2	2	2	2	4	3	1	2	2.3	AWARE
	3.5 Information Use & Re-use	3	2	3	2	3	2	1	2	2.3	AWARE
4. BUSINESS SYSTEMS & PROCESSES	4.1 Information Architecture	2	1	3	2	4	3	3	3	2.6	AWARE
	4.2 Process Improvement	1	3	2	2	3	3	2	3	2.4	AWARE
	4.3 Business Systems & Tools	2	2	2	3	3	3	2	3	2.5	AWARE
	4.4 Information Privacy & Security	2	2	3	2	5	3	3	4	3.0	FORMATIVE
Average rating for each Department/Agency		2.0	2.4	2.7	2.6	3.5	2.8	2.1	2.5		

Table 5 - 2015-2016 IMMAP Results

Notes:

- 1) PROV recognises that due to their complex and extensive range of functions and activities, Departments 1-4 are likely to have greater difficulty in delivering improvement than agencies with more narrow range of functions and activities.
- 2) The IM3 tool provides a whole number level rating of one to five for each question. While the average for Audit & Compliance is 1.6, it should still be considered to be an unmanaged maturity level rating of 1.
- 3) PROV did not direct agencies to adopt a particular methodology to complete the IM3 assessment and not all participants have provided details on what methodology(s) they utilised to obtain maturity level ratings for each question.

4.2 Strengths

Most departments and agencies have established good *IM Governance* (average 3.4) and have developed solid *IM Vision and Strategy* (average 3.1). One department and one agency are assessed highest with strong results in *Information Privacy & Security* (4-5 level ratings).

4.3 Weaknesses

The weakest area across all departments and agencies is in *IM Audit and Compliance*. This area received an unmanaged rating level (average 1.6).

In the People area, *Information Literacy and Responsibility* was low (average 2.3).

Also under Information Lifecycle and Quality, *Accessibility and Discoverability* and *Information Use and Reuse* are in the awareness stage only (average 2.3).

4.4 Individual question results

4.4.1 People

Question 1.1 Information Literacy and Responsibility

Staff are responsible for managing information and are aware of their responsibilities. Information is regarded and treated as a valuable asset.



Figure 1 – IMMAP results for Question 1.1

The majority of the IMMAP participants are in the aware level (2 rating) with one department and one agency reaching formative maturity level (3 rating).

Question 1. 2 Capability and Capacity

IM capability and capacity is sufficient to develop and support good information management.

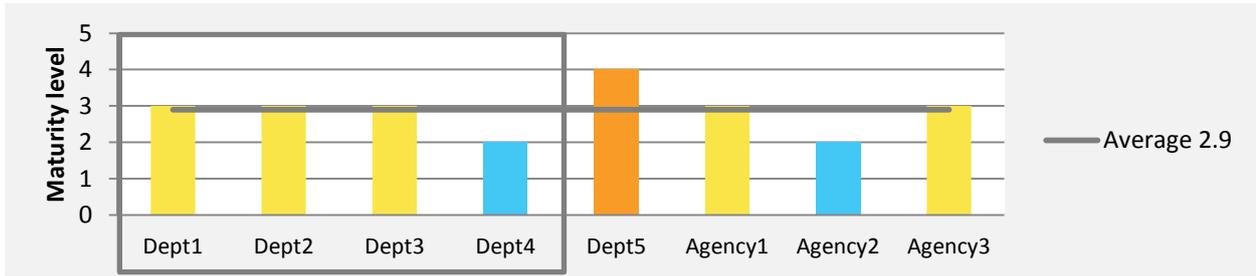


Figure 2 – IMMAP results for Question 1.2

Results indicated that Department 5 self-assessed the highest, with a level 4 operational rating. The formative stage is reached by all except two participants.

Question 1. 3 Training and Support

Training, support or knowledge sharing is available to assist staff in meeting their IM responsibilities.

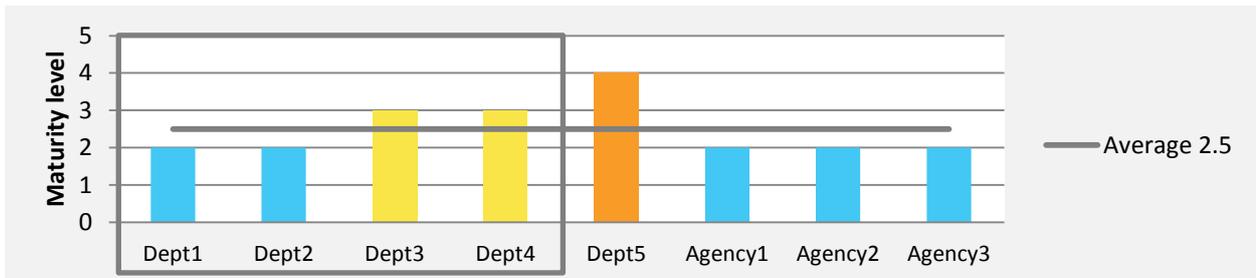


Figure 3 - IMMAP results for Question 1.3

The majority are aware in this category. Department 5 again self-assessed the highest

4.4.2 Organisation

Question 2.1 Governance

IM is formally governed in the organisation.

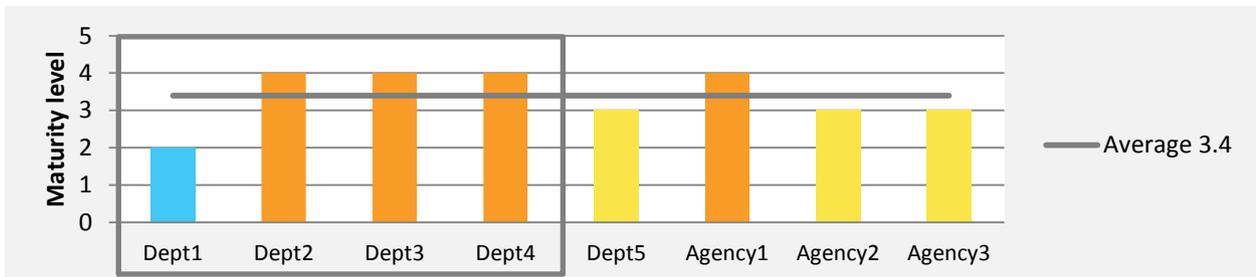


Figure 4 - IMMAP results for Question 2.1

Half of the departments and agencies are in the operational stage for governance. Three of the departments and one agency are strong in this field.

Question 2.2 Information Management Vision and Strategy

There is a strategy that provides a roadmap for Information and the organisation formulates and articulates its vision for information management.



Figure 5 - IMMAP results for Question 2.2

Stronger vision and strategy work is evident in three departments. Others are reaching formative or aware levels.

Question 2.3 Strategic Alignment

The IM Strategy is aligned with and is incorporated into other strategic planning in the organisation.



Figure 6 - IMMAP results for Question 2.3

Department 5 again self-assessed the highest and are the only operational department in this area, with the other participants being in the formative or aware levels.

Question 2.4 Management Support and Leadership

Management supports information management. There is executive-level representation for IM initiatives.

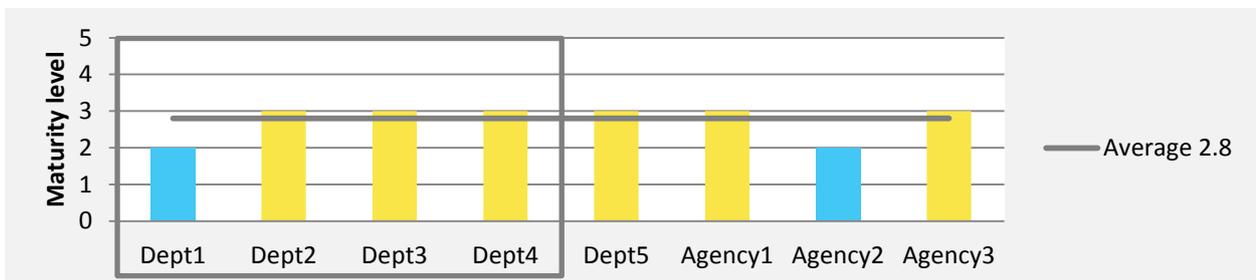


Figure 7 - IMMAP results for Question 2.4

Management support and leadership appears to be mostly in the formative stage.

Question 2.5 Audit and Compliance

The organisation monitors compliance against IM standards and with Victorian Government-mandated legislation and requirements.

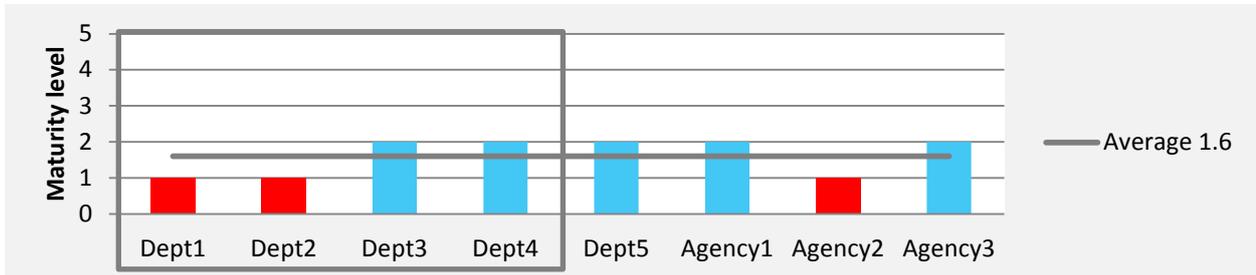


Figure 8 - IMMAP results for question 2.5

It is noticeable that *Audit and Compliance* is the weakest performing IM area within all of the departments and agencies. All participants were at an aware or unmanaged level.

4.4.3 Information lifecycle and quality

Question 3.1 Asset Management

The organisation identifies, manages and monitors significant information assets. IM roles and responsibilities are defined to properly manage information assets.



Figure 9 - IMMAP results for Question 3.1

Asset Management appears to be managed at an operational level at Department 5 and is in a formative stage for half of the group.

Question 3.2 Policies and Procedures

The organisation has fully developed and implemented IM and Records Management policies that reference Whole of Victorian Government (WoVG) Standards. The policies are supported by documented procedures.



Figure 10 - IMMAP results for Question 3.2

Policies and Procedures results showed half of the group are at formative stage and half are aware only.

Question 3.3 Meeting Business Needs

Information meets the needs of the business and its users in terms of strategic importance, quality and access.

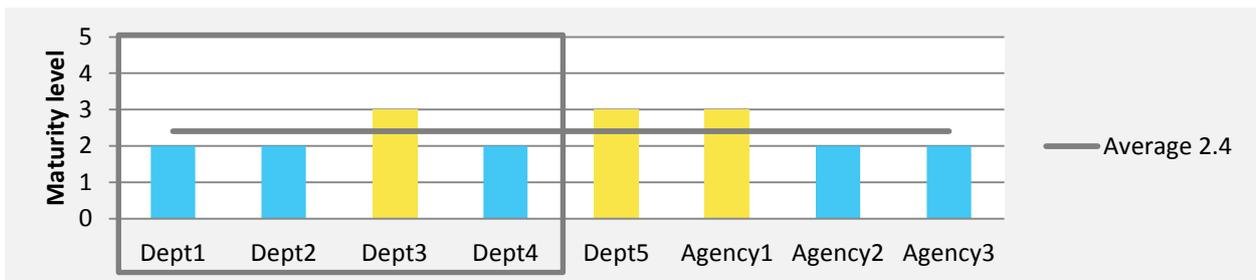


Figure 11 - IMMAP results for Question 3.3

Overall Meeting Business Needs results showed under half of the group are at formative stage and over half are aware only.

Question 3.4 Accessibility and Discoverability

Staff and other parties are able to find the information they are looking for. Critical information is found in a timely manner when it is needed.

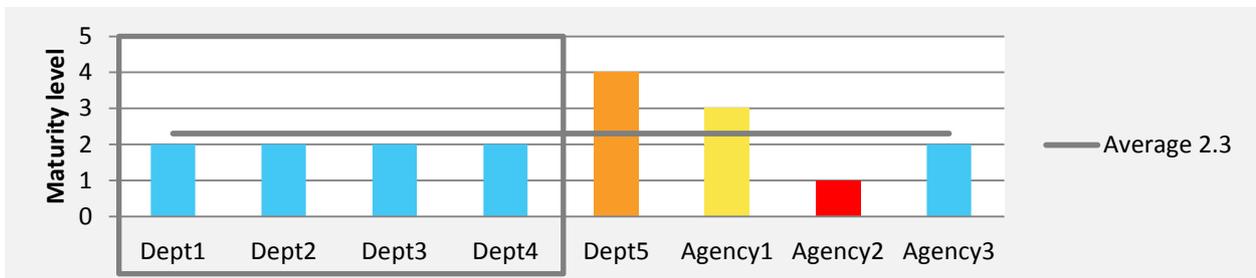


Figure 12 - IMMAP results for Question 3.4

Most rated Accessibility and Discoverability as being aware with only one agency rating it unmanaged. Department 5 self-assessed higher, reaching operational status in this area.

Question 3.5 Information Use and Re-Use

Information being produced by the organisation is usable both now and in the future.



Figure 13 - IMMAP results for Question 3.5

Most rated *Information Use and Reuse* as being aware or formative only with one agency rating it unmanaged.

4.4.4 Business Systems and Processes

Question 4.1 Information Architecture

The organisation has an Information Architecture model that links to the Business Architecture and IT Architecture models.



Figure 14 - IMMAP results for Question 4.1

Information Architecture is rated as operational at Department 5 and unmanaged at Department 2. Overall most participants were at a formative level.

Question 4.2 Process Improvement

Business processes are aligned with IM requirements to ensure information quality. The organisation has identified information integration points and has eliminated duplicate processes.

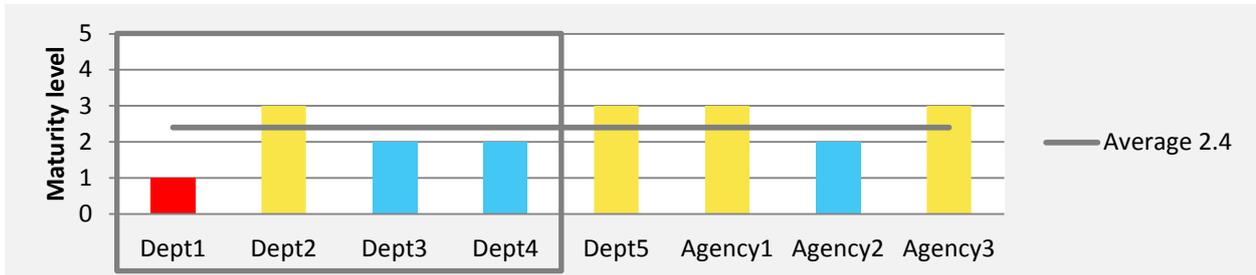


Figure 15 - IMMAP results for Question 4.2

Process Improvement is an area that has mixed results. Department 1 are in the unmanaged stage while the rest are either aware or formative.

Question 4.3 Business Systems and Tools

Technology is available to support and enable the delivery of the organisation's IM strategy.

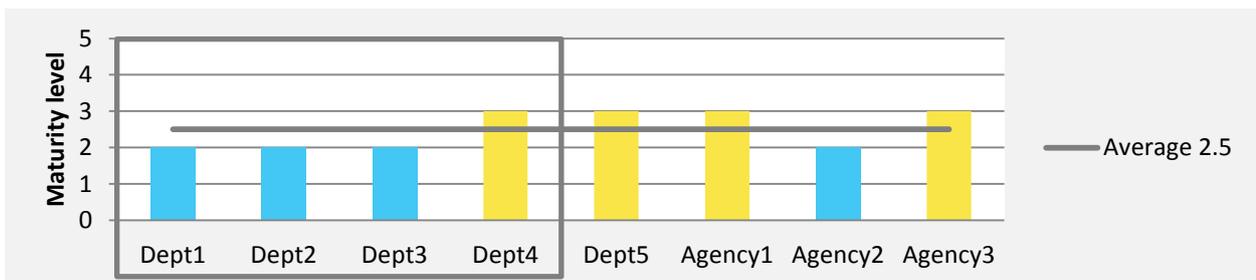


Figure 16 - IMMAP results for Question 4.3

Half the group are at a formative level and half are aware.

Question 4.4 Information Privacy and Security

Staff have the knowledge and support to ensure information security and to protect privacy of people's personal information.



Figure 17 - IMMAP results for Question 4.4

Department 5 have reached a proactive level, the highest recorded score across the 2015-2016 IMMAP. Agency 3 are operational and the rest are a mixture of being formative or aware.

5 Recommendations

5.1 Identify IM enhancement opportunities

Overall, enhancement opportunities exist for departments and agencies to use the IM3 results to learn from each other in areas of strength and to improve areas that are weak. In order to facilitate this, PROV recommends the following actions:

1. Enterprise Solutions at DPC and PROV explore development of a formal online training IM program for the Victorian Public Sector.
2. Recognition of high levels of achievement being performed in various departments. “Good” work is shared through information management forums with other agencies to improve their work practices.
3. Secondment of key IM staff (achieving good results) to other departments and agencies that are in need of assistance in the weaker areas to share practice and assess opportunities for improvement.
4. Enterprise Solutions at DPC lead the development of standards and advice in consultation with IMG, Commissioner of Privacy and Data Protection (CPDP) and PROV to improve audit and compliance measures, as part of the Information Management Framework being led by Enterprise Solutions.

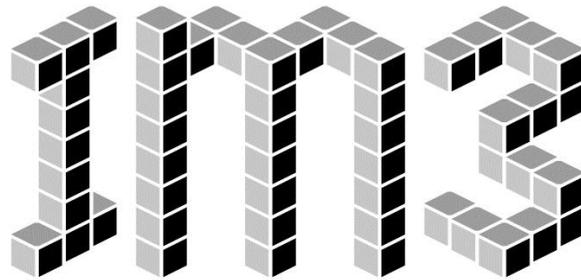
5.2 Provide an evidence based approach to inform IM decision makers

PROV recommends the following take place to ensure an evidence based approach to inform the strategic direction and priorities for IM decision makers across Victorian Government:

1. IMMAP participants work towards implementing internal Audit and Compliance programs to increase their maturity rating levels by 2018.
2. Enterprise Solutions at DPC, CPDP and PROV align the data, privacy, security and records management standards as part of the Information Management Framework being led by Enterprise Solutions.
3. PROV completes its high value, high risk program of work to support information management best practice.
4. PROV will work with DPC and consult with the IMG to improve and enhance the IM3 tool and its supporting documentation to expand its coverage and address organisational complexity and emerging IM issues, technologies and standards.
5. Finally it is also recommended that IMMAP IM3 assessments are next conducted in financial year 2017-2018 and biennially⁶ thereafter. PROV will collate, analyse and report on IM results during 2018 to continue to understand, measure and improve IM maturity in Victorian Government.

⁶ Departments and agencies currently using the IM3 on an annual basis to internally measure IM maturity can continue to do so and will contribute their results to the IMMAP as required.

6 Appendix A: IM3 Questions



Information Management Maturity Measurement

Questionnaire

Version 1.5, December 2015

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Questions

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 agency contribute to good Information Management.

Question 1.1: Information Literacy & Responsibility



One of the six key WoVG Information Management Principles is that 'Information is recognised as a valuable asset'. Like other assets, information needs to be managed and maintained to maximise its value. This implies that staff are educated and encouraged to use available information to the fullest.



WoVG Information Management Principles at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



Are staff who are responsible for managing information in your department aware of their responsibilities? Is information regarded and treated as a valuable asset? Choose the statement below that best describes your organisation's current situation.

- 1 Staff are largely unaware of the organisation's information assets, the potential value of information and of their information management responsibilities.
 - 2 Staff are aware of the information produced by their team or area only. Staff acknowledge that their role involves a certain amount of information management and recordkeeping, but apply it at a personal or team level only.
 - 3 Staff apply appropriate information management practices to their role, as far as the available policies, procedures and technologies allow. Staff are aware of the information produced by their team or area, and of the broader organisation information assets.
 - 4 Staff regard information management and recordkeeping as an integral part of their role; they understand the importance of proper management practices and act accordingly. The majority of staff are aware of the range of information assets produced by the organisation.
 - 5 Staff are fully aware of the importance of information management to the organisation and their responsibilities in relation to it. Staff are educated and encouraged to exploit information to the fullest. They actively engage in new IM initiatives and seek better understanding of the organisation's information assets.
- Unknown/Need to obtain more information
- Not applicable to my organisation.

Notes:

(Optional)

Question 1.2: Capability & Capacity



Capability is a feature, faculty or process that can be developed or improved, and individual skills that can be applied and exploited. In the case of information management, capability answers the questions:

- How can we improve our information management practices?
- What competencies do current staff have that can be applied and utilised?
- How easy is it to access, deploy or apply any additional capability if we need it?

Capacity is the power to hold, receive or accommodate and relates to the 'amount' or 'volume'. In the case of information management, capacity answers the questions:

- Do we have enough IM skills/knowledge/process/policies?
- How much is needed, now and in the future?



Is the organisation's information management capability and capacity sufficient to develop and support good information management? Choose the statement below that best describes your organisation's current situation.

- There are no specialist information management positions in the organisation and limited awareness of the need to build capabilities in this area. Business relies on local knowledge to solve information management challenges.
 - Information management experience in the organisation is present but inconsistent. There is awareness that the IM capability has to be developed.
 - Information management specialists have been appointed and are sometimes consulted by other areas of the business, e.g. IT and Risk. Gaps in the IM capability and capacity may have been identified.
 - The organisation's IM capacity and capability requirements are appropriately resourced. Dedicated IM specialists have been appointed and are involved across a range of business initiatives.
 - The organisation gives priority to recruiting IM specialists to help develop the organisation's IM capability. The HR requirements for the IM function are regularly assessed in terms of capacity, skills and knowledge. IM specialists are respected professionals who are consulted in the development and implementation of all business initiatives.
- Unknown/Need to obtain more information
- Not applicable to my organisation.

Notes:

(Optional)

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 IM responsibilities? Choose the statement that best describes your organisation's current situation.

- 1 No specific training, support or knowledge sharing is available to staff to support their access to and use of information. Most advice is received informally from colleagues or technical support staff.
 - 2 Some training in information management is available to staff, but is only provided at induction or in response to a business activity. For example, training associated with implementing a new business application. IM is not recognised as its own discipline that requires ongoing training or knowledge sharing.
 - 3 Training requirements for the use of IM technologies and information resources have been identified. A formal IM training program and/or IM knowledge sharing plan has been proposed or is being developed, with the assistance of IM specialists.
 - 4 Training is provided to agency staff on all aspects of relevant information technologies, information access and appropriate use. Staff can competently follow IM and recordkeeping procedures appropriate to their role. Training is based on analysis of staff requirements and feedback. A specific IM support team, or helpdesk, or an IM knowledge sharing platform is available to assist staff with IM questions and issues.
 - 5 The agency has a mature IM culture with staff fully educated on the principles of IM and their specific roles and responsibilities. Staff have access to a range of internal and/or external IM courses and/or IM knowledge sharing tools relevant to their job role. IM training is regularly reviewed and updated to suit training needs.
- Unknown/Need to obtain more information
 - Not applicable to my organisation.

Notes:

(Optional)

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



Agencies must establish and maintain an Information Management Governance Committee (IMGC) to lead, monitor and report on information management activities in accordance with the requirements set out in the WoVG Agency Information Management Governance Standard.



IM STD 02 Agency Information Management Governance at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



To what degree is Information Management formally governed in your organisation? Choose the statement below that best describes your organisation's current situation.

- 1 Management is ignorant of the role information plays in the business and of its potential value. There is limited awareness of the requirement to manage information, nobody with Information Management Governance Committee (IMGC) responsibilities, and no definition of information management components and practices.
 - 2 The organisation is attempting to manage information at the business unit or project level, without any over-arching organisation governance. There is a growing awareness in the organisation that information IS the business, and of the need to communicate this to key stakeholders.
 - 3 There is recognition in the organisation of the need to establish an information management governance structure and that improved management of data and information is a prerequisite to better business outcomes. IM-related topics are included in leadership discussions and meetings.
 - 4 A whole-of-government information governance standard has been adopted and applied organisation-wide. An Information Management Governance Committee (IMGC) or equivalent, has been appointed to lead, monitor and report on IM activities.
 - 5 The business has significant involvement in the governance policies and process to ensure that IM initiatives support business outcomes. Enterprise information management is applied based on IM, IT and business collaboration. The IMGC provides leadership in line with WoVG information management principles and standards.
- Unknown/Need to obtain more information
- Not applicable to my organisation.

Notes:

(Optional)

Question 2.2: Information Management Vision & Strategy



An Information Management Strategy will outline an organisation's vision for its information management, and the systematic approach to the management of information and records. This may be a stand-alone document or incorporated in another strategic document.

Contents of an IM Strategy may include:

- Vision and objectives for the organisation's IM approach
- Links to corporate and strategic objectives
- Organisational SWOT Analysis (Strengths, Weaknesses, Opportunities, Threats)
- Identification of information assets and types
- Reference to applicable policy and regulation
- Detail about standards adopted in your organisation
- A high-level implementation and action plan



Does the organisation have a strategy that provides a roadmap for Information? Has the organisation formulated and articulated its vision for information management? Choose the statement below that best describes your organisation's current situation.

- Information management is not considered as part of strategic planning activities. IM planning and development is not a priority in the organisation.
 - Although strategic and business plans are prepared for the organisation, they do not specifically address information management. IM may be recognised by certain internal experts as being of strategic importance, but this has not been adopted across the organisation.
 - The need for an Information Management Strategy is acknowledged. Both the IM area and the business understand that their respective strategies should not be developed in a vacuum. Formulation of desired results, strategic priorities and resources in the IM area is commencing.
 - An executive-endorsed IM Strategy has been developed and implemented, appropriate to organisation needs, corporate culture, technological environment and risk exposure. It highlights organisation-wide IM issues, major risks, desired results and the resource implications. The needs of clients and stakeholders are reflected in planning. Resources are adjusted annually to reflect priorities in the IM Strategy.
 - Strategy development between IM and business is done in a collaborative and concurrent manner, using proper metrics. IM planning links the organisation's vision and strategic objectives to its overall management of information. IM knowledge underpins business strategic decision-making and delivers tangible business benefits. The IM strategy is assessed for improvement on an annual basis.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)



Question 2.3 Strategic Alignment



To support organisation-wide strategic coordination, the Information Management Strategy must be aligned with other strategic planning in the organisation, for example, the Risk Strategy, Privacy and FOI Strategy, ICT Strategy, Procurement Strategy and Environmental Management Strategy.



To what degree is the Information Management Strategy aligned with and incorporated into other strategic planning in your organisation? Choose the statement that best describes your organisation's current situation.

- 1 There is little or no alignment between the organisation's IM Strategy and other business strategies, plans and initiatives. Strategies are developed and funded separately.
 - 2 There is some recognition that IM initiatives have relevance to other organisation strategies and projects, but IM and other areas of the business are still considered largely separate.
 - 3 Some links exist between the organisation's strategic objectives and priorities, and the IM functional plans, operational plans and budgets. Some dependencies and synergies have been identified and acted upon.
 - 4 The IM strategy is integrated with other relevant management strategies. There is close IM-to-business engagement. IM capabilities are built into the business through strategy, policy and projects.
 - 5 IM obligations are identified and acknowledged in other key organisation policies. Relevant actions and initiatives are incorporated into the business plans of the organisation's major functional and operational groups. New organisation projects and initiatives always identify IM implications, dependencies and synergies.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 2.4 Management Support & Leadership



Strong overall leadership and advocacy are critical for the success of information management. This includes ensuring the link is made between information management capabilities and wider strategic objectives. There are significant risks associated with knowledge and information mismanagement, therefore ownership and leadership of information management needs to be clear within departments and across government.



Does management support information management in your organisation? Is there executive-level representation for information management initiatives? Choose the statement that best describes your organisation's current situation.

- 1 The organisation does not have strong support for information management from anyone at an executive level. Information management issues are largely regarded as recordkeeping issues and do not move beyond the recordkeeping sphere.
 - 2 While there is awareness of IM issues by management, other issues are prioritised for planning, action and funding. IM is not currently represented on any executive level strategic, risk or quality forums.
 - 3 There is a developing information management culture in the organisation. Some IM issues are being addressed at a senior level, but it may be difficult to secure sufficient resources for information management initiatives.
 - 4 There is evidence of whole-of-organisation coordination, planning and leadership. IM interests and issues are represented at executive level and are given appropriate consideration. Information and records management policies and practices are actively supported by Senior Management and Middle Managers actively encourage staff to comply.
 - 5 There is a strong information management culture in the organisation. There is ownership of information management issues and risks at Board or executive leadership level. Leadership understands information management issues and practices in the department and seek additional specialist information when needed. Cultural change is encouraged through understanding information management, and recognising and rewarding good behaviours.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 2.5 Audit & Compliance



A full list of relevant WoVG standards are listed in the IM³ Guidance document on the 'instructions' sheet of this assessment.

Requirements around compliance auditing of recordkeeping systems are outlined in the PROV Operations Management Specification, which requires that 'recordkeeping frameworks, procedures and practices must be audited at least every two years to ensure the agency is operating in compliance with its' recordkeeping procedures.'



PROS 10/17 S1 – PROV Operations Management Specification at

<http://prov.vic.gov.au/government/standards-and-policy/operations-management>



How well does your organisation monitor compliance with your own information management standards and with Victorian Government-mandated legislation and requirements? Choose the statement that best describes your organisation's current situation.

- 1 The organisation does not have any audit and review process in place to ensure compliance with its own IM policies, or government-mandated legislation, policies and standards.
 - 2 The organisation has initiated a program for compliance to relevant legislation, policies and standards. The audit and review process has not been fully implemented across the organisation.
 - 3 The audit and review process ensures an adequate level of awareness and compliance with applicable legislation, policies and standards.
 - 4 Compliance requirements are communicated throughout the organisation and are consistently applied to recordkeeping and information management initiatives. Corrective actions are undertaken in a systematic and timely fashion.
 - 5 The organisation is confident that they are compliant with all relevant legislation, policies and standards. Corrective actions address the root causes of non-compliance. Opportunities to improve compliance are explored and implemented. There is active interest in benchmarking compliance practices against other agencies and organisations.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

3. Information Lifecycle & Quality

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

Question 3.1: Asset Management



WoVG standards require that a register of significant information assets must be established and maintained, and significant information assets must be assigned an accountable custodian.

A 'significant information asset' is an information set or repository that:

- must be maintained under legislation, or
- contains information that is used as an input or output of a core business process or decision-making, or
- contributes significantly to corporate knowledge, or
- is of high public value and its replacement is cost-prohibitive or impossible.

An Information Asset Register (IAR) allows you to document what you know about your information assets, requirements and the technical environment, and to understand the relationships and dependencies between them. It is also a useful means to identify information assets that are considered as High Value or High Risk to the organisation. Information asset custodians and users, as well as information asset owners and administrators are also recorded in the IAR.



IM/STD/01 Information Asset Custodianship at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



How well does the organisation identify, manage and monitor their significant information assets? Have IM roles and responsibilities been defined in the organisation to properly manage information assets? Choose the statement that best describes your organisation's current situation.

- There is no identification of significant information assets, and no clear custodianship or ownership of information. Strategic or high value information assets are left unidentified and unmanaged.
 - Information ownership and custodianship responsibilities have been defined and communicated; however, it is still practiced inconsistently across the organisation. There is general acknowledgement that information assets could be better managed and the IAR requires a review and update.
 - An IAR is in place within the organisation and information asset roles and responsibilities are generally practiced organisation-wide. Plans to improve the efficiency of the IAR and custodianship model are in progress.
 - A significant information asset register has been developed and custodianship model is operational in the organisation. Resources are committed to ensuring strong custodianship of information. Custodians understand their responsibilities, and register and maintain information assets through their lifecycle, regularly updating the IAR.
 - A mature custodianship model and asset register has been implemented into the agency in line with WoVG standards. Significant assets are managed throughout their lifecycle. Custodians maintain the IAR, have appropriate business experience and understanding, and work actively with information users to improve usability, sharing and the identification and management of high value and high risk records.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 3.2: Policies & Procedures



While WoVG standards have been developed in the areas of Information Management, Recordkeeping, Security and Intellectual Property, organisations should develop their own policies and procedures to inform staff how to practically implement these standards.



WoVG Information Management Principles and Standards at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



Does the organisation have fully developed and implemented Information Management and Records Management policies that reference WoVG Standards? Are these policies supported by documented procedures? Choose the statement that best describes your organisation's current situation.

- 1 No WoVG standards have been adopted. There are no formal organisation policies related to information management. Business teams set and apply their own procedures relevant to the team function.
 - 2 Some WoVG standards are being applied in an ad-hoc manner. There is no organisation IM Policy, but some recognition that it is required. There are some standard procedures being applied across the organisation.
 - 3 WoVG standards have been mandated and are being incorporated into business practices. An Information Management Policy has been developed and socialised. Most staff are aware of and follow the policy, but breaches of policy are probably still occurring.
 - 4 Staff conduct records and information management procedures in line with organisation policy and to a consistent standard. Policy and procedures are appropriate to the organisation's business and periodically reviewed for improvement. Breaches of policy are actively addressed and rectified.
 - 5 The agency has adopted WoVG standards that are reflected in policies, and integrated throughout business procedures. Policies are actively communicated and available to all staff, and are frequently reviewed and updated to ensure relevance and effectiveness. The application of policies has been assessed to confirm that they adequately meet the organisation's information management needs and requirements.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 3.3: Meeting Business Needs



One of the six key WoVG Information Management Principles is that 'Information meets business needs'. The rationale for this principle is that the way that information is developed and managed should be based on its strategic importance. Users should assess if information assets are fit for purpose. A key factor in this decision is often data quality.

An appreciation of the different types of users in the organisation, their information requirements and how their needs change over time will help ensure appropriate access to information that meets their needs.



WoVG Information Management Principles at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



Is information meeting the needs of the business and its users in terms of strategic importance, quality and access? Choose the statement below that best describes your organisation's current situation.

- 1 Information available in the organisation is unreliable and incomplete. There is little understanding of the business's information needs and how to meet them. Information quality issues are dealt with in a reactive and ad-hoc manner.
 - 2 It is recognised that information quality is uneven across the organisation, and that full and accurate records of activities and decisions are not being captured. The existence of 'shadow systems' may be noted where existing systems are not meeting information needs. The issue has been raised at management level.
 - 3 Management has taken steps towards acknowledging and embracing information quality principles. An analysis of information needs and assets has been conducted. Organisation level information is generally accurate, consistent, complete and current.
 - 4 Organisation information is fit for purpose and regarded as high quality. Remediation processes are in place to address information quality issues. The organisation demonstrates compliance with recognised information quality standards. Business needs, accountability requirements and community expectations are being met.
 - 5 The organisation's information assets are recognised as a source of authentic and reliable information by both internal and external users. Data quality statements are developed for significant information assets. The organisation has a proactive information quality program that is often cited as best practice.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 3.4: Accessibility & Discoverability



One of the six key WoVG Information Management Principles is that 'Information is easy to discover'. The rationale for this principle is that 'Government is largely a knowledge-based industry. For government to function effectively, the public, government employees and partner organisations must be able to find the information they need.'

Critical information may become difficult to locate when large amounts of information with limited or no value are being stored unnecessarily.



WoVG Information Management Principles at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



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? Choose the statement below that best describes your organisation's current situation.

- 1 Staff spend excessive time searching for electronic and paper information using a variety of methods. Information is stored in ad-hoc and unstructured ways with little or no associated metadata.
 - 2 Some internal guidelines exist for the storage and retrieval of information, but these are applied erratically. Basic metadata may be applied to file storage systems to assist findability, but it is known that there is a lot of 'invisible' information in the organisation, and that a lot of unnecessary information is being retained.
 - 3 Access to information is provided via a single or limited number of portals using an agreed metadata or classification system. Information is largely organised on a departmental or team basis, rather than a functional basis. Staff are reasonably confident that they can find the information they are looking for.
 - 4 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. Common definitions and standards are used to increase the findability of information. Sufficient metadata is provided to correctly identify and locate information. Access to controlled documents has been defined and implemented.
 - 5 Ease of information classification, storage and retrieval is a central organisation operation. Information access and sharing is facilitated and actively promoted. Proven operational procedures have been implemented for information capture, the application of metadata, information access, storage and retrieval. Data elements are well-defined and definitions are shared across the organisation or interest group. The organisation works towards building a common cross-government information directory and other mechanisms for facilitating inter-organisation information discovery.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 3.5: Information Use & Re-Use



Information use and re-use addresses how information is collected, organised, described, stored and shared. Information that is not easily usable or able to be re-used in the future is of little value to the organisation:

- Mechanisms that make information easier to use and interpret are classification systems and metadata.
- Interoperability is the ability of organisations to share data and information by the use of common standards and is actively encouraged by WoVG policies.
- Digital continuity is the ability to maintain digital information in such a way that the information will continue to be available, as needed, despite changes in digital technology.
- Intellectual property (IP) refers to the set of legal rights that protect the results of creative efforts including copyright, patents and trade marks.



National Archives of Australia: Digital Continuity at

<http://naa.gov.au/records-management/agency/digital/digital-continuity/index.aspx>

Department of Treasury and Finance IP Policy and Guidelines at

<http://www.dtf.vic.gov.au/Victorias-Economy/Victorian-Government-intellectual-property-and-data-policies/>



How usable is the information being produced by the organisation, both now and in the future? Choose the statement below that best describes your organisation's current situation.

- Information is frequently duplicated across different areas of the organisation and saved in multiple and non-standardised formats. No metadata is applied and there is little information sharing between business areas or with other interest groups. Digital continuity and IP issues have not been considered by the organisation.
 - Some attempts at rationalising information management and use across the organisation has occurred, but individual teams are largely protective of their own information. Information created is largely single-use with little consideration for future access. The need to consider digital continuity and IP have been acknowledged.
 - Organisation standards have been introduced to facilitate standard information collection, description and organisation, and to prevent information duplication and breaches of IP policy. Information sharing across the organisation is increasing and some digital continuity strategies are under development.
 - Current and future use of information is considered as the information is being collected and developed. Digital continuity, usability and IP issues are being addressed. Information assets are shared and re-used across the organisation and with external stakeholders as appropriate.
 - Information use and re-use is considered during creation, collection and development. Policies relating to digital continuity, IP and access are applied across the organisation.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

4. Business Systems & Processes

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

Question 4.1: Information Architecture



Information Architecture (IA) refers to the design and arrangement of an organisation's information and the inter-relationships of information systems. An IA statement will include a description of:

- business processes in the organisation
- which business systems store which data and records and in what formats
- the relationships between different business systems
- standards to be used when labelling and categorising information, and
- the design of navigation, indexing and search systems.

In a mature organisation, there will be a close and coordinated relationship between the organisation's Information Architecture, Business Architecture and IT Architecture.



Has the organisation developed an Information Architecture model? To what degree does it link to the Business Architecture and IT Architecture models? Choose the statement that best describes your organisation's current situation.

- 1 The organisation has not developed an Information Architecture and has little understanding of what this may involve.
 - 2 The organisation has a general Enterprise Architecture and/or IT Architecture, but this does not directly address Architecture issues.
 - 3 An Information Architecture is being or has been developed, but it is largely tied to and dependent on the IT Architecture.
 - 4 An Information architecture or framework has been established, including long-term vision and goals, information needs and the strategies to meet them.
 - 5 A fully developed organisation Information Architecture that brings the principles of design and architecture to the digital landscape has been implemented. The IA is an integral part of the organisation's overall Enterprise Architecture and is managed and resourced accordingly.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 4.2: Process Improvement



Aligning Information Management and business processes provides efficiency and quality improvements to both.

For example, a government service organisation identified that client details were being captured at the point of first contact, captured again when the client booked a service, then a third time in the financial system. Re-engineering of business processes to align with Information management principles meant that client details only had to be captured once and were available for re-use by the whole organisation.



WoVG Information Management Principles at

<http://www.enterprisesolutions.vic.gov.au/business-systems/information-management/>



How well have business processes been aligned with information management requirements to ensure information quality? Has the organisation identified information integration points and eliminated duplicate processes? Choose the statement below that best describes your organisation's current situation.

- 1 Business processes do not generally take information management considerations into account. There is evidence of overlap and/or duplication of processes and information between business units.
 - 2 There is an awareness that information management can be/must be incorporated into business processes. An effort is being made to look at where business processes can be re-engineered to improve efficiencies and reduce duplication of information.
 - 3 Some information management practices have been incorporated to improve existing business practices. Some duplicate processes have been eliminated and there is better integration of processes and information flow.
 - 4 Significant effort has been put into re-engineering business processes to eliminate information duplication and improve information flow. There is visibility into the process details and process owners are open to change. Process issues impacting information quality are directed to appropriate staff or working groups for rectification.
 - 5 Continuous improvement activities are conducted regularly to ensure that business processes are optimised for information quality, flow and sharing. Process collaboration between teams/business units is high and reflects industry best practice.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 4.3: Business Systems & Tools



WoVG standards do not mandate a particular business information system or records management system. However, the PROV *Recordkeeping Standard for Operations Management* requires that ‘all systems which contain public records must be effectively managed over their life, from acquisition to decommissioning, to ensure the system’s integrity, reliability and performance quality’. This includes websites, databases and email systems.



PROS 10/17 – PROV Operations Management Standard at
<http://prov.vic.gov.au/government/standards-and-policy/operations-management>



Does the technology available in the organisation support and enable the delivery of the organisation’s information management strategy? Choose the statement below that best describes your organisation’s current situation.

- 1 There are no common business systems with strong information management capabilities built in across the organisation. Multiple systems, requiring different logons, may store the same information within the organisation. Information management tools, if any, are selected, owned and operated by the IT area.
 - 2 The organisation is making initial attempts to implement information management into business systems aimed at delivering improved information management. Efforts to find appropriate technologies and tools have commenced, involving IT and IM specialists.
 - 3 Appropriate information management tools and systems are in place with a focus on business-critical information. There has been an attempt to combine or integrate information systems across business units.
 - 4 There is evidence that managing integrated business systems is a core IT skill in the organisation. IT and IM are not regarded as separate disciplines. Information management standards and practices have been successfully implemented across the agency to create a consistent and reliable information environment.
 - 5 Compliant business systems, customised to the requirements of the organisation, are fully operational and play a critical part in managing the information lifecycle. The organisation encourages and adopts improvements from departmental levels and other agencies. Systems are effectively managed over their life, from acquisition to decommissioning, to ensure their integrity, reliability and performance. The long-term sustainability of systems has been considered. The organisation demonstrates proactive experimentation and learning about emerging IM technologies and tools.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)

Question 4.4: Information Privacy & Security



Information security is about more than passwords! It is the practice of applying risk-based controls, appropriate with the value of an organisation's information assets, to ensure their confidentiality, integrity and availability.

- In 2015, the Commissioner for Privacy and Data Protection will release the Victorian Protective Data Security Framework (VPDSF) to provide tailored standards, objectives, protocols and supporting elements for executives, security practitioners and personnel with access to Victorian public sector data.
- The *Privacy and Data Protection Act 2014* sets out Information Privacy Principles (IPPs) to protect personal information held by Victorian government organisations. The Act also outlines the Protective Data Security functions, which are primarily to establish a protective data security regime for the Victorian public sector, and establish a monitoring and assurance regime for public sector data security.



Victorian Protective Data Security Framework at

<https://www.cdpd.vic.gov.au/menu-data-security/data-security-vpdsf>



What is the status of information security in the organisation? Do staff have the knowledge and support to ensure information security and to protect privacy of people's personal information? Choose the statement below that best describes your organisation's current situation.

- Staff are largely unaware of the Victorian Protective Data Security Framework (VPDSF) , IPPs and relevant legislation and do not seek out guidance regarding security and privacy requirements. Unintentional breaches of security are probably occurring.
 - Some knowledge of the VPDSF, IPPs and relevant legislation is present in the agency but there are no clear procedures or points of contact to seek out guidance regarding privacy and security requirements. Information assets are currently open to risk within the organisation.
 - Staff are aware of security and privacy requirements, policy and legislation. The organisation plans to comply with the requirements set out in the VPDSF Standards by performing a Security Risk Profile Assessment and developing a Protective Data Security Plan.
 - The majority of staff consider security and privacy when managing information and are aware of the VPDSF, IPPs and relevant legislation. The organisation is actively implementing the requirements outlined in the VPDSF Standards.
 - All staff are fully aware of and comply with the VPDSF, IPPs and legislation. The agency has successfully complied with the requirements of the VPDSF Standards by completing a Security Risk Profile Assessment and developing a Protective Data Security Plan.
- Unknown/Need to obtain more information
- Not applicable to my organisation

Notes:

(Optional)