



Divisions of General Practice

Information Management Maturity Framework
(IMMF)

STEP 2 – Gap analysis user guide
(2nd Edition)



Information Management Maturity Framework

Gap analysis – user guide

Background

The Information Management Maturity Framework (IMMF) supports each Division of General Practice in aligning an Information Management (IM) strategy with its corporate business plan, ensuring an appropriate targeting and level of investment in IM to improve Divisional program processes and delivery.

The aim is to provide an objective measure of the IM Maturity for a Division of General Practice and an easy to follow 'framework', enabling a CEO to progressively improve their systems and staff work practices.

Once the use of the framework is initiated, CEOs should be able to administer each of the steps as part of their annual business planning cycle.

The framework consists of four steps which constitute a continuous improvement cycle:

- Step 1 - Self Assessment using the IMMF **checklist**
- Step 2 – **Gap analysis** to identify and prioritise improvements
- Step 3 - Application of **toolkit** to identify action tasks for IM maturity improvement
- Step 4 - **Benefits realisation** in IM Maturity and business outcomes

Purpose

The purpose of this user guide is to provide a reference for CEOs who intend to implement the IMMF gap analysis to identify and prioritise improvements in IM maturity for their Division.

The guide is designed in four parts:

- Overview of gap analysis
- Gap analysis stage 1 – bottom up
- Gap analysis stage 2 – top down
- Identifying contributions to the toolkit

Overview

The IMMF gap analysis is the second step in the IMMF. Gaps in IM maturity are identified in terms of the six elements of IM, defined in the IMMF checklist. It is a pre-requisite for gap analysis that the Division has completed the checklist process to identify their IM maturity profile for each element.

The gap analysis step in the framework assists the CEO to specify and prioritise the target state¹ or maturity level desired for each element. These prioritised maturity gaps for each element are then used as the input to the toolkit in the next step in the framework.

Typically the gap analysis is conducted by the Division's CEO with advice from staff who participated in the checklist process. There are no formal tools (e.g. questionnaires or focus groups) for gap analysis, rather it is a management activity to identify priorities for future IM planning.

It is recommended that the gap analysis is considered immediately after the checklist. It is possible for the gap analysis to be completed in parallel with stage 7 of the checklist, the data validation focus group.

It is recommended that the gap analysis be undertaken as a three stage process:

- Stage 1. The first stage is a bottom up analysis to ensure the Division achieves a basic minimum standard of IM maturity for each element. Two rules are applied²

¹ There is no mandatory planning timeframe for a target maturity level in any element of IM, but the IMMF guidance is for 6 or 12 month cycles of benefits realisation. Thus maturity gaps targeted for improvement should be realistically achievable within these times.



- ✓ Being “unaware” is unacceptable, any elements assessed as unaware are targeted for improvement first.
- ✓ Compliance and quality and user perceptions IM elements should be targeted at the “defined” level of maturity.

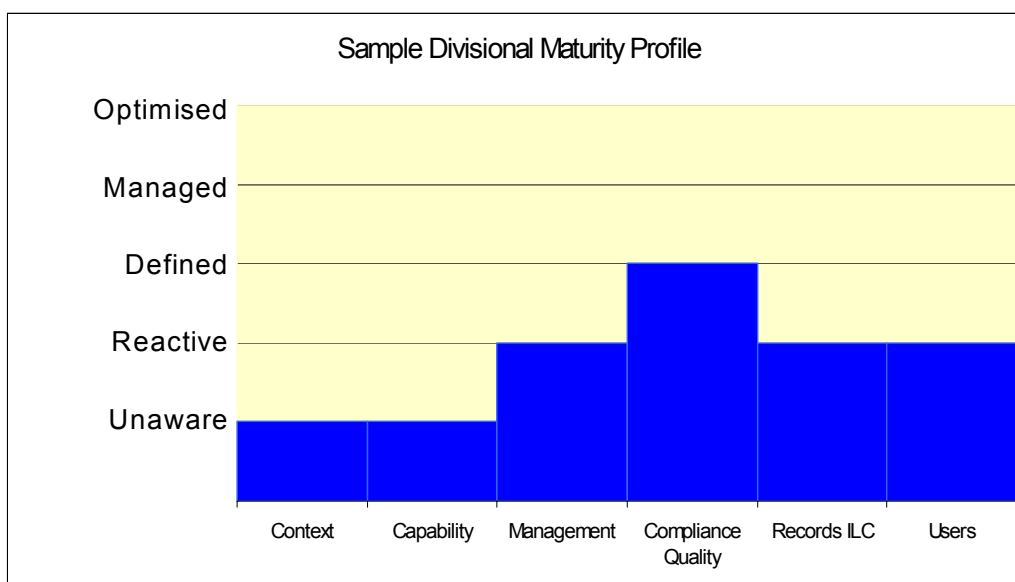
This establishes a basic standard before further IM improvement can be aligned to the Divisions current priorities for business programs and member services.

- Stage 2. The second stage is a top down analysis to prioritise improvement gaps for each IMMF element based on the Division’s current priorities for business programs and member services.
- Stage 3. The third stage applies to those Divisions that have assessed themselves as having high levels of maturity in any of the elements of IM. In the instance where maturity is assessed as managed or optimised, then the CEO should consider making a contribution from their Division’s skills, experience to the toolkit rather than drawing from it for improvement.

Stage 1 – Bottom Up Analysis

The input for stage one of the gap analysis is the Division’s validated IMMF maturity profile from the checklist, an example profile is shown below.

Figure 1. Sample Division IMMF Profile



Each element is assessed against the two rules for bottom up analysis:

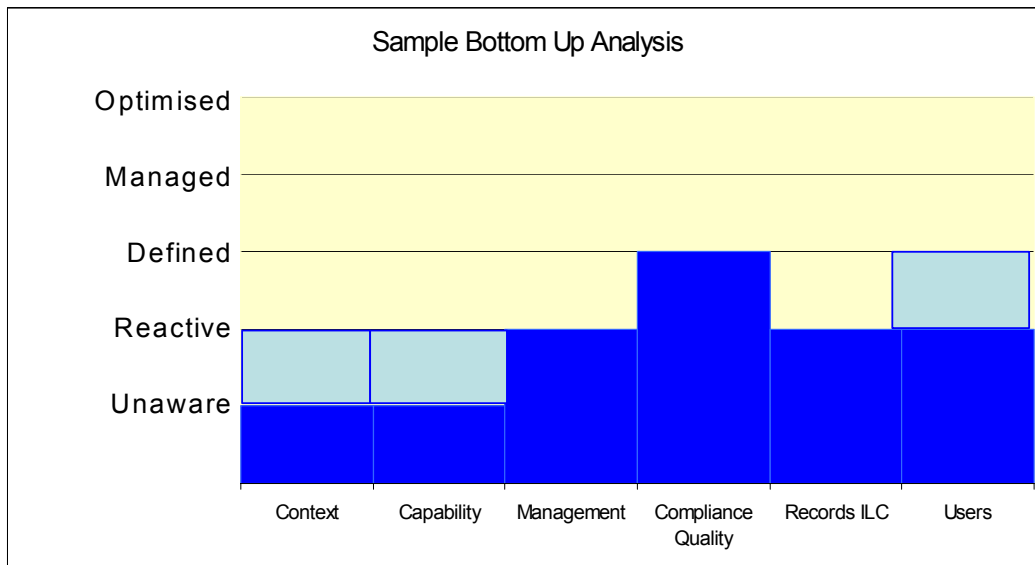
- Being “unaware” is unacceptable, any elements assessed as unaware are targeted for improvement first.
- Compliance and quality and user perceptions IM elements should be targeted at the “defined” level of maturity

Gaps identified in the profile by applying these rules are represented as blocks for improvement. Hence in the example above, the result of bottom up analysis would be a profile as shown below:

² These rules have been validated using the IMMF checklist process by applying the four pillars of IM - people, process, culture and technology, to the questionnaire and focus group process. This defines a minimum maturity standard which should be within reach of all Divisions regardless of their current status, resources, or business priorities.



Figure 2. Bottom up analysis



Stage 2 – Top Down Analysis

In addition to their priorities to meet a minimum maturity level for each element of IM, CEO's should also consider their individual circumstances and drivers for IM. In the gap analysis this is done by considering the Division's business plan priorities for their core programs and member services.

The object of top down analysis is to align IM activities to the Division's business plan, ensuring an appropriate targeting and level of investment in IM and information technology for the achievement of their program delivery and processes. This is achieved through the use of IM case studies.

Rather than impose theoretical IM maturity profiles for different business outcomes, the IMMF will provide evidenced based guidance on the maturity levels that are necessary for achieving specified business plan outcomes. Thus the process for top down analysis is:

- Use of peer review to identify best practice within Divisions in specified areas of business performance; e.g. developing business cases with member GPs for the collection of clinical data for evidence based medicine.
- Complete a case study of the IMMF profile for each of these best practice Divisions to identify the common maturity levels for each element that underpin the business performance.
- Creating validated profiles that represent the necessary IM maturity for the specific business performance area. These profiles can then be compared with a Division's existing IMMF profile and the gaps identified for each specific business priority.

The analysis of case studies will require a number of best practice Divisions to be using the IMMF. As it is not possible for case study based profiles to be available immediately a separate gap analysis tool has been developed to assist divisions to independently identify IM gaps linked to their business plan.

This tool consists of a matrix that has been developed to display all the elements and criteria of the IMMF. CEO should systematically review their business plan to identify IM dependencies. Then use the matrix to assign a score (between 1 and 3) to each of the 30 criteria used in the IMMF, the score should reflect the importance and risk inherent in each IM criteria to the achievement of the IM dependencies in the business plan.

Two questions are asked of each criterion to determine its score:

- How important is improvement in this criterion to the business outcome?
- What is the risk to a successful business outcome if this criterion does not improve?



By averaging the criteria scores to calculate a weighted value for each element in the matrix, a CEO can identify which elements of IM need improvement and these can be expressed as gaps in the current profile.

A worksheet that can be used for top down analysis using this technique is attached as Annex A.

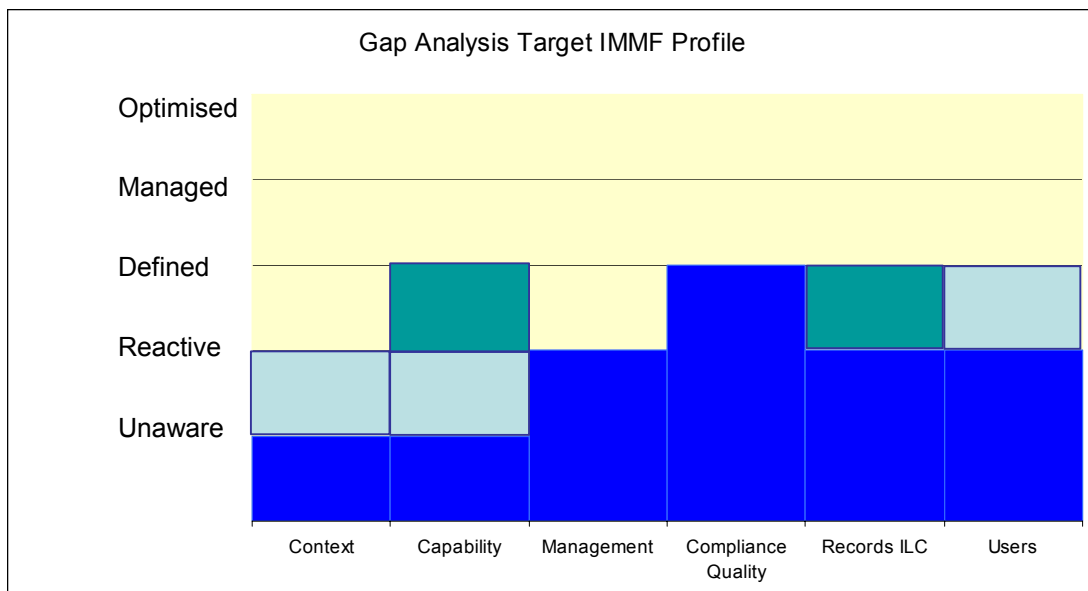
An example matrix using this technique is displayed below.

Context	Capability	Management	Compliance	Lifecycle	Users
Culture 2	Individual Competencies 3	Leadership 1	Data Quality 3	Planning 2	Staff Satisfaction and Awareness 2
Change Management 1	External Advisors 1	Strategy 1	Security 2	Collection and Capture 3	Staff Training and Support 1
External Awareness 1	Tools 2	Policies and Standards 1	Privacy 1	Organisation 3	GP Satisfaction and Awareness 2
	Technology Integration 2	Roles and Responsibilities 1	Business Continuity 1	Use and Dissemination 2	GP Training and Support 1
	Project Management 1	Program Integration 2	Compliance 1	Maintenance 1	
		Risk Management 2		Disposal 1	
4 /3	9/5	8/6	8/5	12/6	6/4
Avg: 1.3	Avg: 1.8	Avg: 1.2	Avg: 1.6	Avg: 2.0	Avg: 1.5

Legend: 1= Low importance & low risk: 2= Medium: 3= High importance & high risk

This example indicates that emphasis should be placed on improved capacity in IM Capability and the Information Lifecycle. The completed gap analysis, using the earlier example, can be represented in a target IMMF profile as shown below.

Figure 3. Target IMMF Profile





The results of gap analysis can also be represented as table as shown below:

Figure 4. Gap Analysis Table

Elements of IM	Current State	Target State	Priority
Divisional context	Unaware	Reactive	2
Division capabilities	Unaware	Defined	1/4
Management of IM	Reactive	Reactive	n/a
Compliance and Quality	Defined	Defined	n/a
Records management and information lifecycle	Reactive	Defined	5
User perspectives	Reactive	Defined	3

Stage 3 – Identifying contributions to the toolkit

In addition to assisting Divisions with improvements in IM related to base maturity in stage 1, and top down analysis to align IM activities to the Division’s business plan in stage 2: the IMMF is also intended to establish a uniform national approach to IM enabling Divisions to share successes and best practice lessons in IM throughout the network.

Stage 3 of the gap analysis exists for those Divisions that have assessed themselves as managed or optimised in any of the elements of IM. In this case the CEO should consider the achievements of the Division in this area as an example for others to follow.

The detailed process for sharing best practice throughout the network will be developed as part of the long term governance and maintenance plan for the IMMF in 2008. However in the short term the CEO should contact their local SBO based eHealth Project Officer (formerly RHIMO) to discuss any areas of IM maturity where they believe they can make a contribution to the network as a whole.



Annex A to IMMF Gap Analysis User Guide

A worksheet that can be used for top down analysis is attached below.

It is a matrix that has been developed to display all the elements and criteria of the IMMF. CEOs should systematically review their business plan to identify IM dependencies. Then use the matrix to assign a score (between 1 and 3) to each of the 30 criteria used in the IMMF, the score should reflect the importance and risk inherent in each IM criteria to the achievement of the IM dependencies in the business plan.

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External Awareness	Tools	Policies and Standards	Privacy	Organisation	GP Satisfaction and Awareness
	Technology Integration	Roles and Responsibilities	Business Continuity	Use and Dissemination	GP Training and Support
	Project Management	Program Integration	Compliance	Maintenance	
		Risk Management		Disposal	
/3	/5	/6	/5	/6	/4
Avg:	Avg:	Avg:	Avg:	Avg:	Avg:

Legend: 1= Low importance & low risk: 2= Medium: 3= High importance & high risk

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