

# Office of the Information Commissioner

## Maturity of information management - self-assessment

Information management is the term used to describe all activities concerned with using information in all its forms. It is the means by which an organisation plans, identifies, creates, receives, collects, organises, governs, secures, uses, controls, disseminates, exchanges, maintains, preserves and disposes of its information; as well as any means through which the organisation ensures that the value of that information is identified and exploited to its fullest extent.<sup>1</sup> The primary aim of information management is to ensure that the right information is available to the right person, in the right format and medium, at the right time.

The Queensland Government Information Management Strategic Framework outlines why information management is important:<sup>2</sup>

*The Queensland Government's vision is for an open, accountable and participatory government. Mature and innovative information management practices support this vision. [...] Effective information management underpins the public's right to information, a cornerstone of open, accountable and participatory government.*

*A better informed community is also empowered to participate in the design and delivery of government services, unlocking the value of government information.*

*The Queensland Government's information vision is for a more informed community and a more transparent government, achieved by proactively making information both routinely available and widely accessible.*

Government agencies need appropriate information management to realise the object of the *Right to Information Act 2009*:

*"to give a right of access to information in the government's possession or under the government's control unless, on balance, it is contrary to the public interest to give the access."*<sup>3</sup>

The right to information 'push' model, where agencies provide information as a matter of course unless there is a good reason not to, is fundamental to realise the government's vision. Appropriate information management supports the push model and assists agencies to:

- manage information as a core strategic asset throughout its lifecycle
- identify information for proactive and routine release, for example through open data, publication schemes, administrative access arrangements or other types of publication/disclosure
- share information within and across government to enable cooperation and good decision making, and gain greater insight
- meet their legislative obligations.

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<sup>1</sup> The Queensland Government Enterprise Architecture [Information Management Policy Framework](#) section 2.2.4 from the definition of 'information management'.

<sup>2</sup> The Queensland Government Enterprise Architecture (QGEA) [Information Management Strategic Framework](#) as at 13 April 2018.

<sup>3</sup> *Right to Information Act 2009*, section 3(1).

Appropriate information management also supports agencies in handling and protecting the personal information they collect, store, use and disclose in line with their obligations set out in the *Information Privacy Act 2009*.

## Survey

In this survey, we ask departments to self-assess the maturity of their information management. We will use the results to present a snapshot across the sector.

Multiple sources set various requirements on how Queensland Government departments manage information:

- The *Right to Information Act 2009* and the *Information Privacy Act 2009* aim for government agencies to make their information available, while at the same time protecting individual privacy and other public interests.
- The *Public Records Act 2002* aims to ensure that public records are made, managed and kept in a useable form for the benefit of present and future generations.
- The Queensland Government Enterprise Architecture requires that departments comply with the information standards, principles and policies. This framework seeks to establish an information management program of capabilities and practices.
- Legislation specific to the agency may set additional requirements.

This maturity assessment covers knowledge management, governance and strategic planning, information asset management and disclosure, and business systems and processes. It does not cover all aspects departments need to implement to align with the Queensland Government Enterprise Architecture, such as records management, information security and information privacy principles. We have consulted with the Queensland Government Chief Information Office and Queensland State Archives when developing this survey.

There are many information management maturity scales available. This assessment uses a 5-point scale, comparable to the QGEA IM Maturity Development Resource Guideline:

- unmanaged
- ad-hoc
- defined
- managed
- proactive

We acknowledge that there is no one-size-fits-all and that business needs vary between and within organisations. While departments should have fit-for-purpose information management systems, highly mature systems may not be an efficient use of resources in low risk areas. This is why we ask about the maturity levels the departments have set as targets for various functions.

We also acknowledge that the machinery of government change in 2017 has affected departments to varying degrees and that some are still transitioning to new arrangements. Departments can provide comments at the end of each question to give more context about their individual circumstances. We will consider the comments when assessing the results.

## Scope

All Queensland Government departments.

## Process

Milestones
OIC issues the self-assessment
Departments respond to the self-assessment
OIC tables the report in Parliament
OIC issues individual scorecards to departments

We report the overall results, (self-assessed maturity levels and targets) to the Legal Affairs and Community Safety Parliamentary Committee under the *Right to Information Act 2009*. Once a report is tabled in Parliament, we publish it on our website.

We do NOT identify individual departments in our report to Parliament.

We prepare individual scorecards for each department, comparing their response with the overall sector.

We may enter an information sharing arrangement with the Queensland Government Chief Information Office and with Queensland State Archives to collaboratively inform their policy, strategy development, resources and training.

## Thank you

We appreciate departments' co-operation with our audits, including surveys and this self-assessment.

## How to complete this self-assessment

1. An electronic copy of this survey is on our website at <https://www.oic.qld.gov.au/publications/audit-tools>. You may find it useful to review the questions, and seek specific information from others in your department, before beginning to complete the self-assessment.
2. There are four groups of questions: knowledge management, governance and strategic planning, information asset management and disclosure, and business systems and processes.
3. The maturity levels are on a scale from 1 to 5 with 1 being the least mature.
4. For each question, we ask you to rate the department's maturity on various aspects such as governance, risk management or planning.
5. For each question, we also ask you to indicate the maturity level your department is targeting. This is because departments operate in varied and individual contexts and associated risks. A specific maturity level may be suitable for one department, but not for another as the cost would outweigh the benefits.
6. It may be difficult to respond to some questions on behalf of the whole department. In this case, the department may provide different responses for the major service areas within the department or select the response that best fits the whole department. Please contact us at [audit@oic.qld.gov.au](mailto:audit@oic.qld.gov.au) prior to completing the survey if you would like to supply multiple responses for your department.
7. If a department completes more than one self-assessment form, we ask that it submits a co-ordinated response, i.e. all completed forms at the same time.
8. If a department completes more than one self-assessment form, we will average the ratings for an overall result.
9. For enquiries about this self-assessment or the audit process, please contact [audit@oic.qld.gov.au](mailto:audit@oic.qld.gov.au)

Name of department	
Name of officer(s) completing the survey	
Position of officer(s) completing the survey	
Contact details of officer(s) completing the survey (phone and/or email address)	

Some departments may have already assessed the maturity of their information management. If so, we are interested in the scope and outcome of this assessment.

1	<p>Has your department assessed its information management maturity within the last three years? If so, please supply a copy of the report / assessment outcomes.</p>	Yes/No
2	<p>Was the assessment performed across the department or only on specific parts of the department?</p> <p><input type="checkbox"/> <b>entire department</b></p> <p><input type="checkbox"/> <b>part/s of the department. If so which parts:</b></p> <p>_____</p> <p>_____</p>	
3	<p>Has the department gone through any significant structural changes since the assessment? If yes, what were the changes and has the department taken them into account in its information management strategy?</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/>
4	<p>Has the department proposed or implemented a program of work or projects to improve information management maturity? If yes, please outline the key points (scope, timeframe, outcomes) of the program of work or information management projects.</p>	<input type="checkbox"/>
Optional comment:		

# 1. Knowledge management

This section relates to knowledge, skills and experience of department staff in relation to Queensland Government requirements. This survey specifies the practices for implementing information management in line with the policies, requirements and targets of the Queensland Governance Enterprise Architecture (QGEA).

## Question 1.1: People and culture

One of the four goals of the QGEA Information Management Strategic Framework is to improve information and knowledge management capabilities and practice. All staff need to have sufficient information management capabilities to work effectively within their responsibilities, and manage and maintain their information to maximise its value. This means departments need to educate and train their staff on all aspects of information management including information sharing, record keeping, right to information and information privacy.

This question deals with general staff capability while the next question looks specifically at specialist staff with more comprehensive information management skills.

QGEA Information Management Strategic Framework is available at:

<https://www.qgcio.qld.gov.au/documents/information-management-strategic-framework>

Are the roles and responsibilities for staff around information management and associated disciplines defined across the department? Are all staff aware of their responsibilities about managing information? What education, training, support or knowledge sharing tools and/or networks and forums are available to staff to assist them in meeting their information management responsibilities? Are staff aware of their team or area's information, and understand where to go to find further information on the broader department information assets? Choose the statement below that best describes your department's current situation.

	Accountability, roles and responsibilities	Policies and procedures	Practice	Training and support
<b>Unmanaged</b>	We have not defined the accountabilities, roles and responsibilities for our staff around information management and associated disciplines.	We have no system in place to make our information management policies and procedures available to staff.	Our staff are largely unaware of our information assets, the potential value of information and of their information management responsibilities. Business teams set and apply their own procedures relevant to their function, or not at all.	We make limited information management education, training, support or knowledge sharing available to staff. Our staff mostly receive advice informally from colleagues or technical support staff, or not at all.
<b>Ad hoc</b>	The accountabilities, roles and responsibilities for our staff around information management and associated disciplines are ad hoc and poorly defined.	We make our information management policies and procedures available to relevant staff in some business units. Some staff may use out of date policies and procedures.	Our staff acknowledge that their role involves a certain amount of information management and protection of personal information but apply it at a personal or team level only. Staff apply existing policies and procedures in an ad-hoc manner.	We make access to information management training available to all staff, on request. We provide high level training in information management at induction or in response to a business activity, for example when implementing a new business system.
<b>Defined</b>	We have defined the accountabilities, roles and responsibilities for staff around information management and associated disciplines at the local level.	We make our policies and procedures available to staff through a central repository, intranet or other curated system. The policies and procedures may be out of date.	Our staff apply appropriate information management practices to their role, as far as the available policies, procedures and technologies allow. Most staff are aware of and follow the information management policies and procedures.	We have a training program and/or plan to share information management knowledge. We apply it consistently to all staff. We have designed our training with the assistance of appropriate specialists.
<b>Managed</b>	We have documented accountabilities, roles and responsibilities for staff around information management and associated disciplines across the department.	We have a system or process that ensures all staff are aware of and can access up to date information management policies and procedures from a central repository.	Staff understand the importance of proper information management practices and act accordingly. Our staff apply our information management procedures in line with our policies and to a consistent standard.	We educate staff appropriately and consistently on the principles of information management and information privacy for their specific roles and responsibilities. Staff have access to a range of internal and/or external information management courses and/or information management knowledge sharing tools relevant to their job role.
<b>Proactive</b>	We actively manage our information management accountabilities, roles and responsibilities across the department.	We actively engage with all our divisions to ensure our support, policies and procedures meet the needs of our staff and are accessible by all our staff.	Staff understand their information management responsibilities for their business units and the department. They act accordingly. Staff actively manage the information management components of new business initiatives, which arise both from within the department and from external sources.	We provide education and training to all our staff routinely and consistently on all aspects of relevant information technologies that support information management, information access and appropriate use, administrative release of information and information privacy obligations. A specific information management support team or knowledge sharing platform is available to assist staff with information management questions and issues.
<b>Target</b>				
<b>Assessment</b>				
Optional comment:				

## Question 1.2: Information management workforce

Departments need to manage their workforce to ensure they have sufficient staff with information management skills in appropriate roles to meet their needs. They need to develop and maintain skills in information management professionals. Does the department:

- know what skills and competencies current staff have?
- have enough information management skills, knowledge and expertise?
- know how easy it is to access, deploy or apply any additional skills and expertise when needed?
- plan for acquiring the appropriate information management skills, whether through training or recruitment?
- include skills assessment in its recruitment practices for information management practitioners?

Is the department's information management skills and expertise sufficient to develop and support good information management? Choose the statement below that best describes your department's current situation.

	Information management workforce planning	Practice	Training information management staff
<b>Unmanaged</b>	We have minimal knowledge of our current information management skills. Our information management workforce planning occurs at a local level.	Business areas rely on local knowledge to solve information management challenges. There is no awareness of information management issues outside information management groups.	We do not appropriately develop or maintain the information management skills of our information management staff.
<b>Ad hoc</b>	We have limited information management workforce planning or consider it only in the context of our ICT planning. Senior management is aware that we need to develop our information management capabilities.	We have some information management experience but it is inconsistent across the department. We have no coordinated approach of information management skills. Staff take on information management roles in conjunction with other duties on an ad-hoc basis.	We focus our training for information management staff on only key issues relating to information management.
<b>Defined</b>	We, or external entities, have identified gaps in our information management skills. We address information management workforce planning issues annually.	We have appointed and/or identified information management and information privacy specialists. Other areas of the business, e.g. IT and risk, sometimes consult with information management specialists.	We provide appropriate training programs for all information management staff.
<b>Managed</b>	We assess our information management skills against departmental requirements. We include the results of the assessment in our departmental workforce planning process. We have processes to evaluate our workforce management.	The appointed information specialists are involved in a range of business initiatives across the department. We align information management, workforce management and planning processes to business needs.	We have feedback loops to ensure that training programs promote real world learning, performance improvement and maturity of information management specialists in their roles and responsibilities.
<b>Proactive</b>	We include information management workforce planning process as a component of departmental workforce planning management, recruitment and retention strategies. We treat information management specialists, including right to information officers, information privacy officers, records management officers, information custodians etc. as respected professionals.	We consult information management specialists when developing and implementing all business initiatives. Our business areas consult information privacy specialists when developing and implementing business initiatives which collect, use or share personal information.	We regularly assess the human resources requirements for the information management function in terms of capacity, skills and knowledge. Recruitment processes include information management skills in departmental job description information packages for information management specialists.
<b>Target</b>			
<b>Assessment</b>			
Optional comment:			

## 2. Governance and strategic planning

This section is about the context in which information management operates and the support it receives from management.

### Question 2.1 Governance, management support and performance monitoring

Strong overall leadership and advocacy are critical for the success of information management. There are significant risks associated with mismanaging or underestimating the importance of knowledge and information, therefore departments must clearly assign who is responsible for leading information management.

Does senior management actively support information management in your department, and manage information management as a core component of strategic value activities such as performance reporting, data science and analytics, and information sharing? Is there executive-level representation for information management activities? Choose the statement that best describes your department's current situation.

	Governance	Senior executive	Performance monitoring and reporting
<b>Unmanaged</b>	We have no governance body or a senior official reporting to the Director-General who is accountable for implementing information governance responsibilities.	Our management does not know the role information plays in the business and its potential value. Information management issues do not move beyond the operational or administrative sphere.	We do not identify and monitor the performance of key information management activities.
<b>Ad hoc</b>	We do not have information management represented on executive level forums or committees (for example strategic, ICT or risk and audit committee).	Management is aware of information management issues, but other issues have priority for planning, action and funding. We are managing information at the business unit or project level, resulting in information management silos.	Our process for monitoring and reporting are focussed on short term, significant information management issues.
<b>Defined</b>	A formal governance body for information management is operating at the senior level. The executive addresses some information management issues.	Management discussions and meetings include information management and information privacy related topics when needed. Management has appropriate knowledge of our information management, access to information and information privacy issues and practices, and seeks additional specialist information when needed. We actively manage the key activities in our information management work plan.	We have processes for accountability for significant information management issues and activities. We have partially implemented performance monitoring and reporting on significant information management activities.
<b>Managed</b>	The governance body or equivalent actively engages with its information management responsibilities. We have information management, right to information and information privacy interests and issues represented at the executive level and we consider them appropriately. Senior management actively supports information management, right to information and information privacy policies and practices.	Managers actively encourage staff to comply with information management, right to information and information privacy policies and practices. We have formally adopted an information governance approach and apply it uniformly. There is evidence of whole-of-department coordination, planning and leadership.	We have management and reporting processes to evaluate, monitor performance effectiveness and improve governance of information management issues and activities. We report performance review findings to a governance body for action as part of an overall planning process. We have implemented performance metrics.
<b>Proactive</b>	The governance body or equivalent actively leads the department in championing information management, right to information and information privacy in line with QGEA information governance principles and policies.	We base our department level information management on a collaboration of business units with information management, right to information, information privacy and IT areas or experts. Management acknowledge good practices in staff understanding and implementing information management. Our business unit managers are involved in developing our information management work plan, policies and processes to ensure that information management supports the business outcomes.	We use performance management and measurement to form the basis for continuous improvement. This informs our information management agenda and improves our overall performance and effectiveness (or) supports business improvement. We undertake corrective actions from performance review findings in a systematic and timely fashion. We measure the performance of our information management architecture, processes, activities and policy environment.
<b>Target</b>			
<b>Assessment</b>			
Optional comment:			



## Question 2.2: Information management approach and planning

Departments need clear commitment and direction from the executive on the information management approach (leadership, objectives, scope, risks and governance) that supports the business outcomes of the department. When done properly, information management planning clearly articulates the goals and actions supporting the business strategy and the information management approach supporting the strategic planning (for example, risk, ICT resources, human resources and procurement planning).

Departments can develop information management work plans to better address information management needs across the organisation through a cohesive, coordinated implementation strategy.

Does the department have an executive-endorsed approach about information management? Does it link its information management planning and strategic objectives to its overall management of information? Does the department regularly assess its information management approach and work plans for improvement? Do the information management and business areas collaborate on strategy development concurrently with information management enabled business initiatives and projects, using proper metrics? To what degree does the department align with and incorporate information management planning, if any, into other strategic planning? How is information management planning incorporated into the development of initiatives (such as projects and programs)?

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

	Strategic planning	Information management planning	Resourcing
<b>Unmanaged</b>	We do not consider our information management planning approach as part of the wider departmental strategic planning.	We have limited information management planning which occurs in silos. There is little or no alignment between our information management planning approach and other business as usual planning.	We do not have processes or policies to support sustained resourcing of information management activities including planning, information architecture and information custodianship. We limit our resourcing for information planning to the operational level and it is ad hoc.
<b>Ad hoc</b>	We recognise somewhat that information management, right to information and information privacy activities support other department planning and initiative development. We prepare strategic and business plans but do not address the information management implications in a coordinated or comprehensive manner.	We conduct information management planning and development at an individual project level or local level only. We largely consider information management planning and other areas of the business separately.	Our resourcing is at the operational level only. Business units find it difficult to secure sufficient resources for information management activities. Our policies for resourcing have a focus on business as usual operations.
<b>Defined</b>	Some links exist between our strategic objectives and priorities, and our information management work plans. Our approach to information management outlines our desired results, strategic priorities and resources in the information management area. It reflects some needs of clients and stakeholders.	Our information management work plan covers the entire department. We conduct information management planning across projects. We have identified and acted upon some dependencies and synergies.	We link our resourcing policy to our strategic planning. We include our resourcing process for information management activities and development as part of our annual budget. We have not yet fully established resourcing for information management.
<b>Managed</b>	We have developed and implemented an executive-endorsed approach about information management. Our information management approach is appropriate to our business outcomes, needs, corporate culture, technological environment and risk exposure. It reflects the needs of clients and stakeholders. It highlights department-wide information management issues, major risks, desired results and the resource implications.	We have implemented an information management work plan with links to our ICT Resources Strategic Plan. Our business areas build information management, right to information and information privacy capabilities into their business as usual planning activities. We identify emerging issues and opportunities relating to information management.	We have processes to fund and resource information management. Our resourcing policy integrates strategic planning and our budget process. We include resourcing to deal with information management issues within agency budget planning. We have appropriately resourced our information management and information privacy capability requirements.
<b>Proactive</b>	Our information management planning links our vision and strategic objectives to our overall management of information, including of personal information, right to information and open data. We regularly engage with clients and stakeholders to ensure we meet their needs. We regularly assess our information management approach and work plans for improvement.	New departmental projects, programs and initiatives always identify information management, right to information and information privacy implications, dependencies and synergies. Our information management and business areas collaborate when developing and implementing projects and business initiatives that have a significant information management component. We identify and address emerging issues, and take advantage of opportunities relating to information management.	We integrate our resourcing policy, strategic planning and budget processes. We base funding and resources on planned prioritisation and analysis of information management plans. We have appropriately resourced our information management, right to information and information privacy capability requirements. There is additional funding where required on basis of business case.
<b>Target</b>			
<b>Assessment</b>			
Optional comment:			

## Question 2.3 Compliance and risk management

It is the responsibility of departments to meet their obligations under the *Right to Information Act 2009*, the *Information Privacy Act 2009* and the Queensland Government Enterprise Architecture.

It is important that compliance requirements across the department are consistent, comprehensive, actively monitored and reported, and regularly reviewed. Departments need to clearly document the requirements and make them accessible and known across the organisation.

How well does the department monitor compliance with its own policies and standards and with Queensland Government-mandated legislation and requirements about information management and recordkeeping including release of information? If you undertake auditing, is this conducted in an independent fashion? Choose the statement that best describes your department's current situation.

	Compliance	Practice	Support	Risk management
<b>Unmanaged</b>	We do not have a process to monitor compliance with legislation, whole of government policies and standards, and our information management policies.	We have initiated some specific projects to address compliance with particular obligations under the legislation, whole of government policies and standards, or our information management policies. We have completed risk management planning for business-critical assets only.	We have no formal system to communicate compliance requirements to staff.	We do not know nor manage our information management risks including information security and privacy.
<b>Ad hoc</b>	We have not yet fully implemented, across the department, a process to monitor compliance with legislation, whole of government policies and standards, and our information management policies.	We comply with key obligations under the legislation, whole of government policies and standards, and our information management policies. Risk management focuses on key information assets.	We communicate compliance requirements to staff on a need to know basis.	We poorly assess our information management risks and do not manage them to an acceptable level of tolerance.
<b>Defined</b>	We have processes in place to monitor compliance. We periodically apply these processes to assess whether we comply with our obligations under the legislation, whole of government policies and standards, and our information management policies.	We comply with applicable legislation, whole of government policies and standards, and our information management policies.	We have in the past communicated the applicable compliance requirements across the organisation but it was more than two years ago.	We apply a risk-based approach to information management related legislation, requirements and standards including information security and privacy.
<b>Managed</b>	We have processes in place to monitor compliance. We apply these processes systematically to monitor how we comply with all relevant legislation, policies and standards regarding information management and associated disciplines. We undertake corrective actions to address the root causes of non-compliance.	We consistently comply with applicable legislation, whole of government policies and standards, and our information management policies. We undertake an 'independent' audit process across parts of the department. We have completed and tested risk management for all information assets.	We communicate all applicable compliance requirements across the organisation.	We apply a consistent risk-based approach to an acceptable level of tolerance. We actively identify, address and look to reduce the risk of breaches of information management related legislation, requirements and standards occurring.
<b>Proactive</b>	We have processes in place to monitor compliance. We apply these processes systematically to monitor how we comply with all relevant legislation, policies and standards regarding information management and associated disciplines. We undertake corrective actions to address the root causes of non-compliance. We have active interest in benchmarking compliance practices against other departments or jurisdictions.	We consistently comply with applicable legislation, whole of government policies and standards, and our information management policies. We apply all relevant compliance requirements to all projects and activities with a recordkeeping or information management component. We undertake an 'independent' audit process across the entire department. We actively explore and implement practices to go beyond compliance.	We assess our situation and implement an appropriate plan to address compliance literacy across the organisation targeting areas of higher risk and known issues.	We use a systematic, consistent and evidence-based approach to information management risk including information security and privacy.
<b>Target</b>				
<b>Assessment</b>				
Optional comment:				

### 3. Information asset management and disclosure

This section is about managing specific information assets to meet the business needs of the department and have the right information available when needed.

#### Question 3.1: Information asset management

The Queensland Government Enterprise Architecture (QGEA) Information asset custodianship policy (IS44) requires that departments must:

- identify the department's information assets
- establish and maintain an information asset register
- assign role/s for the management of the department's information asset register.

An information asset register lists the existing information assets across all business units within a department. It enables users of information to identify the available resources from a single source. The register also identifies the information asset custodians and users, as well as the information asset owners.<sup>4</sup>

A systematic approach to identifying and classifying information holdings and datasets helps agencies determine what information is suitable for public release. It provides assurance that the agency is proactively disclosing the maximum amount of information, as the *Right to Information Act 2009* intends. In addition, this approach allows the agency to identify which information assets contain personal information and implement appropriate safeguards.

IS44 is available at <https://www.qgcio.qld.gov.au/documents/information-asset-custodianship-policy-is44>

How well does the department identify, manage and monitor its information assets? Has the department defined information management roles and responsibilities to manage information assets? Choose the statement that best describes your department's current situation.

	Information asset register	Custodianship	Classification
<b>Unmanaged</b>	<p>We have few processes to identify and register information assets.</p> <p>We have informal arrangements to manage some business-critical information assets.</p> <p>We leave strategic, high value or high-risk information assets unmanaged (unclassified, unregistered in the information asset register and unassigned to an information custodian etc.).</p>	<p>We have informal arrangements for custodians for some information assets.</p> <p>We have no formal custodianship policy or defined roles and responsibilities for custodians.</p>	<p>We have few processes to classify information assets.</p>
<b>Ad hoc</b>	<p>Our information asset register may be missing strategic information assets.</p> <p>We need to review and update our information asset register.</p> <p>We make our information asset register(s) available to relevant staff in some business units.</p>	<p>We have a custodianship policy but we have not implemented it across the department.</p> <p>We inconsistently define and communicate information ownership and custodianship responsibilities.</p>	<p>We have some processes for classifying our information assets but staff do not apply them consistently to all relevant information assets.</p>
<b>Defined</b>	<p>We have an approved information asset register(s), which we have mandated across the department.</p> <p>The information asset register includes all our strategic information assets but is missing most other assets.</p> <p>It provides key context for some information assets.</p>	<p>We assign staff to information assets. They fulfil their roles and responsibilities across the department.</p> <p>We have an approved custodianship policy and have mandated it.</p> <p>Custodians use our defined processes to track and manage information assets over their lifecycle.</p>	<p>Staff follow our mandated processes for classifying information assets.</p>
<b>Managed</b>	<p>The information asset register includes most information assets under our control.</p> <p>We update our approved information asset register on at least an annual basis.</p> <p>We follow our defined processes to identify and manage additional information assets.</p> <p>Our register(s) is single source of truth.</p>	<p>Our custodianship model meets departmental needs and is in line with QGEA guidelines.</p> <p>Custodians understand their responsibilities and register and maintain information assets through their lifecycle.</p> <p>We assign custodians for both existing and new information assets.</p>	<p>We monitor the quality of information asset classification and have a process to address quality issues.</p> <p>We are using ongoing revision and improved classification of information assets to benefit our information planning.</p>
<b>Proactive</b>	<p>The information asset register includes all information assets under our control including key context for each information asset.</p> <p>We use the register(s) as the primary internal source for information provision and services.</p> <p>We publish a public version of our information asset register.</p> <p>We use our register(s) to shape information management planning initiatives.</p>	<p>Custodians understand their responsibilities and register and maintain information assets through their lifecycle.</p> <p>We assign custodians for both existing and new information assets.</p> <p>Custodians have appropriate business experience and understanding.</p> <p>Custodians work actively with information users to improve usability, sharing and the identification and management of information assets.</p>	<p>We have evidence of improved information service provision, information planning and risk reduction.</p> <p>We consider information asset classification when developing new information systems and products.</p>
<b>Target</b>			
<b>Assessment</b>			
Optional comment:			

<sup>4</sup> Definitions are available from the Queensland Government Chief Information Office glossary available at <https://www.qgcio.qld.gov.au/publications/qgcio-glossary>.

## Question 3.2: Business needs and information quality

One of the four QGEA Information Management Strategic Framework goals is to improve access to and use of information. This goal has three components:

- ensure the right information is available, to the right person, at the right time, in the right format, at the right place, enabling [...] improved business decisions
- information has sources of 'trust'
- make it easier to find information.

Users within the department should assess if information assets are fit for purpose.

QGCIQ has published a best practice guideline to provide agencies with a standardised way to assess the quality of their information.

<https://www.qgcio.qld.gov.au/documents/information-quality-framework-guideline>

Different types of users in the department will have different information requirements and their needs will change over time. Planning that incorporates current and future business needs will help ensure users have appropriate access to information.

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 department's current situation.

	Business information needs	Quality management
<b>Unmanaged</b>	We have little understanding of the business' information needs and how to meet them.	Our information is unreliable and incomplete. We deal with information quality issues in a reactive and improvised manner. We have limited processes to establish standards, protocols and procedures for the quality management of our information assets.
<b>Ad hoc</b>	We have identified that our current information management infrastructure and practices do not fully meet our needs.	We recognise that the quality of our information does not meet all our business needs. We do not capture full and accurate records of activities and decisions. We apply our processes to manage the quality of our information assets. But shadow systems may exist where current systems are not meeting our information needs.
<b>Defined</b>	We have analysed our information needs and assets. We have prioritised our information needs and determined the required information quality. We meet most of our identified information needs.	We know the quality of our information and it generally meets business needs. We have partially implemented processes for managing information quality and for measuring performance to a targeted level.
<b>Managed</b>	We have analysed our information needs and assets. We have prioritised our information needs and determined the required information quality. We meet all our identified information needs.	We manage our information quality so that it is fit for purpose and meets our business needs, accountability requirements and community expectations. We have remediation processes to address information quality issues. We mandate and comply with information quality standards as required. The governance body receives, and actions, reports on significant quality issues relating to information management.
<b>Proactive</b>	We have analysed our information needs and assets. We have prioritised our information needs and determined the required information quality. We meet all our currently identified information needs and plan for the future.	Internal and external users recognise our information assets as a source of authentic and reliable information. We have a proactive information quality program which aims for best practice. We routinely review processes to validate and improve the quality of our information and to establish its value to the organisation. We develop data quality statements for significant information assets. We regularly report on quality issues to improve our organisational effectiveness.
<b>Target</b>		
<b>Assessment</b>		
Optional comment:		

### Question 3.3: Proactive disclosure and sharing

Departments make the information they have available where appropriate to other Government departments, agencies, external stakeholders and the public through administrative access schemes, proactive disclosure and information sharing. Policies and processes for disclosing government information enable consistent and compliant practices while making as much information available as practicable. Formalised information sharing arrangements allow agencies to manage risk and improve co-ordinated decision making across Government.

Under the *Right to Information Act 2009*, government agencies release information administratively as a matter of course, unless there is a good reason not to. A formal application under the *Right to Information Act 2009* should be the last resort. Members of the community may access documents available online, including on an agency's publication scheme or disclosure log.

An agency may establish administrative arrangements to access different types of information, for example documents, datasets and camera surveillance footage. Administrative arrangements can significantly benefit agencies because they are a more simple and efficient way to release information than the formal legislative application process. Agencies may also provide documents under a process set out in other legislation. We expect agencies to promote administrative access on their websites and to staff.

The QGEA information access and use (IS33) policy specifically refers to the *Right to Information Act 2009*. Under this policy departments must:<sup>5</sup>

- provide government information to the public to the maximum extent possible
- share government information with other Queensland Government departments and other governments subject to legislative and policy requirements to the contrary
- provide government information to the maximum extent possible free of charge
- use a consistent framework to licence government information for use and reuse.<sup>6</sup>

How well has the department established policies and procedures to ensure consistent and lawful information access and sharing? Does the department promote making information available to both other government agencies, to stakeholders and to the public? Choose the statement below that best describes your department's current situation.

	Governance	Proactive disclosure	Administrative access	Information sharing
<b>Unmanaged</b>	We have not considered proactive disclosure or sharing issues. We have commenced documenting policies or processes on making information available and exchanging information with other government departments or third parties.	When we create information, we do not consider the future external proactive disclosure. We do not have any program or authorisation system in place to facilitate proactively disclosing information.	We do not have a departmental approach to administrative access. Local areas may operate administrative access schemes without departmental coordination. Limited administrative access arrangements are on our website. We do not promote them to the public or our staff.	We do not have a standardised approach to formalising information sharing arrangements with other departments and external stakeholders.
<b>Ad hoc</b>	We have developed some processes for making information available externally or exchanging information with other government agencies and third parties.	We assess for disclosure only the information assets we are required by law to publish, or consider to promote the department's business. When we create information, we have little consideration for future proactive disclosure or sharing.	We make some information available through administrative access. We approve administrative access schemes through ad hoc arrangements. Some administrative access schemes are on our website but they are not visible. We make minimal effort to promote them.	Information sharing arrangements with other departments and external stakeholders vary significantly depending on the circumstances.
<b>Defined</b>	We have centrally developed and mandated policies and/or processes to facilitate proactive disclosure and sharing. We have a mandated governance structure and authorisation process for proactive disclosure and the exchange of information with other government agencies and third parties.	Staff can assess and approve information for public release in compliance with a clear authorisation process. We have a policy or process around proactive release. We consider stakeholder and public information needs when we assess what information to release.	We make information available through administrative access in various formats. There are appropriate governance arrangements to approve administrative access schemes. Projects for developing administrative access schemes are identified in information management planning. Most administrative access schemes are on our website, but not always visible. We have a strategy to promote them to the public and our staff.	We consider relevant legislation when exchanging information and adhere to a standardised approach to information sharing (i.e. National Government Information Sharing Strategy).
<b>Managed</b>	We have mandated policies and/or standards to facilitate proactive disclosure and sharing. We have a mandated governance structure and authorisation process for proactive disclosure and the exchange of information with other government agencies and third parties. We review our policies and processes to ensure information we release meets the needs of users.	We consider the potential for proactive disclosure and sharing when collecting information and developing new processes. Staff can assess and approve information for public release in compliance with a clear authorisation process. We have a program to raise staff awareness of our policies around proactive release. We engage with stakeholders on their information needs, what information we hold, and work with stakeholders to release information to address their needs where reasonable.	We have implemented a range of administrative access schemes covering the information with highest priority. We identify the suitable schemes and information in these schemes based on our information assets, the requests for information we receive and consultation with clients and stakeholders. We apply appropriate charges (if any), terms and conditions to administrative access schemes and review them periodically. We inform frontline staff about administrative access available and train them to assist the public in requesting access. We review the operation of existing administrative access schemes and the opportunities for new schemes on a regular basis. All our administrative access schemes are visible on our website. We promote them to the public and our staff.	We have standardised approaches to formalising information sharing arrangements with other departments and external stakeholders. In creating information sharing arrangements we consider the permissions, controls and acceptable use conditions of the shared information. We keep a central register where we publish all information sharing agreements. We centrally manage information exchange.
<b>Proactive</b>	We review the processes and policies for making information available proactively to identify opportunities for	We facilitate and actively promote proactive disclosure of all our information unless it is contrary to the	We have implemented the maximum administrative access schemes and information included in these schemes.	We have standardised approaches to formalising information sharing

<sup>5</sup> QGEA information access and use (IS33) policy is available at <https://www.qgcio.qld.gov.au/documents/information-access-and-use-policy-is33>

<sup>6</sup> Government agencies may use the Creative Commons or the Australian Governments Open Access and Licensing framework (AusGOAL) licencing frameworks to assist in sharing information between them and with external stakeholders.

	improvement, such as using new technologies and process improvement.	public interest to release specific information. We consider and plan for proactive disclosure, including engaging with stakeholders and the public, when planning major new projects, business systems and initiatives. Internal and external use and re-use of our information is evident.	We identify the suitable schemes and information in these schemes based on our information assets, the requests for information we receive and consultation with clients and stakeholders. We apply appropriate charges (if any), terms and conditions to administrative access schemes and review them periodically. We inform frontline staff about administrative access available and train them to assist the public in requesting access. We review the operation of existing administrative access schemes and the opportunities for new schemes on a regular basis. We engage with the community and stakeholders to seek input on their information needs. All our administrative access schemes are highly visible on our website. We actively promote them.	arrangements with other departments and external stakeholders. In creating information sharing arrangements we consider the permissions, controls and acceptable use conditions of the shared information. We keep a central register where we publish all information sharing agreements. We centrally manage information exchange. We actively share information with other agencies for the benefit of citizens and the community at large.
<b>Target</b>				
<b>Assessment</b>				
Optional comment:				

## 4. Business systems and processes

This section is about the systems and processes (both electronic and manual) that support the department's information management practices.

### Question 4.1: Information architecture and policies and procedures

Departments should ensure that their policies and procedures appropriately address information management. They should also define and document their information architecture. These policies and procedures, and the information architecture should align with the QGEA.

Information architecture refers to the design and arrangement of information and the inter-relationships of systems. An information architecture will include a description of:

- which systems store which data and records and in what formats
- the relationships between different business systems
- standards it uses when labelling and categorising information
- the design of navigation, indexing and search systems.

When a department has mature information management, there will be a close and coordinated relationship between its information architecture, enterprise architecture, business architecture and IT architecture. For an information architecture to be effective both content and activity classifications must be applied in the right circumstances.

Has the department developed an information architecture model? To what degree does it link to the enterprise architecture, business architecture and IT architecture models? Choose the statement that best describes your department's current situation.

	Information architecture	Policies and procedures	Practice
<b>Unmanaged</b>	We have a general enterprise architecture and/or IT architecture, but this does not directly address information architecture issues.	The information management principles and policies we have are inconsistent and only marginally align with QGEA.	We have partially defined and documented our information architecture. We do not actively manage our information architecture.
<b>Ad hoc</b>	We have partially developed our information architecture.	We have partially documented our information management principles and policies. The information principles and policies we have mostly align with QGEA.	We allow the use of local information models and information silos to continue. Our process for developing information management architecture, principles and policies is reactive.
<b>Defined</b>	We have developed and implemented an information architecture aligned with the relevant QGEA. Our information architecture is largely tied to and dependent on our IT architecture.	We have developed appropriate information principles and policies which align with QGEA.	Our information architecture is planned and coordinated throughout the department. We are developing information management architecture, principles and policies but these are not prioritised.
<b>Managed</b>	Our information architecture is complete. It includes our long-term vision and goals, our information needs and the strategies to meet them.	We review our information principles, policies and processes as part of our policy development cycle. We have appropriate fully documented and approved information principles and policies which align with QGEA.	We link our information architecture to major government priorities and systems. Business needs drive the information architecture, not just architectural purity. We develop and deploy information management architecture, principles and policies as part of a planned, prioritised process.
<b>Proactive</b>	The information architecture is an integral part of our overall enterprise architecture and we manage it accordingly. We have positioned the information architecture to enable information sharing and interoperability.	We have appropriate fully documented and approved information management principles and policies that cover all relevant information management domains which align with QGEA. We actively engage with all our divisions to ensure our policies and procedures are effective, relevant and meet our information management needs and requirements.	Our information architecture is consistent with a fully developed business architecture to ensure it is relevant to business needs and provides guidance for outcomes. We have targeted solution material for major information sharing domains.
<b>Target</b>			
<b>Assessment</b>			
Optional comment:			

## Question 4.2: Business processes, systems and tools

A department needs to know its business processes to identify what information it needs to collect, when it needs it, what quality is required, the security and privacy considerations and whether it needs the information for secondary uses. Business processes are the underlying mechanisms that support the delivery of an organisation's day-to-day services. A business process encompasses participants, tasks and supporting systems that work together to produce a result that is of value to the organisation.

Although business process mapping and classification is not mandatory, the Queensland Government Chief Information Office has adopted the *APQC Process Classification Framework* which provides standard definitions and terminologies.<sup>7</sup> The framework enables an agency to analyse its business processes for gaps/duplications and to map how they support the business strategy.

Has the department identified information integration points and eliminated duplicate processes? Does the technology available in the department support and enable the delivery of the department's information management strategy? Does the IT area work collaboratively with departmental information management professionals? Choose the statement below that best describes your department's current situation.

	Information silos and flows	Business systems	Mapping business processes
<b>Unmanaged</b>	We have evidence of overlap and/or duplication of processes and information between business units. Multiple systems, requiring different logons, may store the same information.	We have no common business systems with strong capabilities to manage information.	We have not mapped or documented our business processes.
<b>Ad hoc</b>	We have identified where we can re-engineer business processes to improve efficiencies and reduce duplication of information. We have planned how to re-engineer these processes. Some common systems exist between business units or automated systems for transferring information between different business systems.	We have partially implemented information management into business systems.	We have mapped and documented our business processes at the local level only.
<b>Defined</b>	We have eliminated some duplicate processes and improved integration of processes and information flow. We have used technology to enable disparate and siloed information assets for greater integrated use across business units.	We have appropriate information management tools and systems with a focus on business-critical information. We involve IT and information management specialists in efforts to find technologies and tools to integrate information management into our systems.	We have mapped only significant business processes and linked these processes across business units.
<b>Managed</b>	We have re-engineered business processes to successfully eliminate information duplication and improve information flow. We have visibility into the process details and process owners are open to change. Staff who identify process issues affecting information quality direct them to appropriate staff or working groups for rectification.	We have evidence that IT effectively manages information management issues in our business systems. We consider our information management requirements when we acquire new business systems.	We have mapped and documented our business processes on a risk or priority basis at a whole of department level.
<b>Proactive</b>	We conduct continuous improvement activities to optimise our business processes for information quality, flow and information sharing both internal and external to our department. We have high levels of process collaboration between teams and business units which reflects industry best practice.	Core business systems have been enabled for integrated business use both internal and external to us. We demonstrate proactive experimentation and learning about emerging information management technologies and tools.	We have mapped and documented our business processes on a risk or priority basis at a whole of department level. We manage our business processes throughout their lifecycle. We plan for and manage transitions in business processes.
<b>Target</b>			
<b>Assessment</b>			
Optional comment:			

<sup>7</sup> More information is available from the Queensland Government Chief Information Office website. *Queensland Government Enterprise Architecture Business process classification framework* viewable at <https://www.qgcio.qld.gov.au/documents/business-process-classification-framework> viewed on 10/4/2018.