

INFORMATION AND KNOWLEDGE MANAGEMENT FOR CLIMATE CHANGE (IKM4CC)

Guideline 2: Preparing for Successful Information Management



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Preparing for Successful Information Management

Griffith University

and

Secretariat of the Pacific Regional Environment Programme (SPREP)

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Griffith University NRM Element 2 Final Output Long-Term Storage Options 2014,
<https://www.terranova.org.au/repository/managing-climate-change-adaptation-data-and-information/long-term-storage-options-for-final-outputs-from-natural-resource-management-nrm-projects-a-fact-sheet-1>

Public Record Office Victoria, 2015, IM3 Information Management Maturity Measurement Tool v1.5 December 2015.
<http://prov.vic.gov.au/government/information-management-maturity-measure-tool-im3>

PARBICA. Recordkeeping for Good Governance Toolkit: <http://www.parbica.org/sharing/publications/recordkeeping-for-good-governance/index.aspx>

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For Climate Change (IKM4CC)
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ABOUT THIS GUIDELINE

This guideline is part of the Information and Knowledge Management for Climate Change (IKM4CC) Guidelines. The purpose of the Guidelines is to help government departments, and other agencies and organisations that deal with issues related to climate change in the Pacific region, to implement good practices for managing information. They have been developed in consultation with representatives from government departments, NGOs and regional organisations based in the Pacific.

While the Guidelines focus on the management of digital data and information and the challenges posed by the electronic information environment, many of the concepts can also be applied to paper-based information.

This guideline outlines strategic activities that can assist in planning for, developing or improving organisational information management.

USAGE

Throughout this document the following usage applies:

- the term *information* is used to include data, information, information assets and knowledge. The terms *data*, *knowledge*, and *information assets* are only used when specific reference is required.
- the term *organisation* is used to include a variety of organisation types including government departments, intergovernmental organisations, non-government organisations, regional bodies and public and private agencies. Individual types of organisations are used only when specific reference is required.
- the term *IM* is used as shorthand for *information management* and *IKM* for *information and knowledge management*.

PREPARING FOR SUCCESSFUL INFORMATION MANAGEMENT

Information management covers a wide range of activities concerned with the use of information in organisations. Because of its complexity, successful information management requires strategic planning, agreed-on processes, and ongoing IT and staffing support.

This guideline focuses on three areas that can assist in preparing for and developing successful information management practices in your organisation:

- Developing an information management framework
- Assessing your current level of information management maturity and readiness to implement new systems
- Choosing appropriate strategies for storing and managing information

INFORMATION MANAGEMENT FRAMEWORKS

An information management framework is a coherent set of goals, standards, policies, guidelines and procedures which allows information to be managed in a secure, structured and consistent manner. A framework can provide a roadmap for information management activities within an organisation. It should strategically place these activities within the broader business, organisational and legislative environment in which it takes place.

Typically a framework might include:

- Key guiding principles, overarching goals and intended outcomes
- Any information-related legislation or standards that need to be complied with (e.g., Archives Act, Public Records Act, Privacy Act, Freedom of Information Policy, Information Security Policy, Health Records Act, Data Security Policy, Data Standards, Records Management Standards)
- Any other relevant national or regional policies or governing frameworks (e.g. Climate Change Policy, Disaster Risk Management Policy, Sustainable Development Goals)
- Governance arrangements – mechanisms in place to provide leadership, coordination, capacity building, monitoring or reporting requirements
- Information management guidelines and standard operating procedures
- Key roles and responsibilities in information asset management (e.g. roles of information owners, custodians, administrators, users, governance body)

The Pacific iCLIM Project has written a set of guidelines on how to develop an Information and Knowledge Management Strategic Framework for climate change-related information. The summary Model Framework is included in [Appendix I](#). For the full Guideline, see *Information and Knowledge Management for Climate Change (IKM4CC) Strategic Framework: Guidelines for the Pacific Region*.

ASSESSING YOUR INFORMATION MANAGEMENT MATURITY

It can be useful to assess the maturity of your organisation's current information management strategy, planning and practice. Typically assessments will be carried out by senior managers, information management staff or auditors, but any person with an interest in the organisation's information management planning and practices can undertake an assessment. You may find it best to involve a number of people, with each person contributing information related to their area of expertise or knowledge.

Results from an assessment can be used to:

- identify current strengths and weaknesses in information management
- prioritise areas of information management in the organisation that need attention
- assist in setting goals for information management capability and skills development
- demonstrate to key stakeholders the areas of risk
- support proposals to management for funding and resources to improve information management
- provide a benchmark from which to demonstrate progress.

The checklist below can assist you to see if your organisation has the things in place it needs to manage information and records well, and to identify where improvements need to be made. The questions have been adapted from the PARBICA *Recordkeeping Capacity Checklist* (PARBICA *Recordkeeping for Good Governance Toolkit Guideline 1*). To see the complete PARBICA checklist along with recommendations on how to improve recordkeeping capacity, visit <http://www.parbica.org/sharing/publications/recordkeeping-for-good-governance/guideline-01.aspx>.

INFORMATION MANAGEMENT MATURITY CHECKLIST

1. Does your organisation have an information management framework, strategy or policy?
2. Do the senior managers of the organisation support good information management?
3. Is responsibility for information management tasks assigned to a specific area of the organisation?
4. Do the organisation's information management staff have enough training to do their jobs?
5. Does the organisation have procedures for managing its information?
6. Does the organisation know what its recordkeeping requirements are?
7. Can the organisation find particular information when it needs it?
8. Does the organisation abide by the government's rules for deciding when its information assets can be destroyed?
9. Are the organisation's information assets stored securely so that they cannot be stolen, damaged or altered?
10. Does the organisation set performance indicators for its information management unit, report on those indicators, and make improvements when indicators are not met?

If you answer 'No' to any of the questions in the checklist, you should think about making improvements in that area.

OTHER ASSESSMENT TOOLS

You may also find these assessment tools useful:

Public Records Office of Victoria's *IM³ Information Management Maturity Measurement*, an assessment tool designed for staff in the Victorian Government in Australia. <http://prov.vic.gov.au/government/information-management-maturity-measure-tool-im3>. The *IM³* methodology and questions are summarised in [Appendix II](#).

The PARBICA *Digital Recordkeeping Readiness Self-assessment* (PARBICA *Recordkeeping for Good Governance Toolkit Guideline 13*) - allows organisations to assess their resources, policies, procedures, tools, technologies, training and organisational culture to help them determine their level of readiness to pursue a digital recordkeeping strategy. <http://www.parbica.org/sharing/publications/recordkeeping-for-good-governance/guideline-13.aspx>

The UNISDR *Information and Knowledge Management for Disaster Risk Reduction (IKM4DRR) Framework and Scorecard* - provides a series of checklists to assess the extent to which an organisation is following good practice IKM in disaster risk reduction and climate change adaptation systems. <https://www.unisdr.org/we/inform/publications/35238>

CHOOSING A STRATEGY FOR MANAGING AND STORING INFORMATION

To manage information effectively, organisations need to decide on a strategy and one or more storage systems. Many organisations will already have a number of different formal or informal systems in place. Most are now dealing with large amounts of digital information and will be using digital storage for at least some of their information and records. When considering how to manage and store information, you should ask the following questions.

- Does your organisation already have an information or records management system in place?
- Does your organisation already have an agreement with a digital storage provider, e.g. Government ITC, Private Cloud-based provider?
- Are you required to store or manage business records? A business record is any recorded information (regardless of form or medium) that is created or received by an organisation due to its legal obligations or in the transaction of business. Business records have special requirements for storage, retention and disposal which you will need to be aware of.
- What sort of security does the information require? Is it for public access? Is it for general staff access? Does access need to be password protected?

The following tables summarise the main information management strategies and information storage systems used by organisations. More detailed information on different digital recordkeeping strategies can be found in the PARBICA *Recordkeeping for Good Governance Toolkit Guidelines 12 to 19*, available at <http://www.parbica.org/sharing/publications/recordkeeping-for-good-governance>.

System type	Advantages	Limitations / Considerations	Suitable for:
Paper-based filing system	<ul style="list-style-type: none"> A consistent and stable approach to managing and preserving information Using a single format (paper) reduces confusion Paper-based information doesn't require ongoing active management like digital information does May have been in place for many years and be familiar to staff 	<ul style="list-style-type: none"> Requires the printing of digital records for paper-based filing, which is inefficient Staff might be too busy or forget to print out digital information for filing Requires space for filing cabinets or resource centres Less accessible to staff as only available at one point 	<ul style="list-style-type: none"> Organisations with a low state of technical (digital) infrastructure
Hybrid system (mixed paper and digital systems e.g. shared network folders for digital information and paper-based filing for paper-based information)	<ul style="list-style-type: none"> Avoids the need to digitise, print or reformat information for storage or filing Can be a gradual pathway to a more sophisticated system such as collaboration software or an EDRMS (Electronic Document & Records Management System) 	<ul style="list-style-type: none"> Requires a single records control system to be maintained which controls and links both paper and digital information More complex to manage due to the differing requirements for paper and digital records 	<ul style="list-style-type: none"> Organisations with a moderate to high level of technical infrastructure and information management maturity Organisations preferring to manage digital information in digital form, and paper-based information in paper form, e.g. for legal reasons Organisations wishing to transition gradually to a more sophisticated system such as an EDRMS
Digital system (e.g. shared folders and network drives, Workplace Collaboration software, Electronic Document & Records Management System (EDRMS))	<ul style="list-style-type: none"> Information can be accessed anywhere, anytime by authorised people Multiple copies are not needed When set up well, people can quickly find the information they need Can vary from relatively cheap and simple (e.g. shared folders and network drives) to expensive and complex (e.g. EDRMS) 	<ul style="list-style-type: none"> Digital information requires ongoing active management to ensure it remains useable over the long term Digital systems may have considerable upfront and ongoing costs and staffing requirements Digital information can be easily altered or deleted Networked digital systems are susceptible to misuse, loss or damage through security breaches and hacking Paper-based information may need to be scanned into digital form 	<ul style="list-style-type: none"> Organisations with a medium to high state of technical infrastructure (organisations wanting to implement a complex digital system such as an EDRMS will need a high degree of information management maturity)

Table 1: Advantages and limitations of information & records management strategies

Digital storage option		Advantages	Limitations / Considerations
Portable devices or external hard drives		<ul style="list-style-type: none"> • Readily available and cheap to buy • Easy way to move information • Easy way to back up information 	<ul style="list-style-type: none"> • Longevity is questionable; devices are prone to failure, theft and obsolescence, therefore not suitable for long term storage • Not recommended for master copies, sensitive information or business records • Storage capacity limited
Local drives (e.g. laptops and PCs)		<ul style="list-style-type: none"> • Easily accessible short term storage for working data • Easy way to back up information 	<ul style="list-style-type: none"> • Longevity is questionable; laptops and PCs are prone to theft and obsolescence, therefore not suitable for long term storage • Not recommended for master copies, sensitive information or business records • Local hard drives can fail from time to time • Not shareable in a secure manner
Shared folders & network drives		<ul style="list-style-type: none"> • Easy way to back up information • Access to folders can be controlled to limit access to sensitive information • Inexpensive if networked infrastructure is already in place • Usually backed up by organisation 	<ul style="list-style-type: none"> • Quality control may be poor with files able to be amended or deleted
Government centralised storage / data centres		<ul style="list-style-type: none"> • Approved way to store government information • May be free to government departments • Automatically backed up • May include multiple backup sites and therefore natural disaster-proof backup 	<ul style="list-style-type: none"> • May offer less autonomy and flexibility to government departments
Public Cloud services (e.g. Dropbox)		<ul style="list-style-type: none"> • Online, mostly free, services • Provide access to files locally and remotely, for easy sharing and collaboration • Quick and easy to set up and use • Easy way to back up information • Automatically backed up by service provider 	<ul style="list-style-type: none"> • Not recommended for master copies, sensitive information or business records • Less control of information when stored by a third party. • Service providers are not permanent and the services/products they provide can change • End user licensing agreements may give some access rights to the service owner • May be hosted outside of country, with possible legal implications
Private Cloud services / Storage as a Service (e.g. Amazon Web Services)		<ul style="list-style-type: none"> • Approved by your organisation • Easy to share files for collaboration locally and remotely • Automatically backed up by service provider • Reduces an organisation's need for onsite computing • Is becoming a commonly accepted way for organisations to store information • Can be used as natural disaster-proof backup 	<ul style="list-style-type: none"> • Less control of information when stored by a third party • Companies are not permanent and the services and products they provide can change • End user licensing agreements may give some access rights to the service owner • May be hosted outside of country, with possible legal implications. • Performance for outsourced storage is likely to be lower than local storage • May be expensive
Project websites		<ul style="list-style-type: none"> • Good for making project outputs and project-specific information publically accessible • Provides integrated view of project deliverables to public • Good for marketing/promotional materials 	<ul style="list-style-type: none"> • Only suitable for public information • Website may not be maintained once project finishes, therefore not a permanent storage solution • Difficult to store and retrieve metadata for content items • Unstable as a repository • Limited storage space
Discipline-based Portals (e.g. Pacific Climate Change Portal)		<ul style="list-style-type: none"> • Good for spreading content to audiences interested in a specific topic or place • Many portals already have existing audiences • Ability to create and retrieve discipline-specific metadata for content items • Usually harvested by search engines therefore widely discoverable 	<ul style="list-style-type: none"> • Variable lifespan depending on provider • Unless access controls are in place, only suitable for public information

Table 2: Advantages and limitations of information storage options

APPENDIX I: PACIFIC ICLIM MODEL IKM FOR SUSTAINABLE DEVELOPMENT STRATEGIC FRAMEWORK

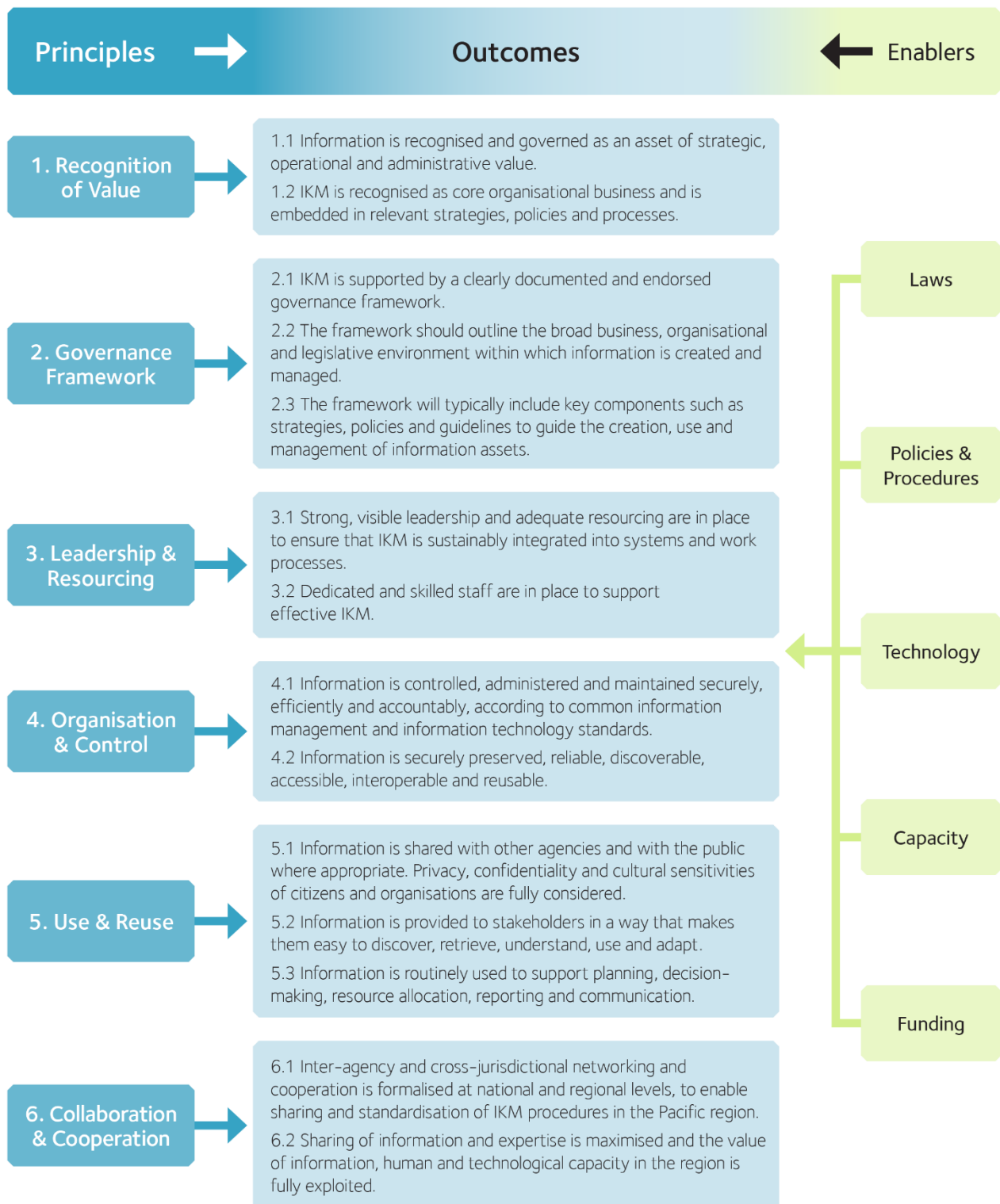


Figure reproduced from *Information and knowledge management for climate change (IKM4CC) strategic framework: guidelines for the Pacific region* by Griffith University and SPREP, 2016. See document for full explanation of framework: www.pacificclimatechange.net/document/information-and-knowledge-management-climate-change-ikm4cc-strategic-framework-guidelines

APPENDIX II: THE INFORMATION MANAGEMENT MATURITY MEASUREMENT TOOL (IM3)¹

ABOUT IM3

The Information Management Maturity Measurement Tool (IM3) has been developed by Public Record Office Victoria to aid organisations with assessing the maturity of their current information management (IM) practices.

It aims to provide records managers and senior management with a clear snapshot of their current IM capability. By completing the model, you can quickly identify your organisation's strengths and weaknesses across all key IM areas. Importantly, the model also provides clear high-level goals for improvement in each area.

The questions (some slightly modified from the original) are listed in the table below. The full version of the IM3 tool can be accessed from <http://prov.vic.gov.au/government/information-management-maturity-measure-tool-im3>. The full version provides you with a graph and table of your results, showing the level of IM maturity across different areas.

WHAT'S INVOLVED IN PERFORMING AN IM3 ASSESSMENT?

The assessment requires you to think about different aspects of your organisation's current IM practices, policies and processes.

Questions are divided into four areas:

- People
- Organisation
- Information Lifecycle & Quality
- Business Systems and Processes

You should estimate your organisation's current 'maturity' for each criterion. The levels of maturity for each criterion are characterised by short statements, each one describing what a higher level of maturity might look like. For each question, levels range from 1 'unmanaged' (least developed/mature) to 5 'proactive' (most developed/mature).



¹ This section has been reproduced (and some questions slightly modified) from: Public Record Office Victoria 2015, *IM³ Information Management Maturity Measurement*, available at <http://prov.vic.gov.au/government/information-management-maturity-measure-tool-im3>

IM3 Questions

Section 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 Management.
<p>Question 1.1: Information Literacy and Responsibility</p> <p>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 agency's current situation.</p>	<p>1 <input type="checkbox"/> Staff are largely unaware of the organisation's information assets, the potential value of information and of their information management responsibilities.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> 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 corporate information assets.</p> <p>4 <input type="checkbox"/> Staff regard information management and recordkeeping as an integrated 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.</p> <p>5 <input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation.</p>
<p>Question 1.2: Capability & Capacity</p> <p>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.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> Information management experience in the organisation is present but inconsistent. There is awareness that the IM capability has to be developed.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> The organisation gives priority to recruiting IM specialists to help develop the organisation's IM capability. The human resource 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation.</p>
<p>Question 1.3: Training & Support</p> <p>What training and support are available to staff in your organisation to assist them in meeting their IM responsibilities? Choose the statement that best describes</p>	<p>1 <input type="checkbox"/> No specific training or support is available to organisation staff to support their access to and use of information. Most advice is received informally from colleagues or technical support staff.</p> <p>2 <input type="checkbox"/> Some training in information management is available to staff, but is only provided at induction or in response to a business activity e.g. implementation of a new management system. IM is not recognised as its own discipline that requires ongoing training.</p> <p>3 <input type="checkbox"/> Training requirements for the use of IM technologies and information resources have been identified. A formal training program for IM has been proposed or is being developed, with the assistance of IM specialists.</p>

your organisation's current situation.	<p>4 <input type="checkbox"/> Training is provided to 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. Support is available to assist staff with IM questions and issues.</p> <p>5 <input type="checkbox"/> Staff are 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 relevant to their job role. IM training is regularly reviewed and updated to suit training needs.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation.</p>
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Section 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.
<p>Question 2.1: Governance</p> <p>To what degree is Information Management formally governed in your organisation? Choose the statement below that best describes your organisation's current situation.</p>	<p>1 <input type="checkbox"/> 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, no body with Information Management Governance Committee (IMGC) responsibilities and no definition of information management components and practices.</p> <p>2 <input type="checkbox"/> The organisation is attempting to manage information at the business unit or project level, without any over-arching organisation governance. There is a growing sense of awareness in the organisation that information IS the business, and the need to communicate this to key stakeholders.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> 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 government information management principles and standards.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation.</p>
<p>Question 2.2: Information Management Vision & Strategy</p> <p>Does the organisation have a strategy that provides a roadmap for Information Management? Has the organisation formulated and articulated its vision for information management? Choose the statement below</p>	<p>1 <input type="checkbox"/> Information management is not considered as part of strategic planning activities. IM planning and development is not a priority in the organisation.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> An executive-endorsed IM Strategy has been developed and implemented, appropriate to organisation needs, corporate culture, technological environment</p>

<p>that best describes your organisation's current situation.</p>	<p>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.</p> <p>5 <input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 2.3: Strategic Alignment</p> <p>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.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> IM obligations are identified and acknowledged in other key organisation policies. Relevant actions & 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 2.4: Management Support and Leadership</p> <p>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.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>

<p>Question 2.5: Audit & Compliance</p> <p>How well does your organisation monitor compliance with your own information management standards and with government-mandated legislation and requirements? Choose the statement that best describes your organisation's current situation.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> The audit and review process ensures an adequate level of awareness and compliance with applicable legislation, policies and standards.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> The organisation is confident that they are compliant with all relevant legislation, policies & standards. Corrective actions address the root causes of non-compliance. Audit results influence information management legislation, policies and standards. Opportunities to improve compliance are explored and implemented. There is active interest in benchmarking compliance practices against other agencies and organisations.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
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<p>Section 3: Information Lifecycle & Quality</p>	<p>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.</p>
<p>Question 3.1: Asset Management</p> <p>How well does the organisation identify, manage and monitor their significant information assets? Choose the statement that best describes your organisation's current situation.</p>	<p>1 <input type="checkbox"/> There is no identification of significant information assets, and no clear custodianship or ownership of information. Strategic or significant information assets are left unidentified and unmanaged.</p> <p>2 <input type="checkbox"/> Custodianship of information is informal. Staff manage information assets based on perceived importance and local practices.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> A mature custodianship model and asset register has been implemented into the organisation. Significant assets are managed throughout their lifecycle. Custodians have appropriate business experience and understanding and work actively with information users to improve usability and sharing.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 3.2: Policies & Procedures</p> <p>Does the organisation have fully developed and implemented Information Management and Records Management policies? Are these policies supported by documented procedures? Choose the statement that best describes your</p>	<p>1 <input type="checkbox"/> There are no formal organisation policies related to information management. Business teams set and apply their own procedures relevant to the team function.</p> <p>2 <input type="checkbox"/> There is no agency IM Policy, but some recognition that it is required. There are some standard procedures being applied across the organisation.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> Staff conduct records and information management procedures in line with agency 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.</p>

<p>organisation's current situation.</p>	<p>5 <input type="checkbox"/> Policies and standards are 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 3.3: Meeting Business Needs</p> <p>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.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> Management has taken steps towards acknowledging and embracing information quality principles. An analysis of information needs and assets has been conducted. Agency level information is generally accurate, consistent, complete and current.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 3.4: Accessibility & Discoverability</p> <p>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 when it is needed? Choose the statement below that best describes your organisation's current situation.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> 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 agency works towards building a common cross-government information directory and other mechanisms for facilitating inter-organisation information discovery.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p>

	<input type="checkbox"/> Not applicable to my organisation
<p>Question 3.5: Information Use & Reuse</p> <p>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.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> Some attempts at rationalising information organisation and use across the agency has occurred, but individual teams are largely protective of their own information. Information created is largely single-use with little consideration for future access.</p> <p>3 <input type="checkbox"/> Organisation standards have been introduced to facilitate standard information collection, description and organisation, and to prevent information duplication. Information sharing across the organisation is increasing and the need to safeguard information for future use is acknowledged.</p> <p>4 <input type="checkbox"/> Current and future use of information is considered as the information is being collected and developed. Information assets are shared and re-used across the organisation and with external stakeholders as appropriate. Custodians work with information users to increase usability of the information.</p> <p>5 <input type="checkbox"/> Information is collected, developed and stored and maintained with sharing, collaboration and interoperability in mind. Information use and sharing is facilitated and actively promoted. Staff seek to reuse and build on existing information rather than re-collecting or recreating information. The organisation applies appropriate licences to information to promote reuse. Where appropriate, information is released to the public.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>

Section 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.
<p>Question 4.1: Information Architecture</p> <p>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.</p>	<p>1 <input type="checkbox"/> The organisation has not developed an Information Architecture and has little understanding of what this may involve.</p> <p>2 <input type="checkbox"/> The organisation has a general Enterprise Architecture and/or IT Architecture, but this does not directly address Architecture issues.</p> <p>3 <input type="checkbox"/> An Information Architecture is being or has been developed, but it is largely tied to and dependent on the IT Architecture.</p> <p>4 <input type="checkbox"/> An Information Management architecture or framework has been established, including long-term vision and goals, information needs and the strategies to meet them.</p> <p>5 <input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 4.2: Process Improvement</p> <p>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?</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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 reengineered to improve efficiencies and reduce duplication of information.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> Significant effort has been put into re-engineering business processes to eliminate information duplication and improve information flow. There is visibility</p>

<p>Choose the statement below that best describes your organisation's current situation.</p>	<p>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.</p> <p>5 <input type="checkbox"/> 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.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 4.3: Business Systems & Tools</p> <p>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.</p>	<p>1 <input type="checkbox"/> 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.</p> <p>2 <input type="checkbox"/> 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.</p> <p>3 <input type="checkbox"/> 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.</p> <p>4 <input type="checkbox"/> 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.</p> <p>5 <input type="checkbox"/> 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 & performance. The long-term sustainability of systems has been considered. The organisation demonstrates proactive experimentation and learning about emerging IM technologies and tools.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>
<p>Question 4.4: Information Security</p> <p>What is the status of information security in the organisation? Is there an Information Security Management Framework (ISMF) that addresses the range of information security concerns? Choose the statement below that best describes your organisation's current situation.</p>	<p>1 <input type="checkbox"/> Information security is unmanaged and unintentional breaches of security are probably occurring.</p> <p>2 <input type="checkbox"/> Some efforts have been made to secure information, but it is still managed at a business unit level and open to significant risk.</p> <p>3 <input type="checkbox"/> The organisation is aware of the requirements of the ISMF and is working at implementing measures to meet requirements</p> <p>4 <input type="checkbox"/> The organisation is actively implementing the requirements of the ISMF and is monitoring implementation via the ISMF Self-Assessment Compliance Report.</p> <p>5 <input type="checkbox"/> Information security is fully implemented, according to the requirements of the ISMF, and updated annually.</p> <p><input type="checkbox"/> Unknown/Need to obtain more information</p> <p><input type="checkbox"/> Not applicable to my organisation</p>