

# Information Management Maturity Report 2023-24 State Government

**STATE RECORDS**

of South Australia



**Government of South Australia**  
State Records

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# Information Management Maturity Report – State Government

This report focusses on state government agencies (including boards and committees, minister's offices and statutory authorities)

## Survey

In 2023, under section 15 of the *State Records Act 1997* (SR Act), State Records conducted a survey of agencies<sup>1</sup> current information management practices compliance against the Information Management Standard (Standard).

Results are split into different sectors –

- » state government agencies (including boards and committees, minister's offices and statutory authorities)
- » local government (including subsidiaries and regional subsidiaries)
- » universities

A 2023-24 South Australian (SA) baseline has been provided and includes all sectors results, enabling a comparison against every agency that responded to the survey across the state.

## Information Management Standard (the Standard)

The Standard establishes the principles and behaviours expected of agencies in managing government information to achieve their own business objectives and to meet requirements under their legislative and policy obligations.

To comply with the Standard, agencies must satisfy the level 2 (operational) criteria for each behaviour (unless a valid reason can be demonstrated why maintaining a lower level is acceptable e.g. due to agency operational or regulatory requirements or level of risk identified). This is referred to as the benchmark.

## Definitions

**Tool** – the State Records Self-Assessment Tool (Tool) that enables agencies to assess information governance maturity and compliance against the Standard. The Tool offers a scalable, tiered approach to help identify areas of strength and weakness at each level of maturity and capability. It also generates automated reports that identify the areas agencies need to address as a priority. It has been designed to be used by agencies at any time to aid the improvement of their information management practices, not just when surveyed by State Records.

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<sup>1</sup> As defined under clause 3(1) of the *State Records Act 1997*

**2023-24 Baseline** – the whole of state combined survey result. Includes state government, local government, subsidiaries and regional subsidiaries, universities, boards and committees, minister’s offices and statutory authorities.

**Benchmark** – for the purposes of this report, the benchmark is the operational level 2 capability for behaviours (from the Tool). To comply with the Standard and reach the benchmark, agencies must score each behaviour at a level 2 capability (unless a valid reason can be demonstrated why maintaining a lower level is acceptable).

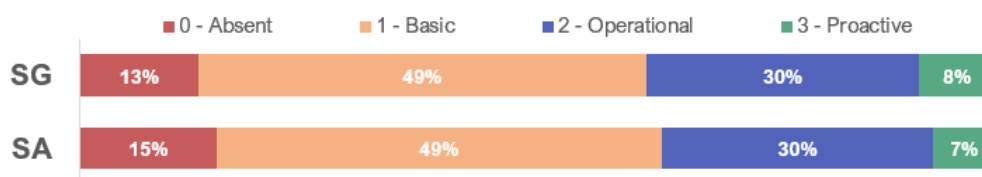
**Principle** – outlined in the Information Management Strategy, what agencies must follow to ensure their data and information can be relied upon and trusted. Each principle is underpinned by a set of behaviours that agencies must demonstrate to ensure their information management practices align with government expectations.

**Behaviour** – expected behaviours, under the principles in the Standard, required to effectively manage information, to achieve business objectives and to meet legislative and policy obligations.

## Report structure

This report is divided up by principle, then by behaviour. The percentage of maturity ratings for each behaviour reported by state government agencies (SG) is displayed in a graph and measured against the 2023-24 baseline.

For example, the graph below shows state government agencies rated almost identical to the whole state combined for behaviour 1.1.



The principle graph combines each behaviour into one score and is followed by the behaviour graphs. Additional commentary highlighting points of interest rounds off each principle.

## Response rate

96% of state government agencies responded to the survey (363 of 377 agencies responded).

There was an 89% response rate by boards and committees (126 of 141 responded).

Collectively, 94% of state government agencies, including boards and committees, minister’s offices and statutory authorities, responded to the survey.

## Survey submissions

Many agencies responded on behalf of multiple sub agencies, minister’s offices and boards and committees. Some agencies provided multiple survey responses from different staff in the agency. In those instances, agencies were contacted to establish which survey response should be used.

For some local health networks, they provided a corporate and a clinical response.

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## General commentary

In recognising that one of the reasons for the survey was to establish a baseline to compare future surveys against, it was pleasing to see state government agencies provided an honest account of current practices and disclosed there is room for improvement. With many recognising they have plans to improve their results.

Many agencies also advised they are using the Tool to identify priority areas for information management programs moving forward.

State government agencies are operating:

- » slightly below the 2023-24 baseline for four of the five principles
- » at the 2023-24 baseline for principle 5
- » at the benchmark for 15 out of the 33 behaviours
- » below the benchmark for the Information Management Plan and Program

See Attachment 1 for a table of consolidated results for state government.

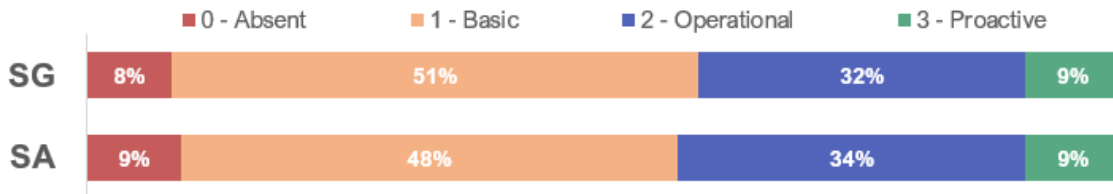
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# Principle 1

## The value of information is known

Information is treated as an asset of the agency; its value to enable business activities and functions, both current and future, is determined, understood and leveraged to improve business outcomes.

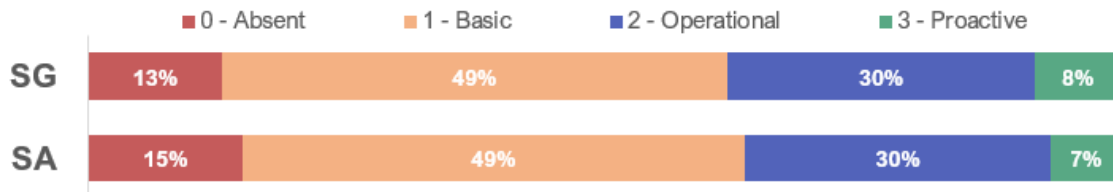
### Principle Result



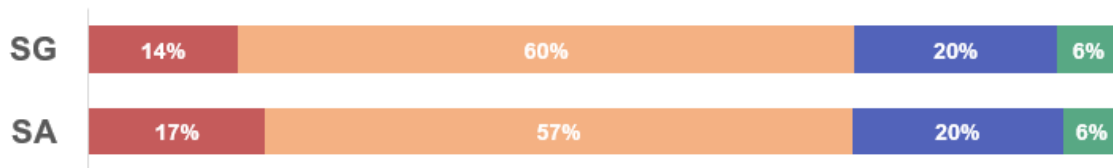
For principle 1, state government agencies are operating slightly below the 2023-24 baseline.

### Behaviours

**1.1** Identify and document what their information assets are, where they are stored and who is responsible for their management



**1.2** Understand and document how their information assets support their business objectives and operations or their compliance obligations



**1.3** Ensure information assets are linked to business functions and activities



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**1.4** Induct and train staff in the value of information and in their information management responsibilities



**1.5** Foster an organisational culture that values and manages information as an asset and supports business objectives and activities



## Principle 1 - Commentary

To achieve the benchmark for principle 1, agencies need to:

- » complete an audit on hardcopy and digital information assets
- » create an information asset register that captures all assets
- » conduct a value and risk assessment
- » apply a business classification scheme (or similar) to all information assets in the information asset register
- » provide all new staff with a basic induction to information management and all information management staff with comprehensive information management training
- » have a clear strategic direction for the management of information assets.

Under principle 1, state government agencies are operating at the 2023-24 baseline for behaviours 1.1 and 1.2.

For behaviours 1.3, 1.4 and 1.5 state government agencies are operating just below the 2023-24 baseline.

Except for behaviour 1.4, most agencies scored at the basic level for the behaviours for principle 1.

For example, for behaviour 1.2, 60% of agencies scored at the basic level, indicating a value and risk assessment may have been conducted for specific requirements and there is some understanding of how information supports business objectives.

Most state government agencies are operating at the benchmark for behaviour 1.4 only. This indicates that all new staff are provided with a basic induction to information management and comprehensive information management training is provided to information management staff.

57% of agencies scored basic for behaviour 1.5 suggesting there is some strategic direction for the management of information in the agency and there are some structures in place to support information management.

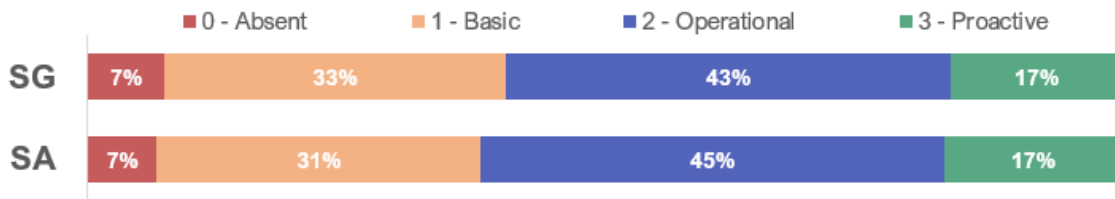
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# Principle 2

## Information assets are created and managed appropriate to risk

Agencies understand what information needs to be created and kept to support business objectives, meet compliance obligations and mitigate risk.

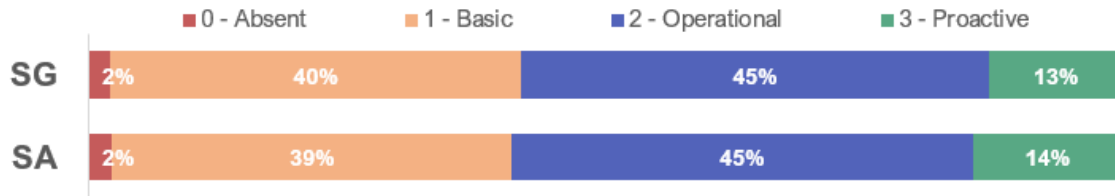
### Principle Result



State government agencies are operating just below the 2023-24 baseline for principle 2.

### Behaviours

**2.1** Analyse and document what information assets must be created and managed across the agency applicable to the regulatory environment in which they operate



**2.2** Develop and issue policies and procedures outlining how information assets will be managed

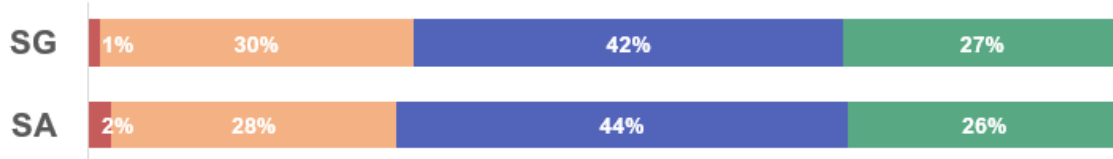


**2.3** Assess the risks of not creating or managing information assets where there is a legal, evidential, or business need

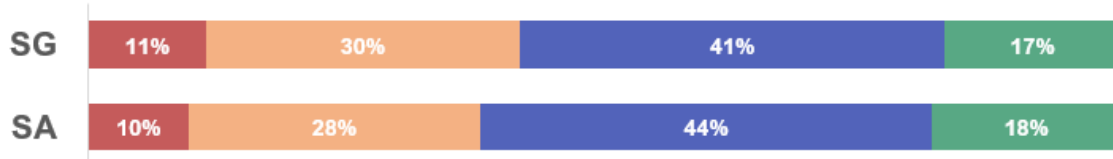


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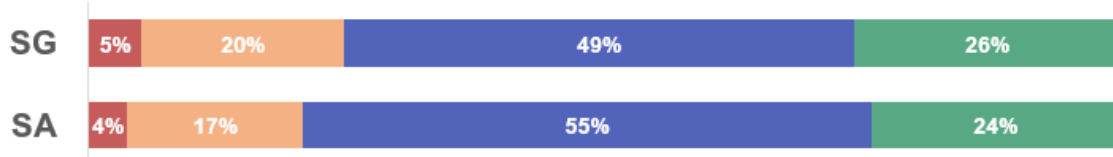
**2.4** Manage information assets digitally unless there are specific reasons for keeping hardcopy information assets



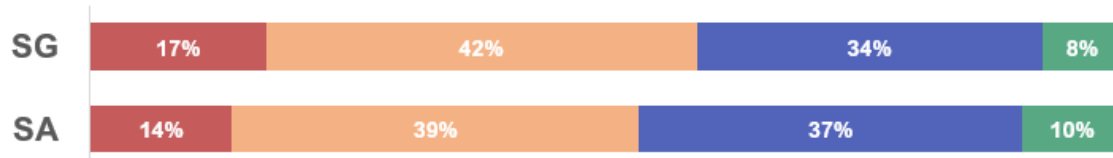
**2.5** Design and implement systems according to relevant standards so that they support the effective management and disposal of information assets



**2.6** Manage and store information assets appropriately, to ensure they remain accessible for as long as required



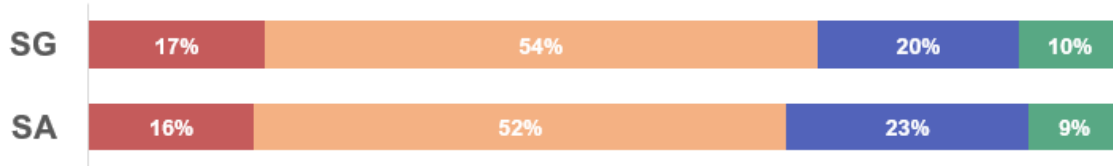
**2.7** Only destroy information assets when no longer required, and in accordance with current, approved disposal determinations issued by State Records



**2.8** Review and audit how well their information management policies and practices support their business



**2.9** Monitor, report and improve staff adherence to internal information management policies



## Principle 2 - Commentary

To achieve the benchmark for principle 2, agencies need to:

- » analyse and document requirements to create and manage information assets
- » have policies and procedures that outline the management of information assets
- » identify the risks from not creating or managing information assets
- » move away from hybrid digital and hardcopy information assets and mostly digitally manage information assets
- » design/configure critical systems (including an EDRMS) according to information management standards and business requirements
- » manage and store information appropriately
- » plan and regularly implement destruction of information when no longer needed for legal, business or other purpose
- » report consistently on staff adherence to information management policies.

State government agencies are operating at or slightly below the 2023-24 baseline for the behaviours under principle 2.

58% of agencies rated at or above the benchmark for behaviour 2.1 and 72% of agencies rated at or above the benchmark for behaviour 2.2. This suggests agencies have analysed and documented the requirements to create and manage information and policies and procedures exist outlining how information will be managed, and in some agencies they are regularly reviewed and updated.

75% of agencies rated at or above the benchmark for behaviour 2.6 indicating most (if not all) information is managed and stored appropriately and can be accessed and identified.

54% of agencies rated at the basic level for behaviour 2.9 indicating that the monitoring of staff adherence to internal management policies is reported on inconsistently, or in response to significant issues.

State government agencies are operating at or above the benchmark for most of the behaviours under principle 2, except for behaviours 2.7 and 2.9. Note, the 2023-24 baseline is also below the benchmark for behaviours 2.7 and 2.9.

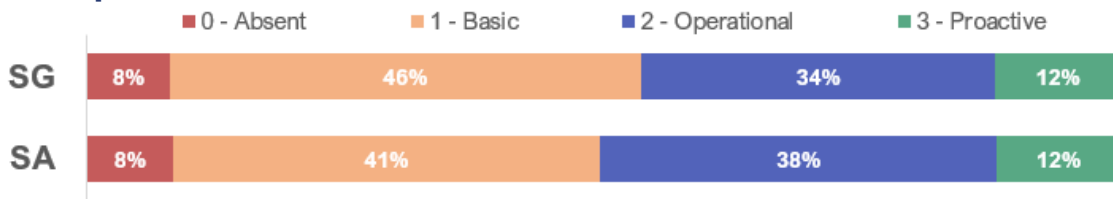
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# Principle 3

## Ownership of information assets is assigned

Responsibility for the governance of information assets is assigned appropriately in order to ensure information assets are managed for the best outcomes of the agency, its customers and broader community.

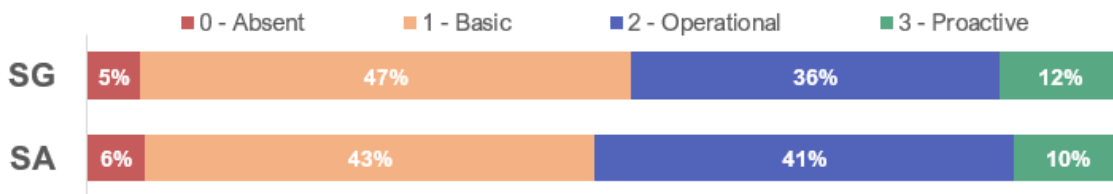
### Principle Result



State government agencies are operating below the 2023-24 baseline for principle 3.

### Behaviours

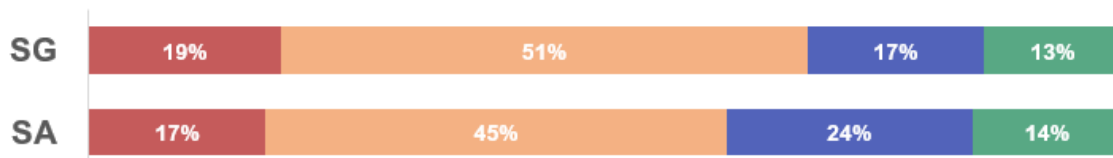
#### 3.1 Ensure ownership of information assets are assigned



#### 3.2 Ensure that owners are aware of their responsibilities and accountabilities for managing the information assets



#### 3.3 Ensure responsibilities for information assets management are delegated appropriately, in writing



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**3.4** Ensure that roles and responsibilities relating to the ownership and management of information assets are clearly defined in policy or other internal documents.



**3.5** Ensure that ownership and accountability for information assets are managed consistently through a governance structure



**Principle 3 - Commentary**

To achieve the benchmark for principle 3, agencies need to:

- » assign owners to all information assets who are responsible for their management
- » formally delegate information management responsibilities in writing
- » formally document information roles and responsibilities in policies, position descriptions and governance documents
- » consistently implement accountability structures.

Under this principle, state government agencies are operating below or slightly below the 2023-24 baseline for all behaviours, except for behaviour 3.5.

51% of agencies rated at the basic level for behaviour 3.3 indicating there is limited delegation in writing of responsibilities for information owners, or information management responsibilities are delegated informally. 19% reported owners are not aware of or understand their responsibilities.

51% of agencies also rated at the basic level for behaviour 3.5 suggesting agencies have ownership for information defined but not implemented consistently through a governance structure.

Most state government agencies are operating at or above the benchmark for behaviours 3.2 and 3.4 and below the benchmark for behaviour 3.1.

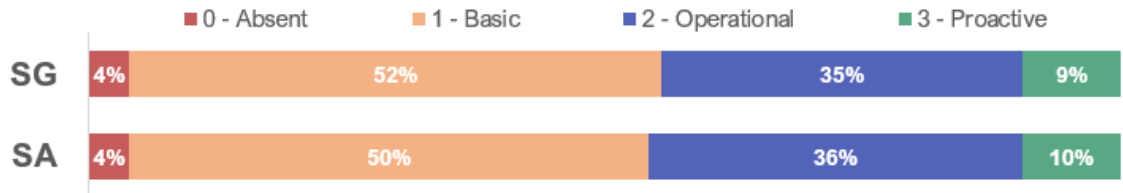
State government agencies align with the 2023-24 baseline (basic) for behaviours 3.2 and 3.5.

# Principle 4

## Information assets can be relied upon

Policies, practices and systems are implemented that ensure information assets can be relied upon as trusted and authentic evidence of decisions made and actions taken.

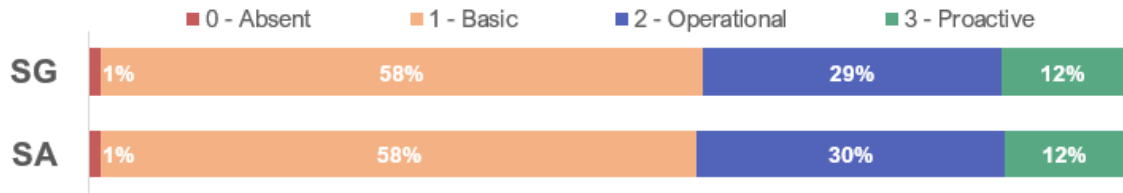
### Principle Result



State government agencies are operating just below the 2023-24 baseline for principle 4.

### Behaviours

**4.1** Create and keep full and accurate information assets appropriate to their business processes, regulatory environment and risk and accountability requirements



**4.2** Ensure information assets are saved into systems in a timely manner that meet relevant Standards and whole of government security Frameworks to ensure they are protected from compromise



**4.3** Record relevant details (metadata) in systems so that the business context of information can be readily understood



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**4.4** Use established and existing definitions for information assets where possible, so that there is consistency across the agency



**4.5** Implement practices and systems that ensure the quality and authenticity of information assets.



**Principle 4 - Commentary**

To achieve the benchmark for principle 4, agencies need to:

- » create and keep, full and accurate information assets with identified requirements and the value and risk assessment undertaken
- » save information assets (in a timely manner) into protected business or information systems that meet Standards, frameworks and metadata requirements.
- » ensure all business or information systems manage the minimum metadata requirements of the Minimum Recordkeeping Metadata Requirements Standard
- » use established and existing information definitions
- » implement practices and systems to ensure quality and authenticity of information assets.

For the behaviours under principle 4, state government agencies are operating at the 2023-24 baseline except for behaviour 4.5 which is below the baseline.

Most state government agencies operate below the behaviour benchmark for principle 4, except 4.2 which is split 50-50.

For behaviour 4.1, 58% of state government agencies scored at the basic level indicating those agencies are aware of the business activities that require records to be created and kept, with only some information complete and accurate. Survey comments suggest full and accurate records are created and kept but not all are assessed against a value and risk assessment.

55% of state government agencies scored at the basic level for behaviour 4.5 signifying agencies' practices and systems have been implemented to ensure the quality and authenticity of some information, but not inclusively.

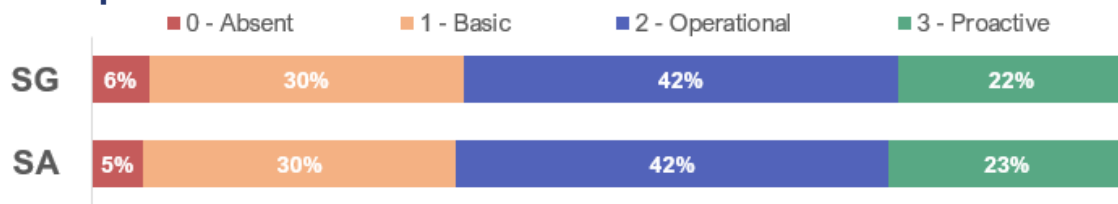
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# Principle 5

## Information assets are available as required

Information assets are accessible for as long as needed and are shared appropriately (subject to access, security and privacy rules) within a protected and trusted environment.

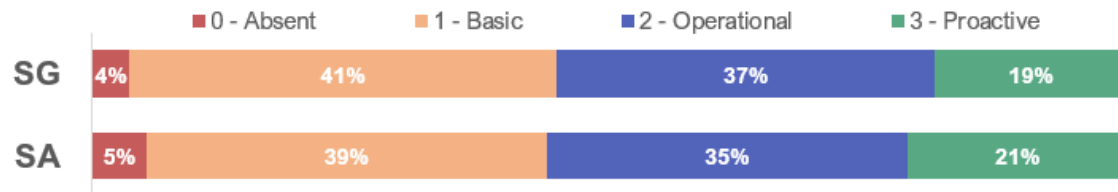
### Principle Result



State government agencies are operating at the 2023-24 baseline for principle 5.

### Behaviours

**5.1** Implement information security classifications and requirements that are applicable to the sensitivity of the information in accordance with whole of government policies and administrative directions



**5.2** Review access restrictions on information and amend as sensitivity alters



**5.3** Migrate digital information assets as systems, software and media are upgraded or become obsolete to ensure it remains accessible for as long as it is required

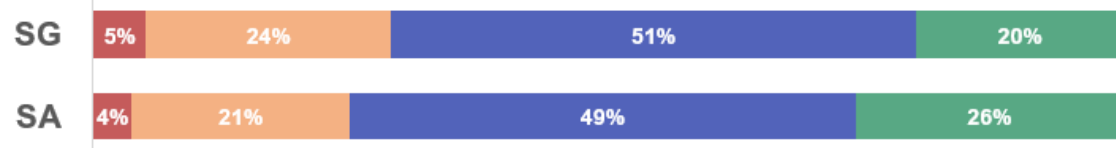


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**5.4** Identify requirements for retaining information assets not covered by general disposal schedules, and seek a disposal determination for these information assets



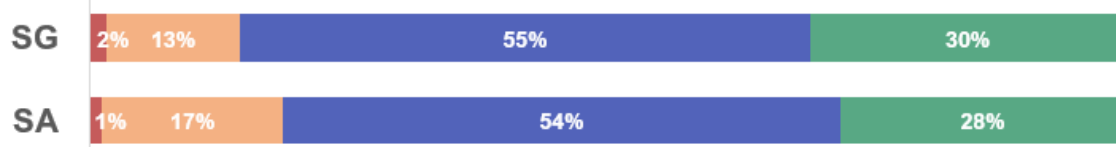
**5.5** Ensure that no information asset is destroyed unless in accordance with current, approved disposal determinations



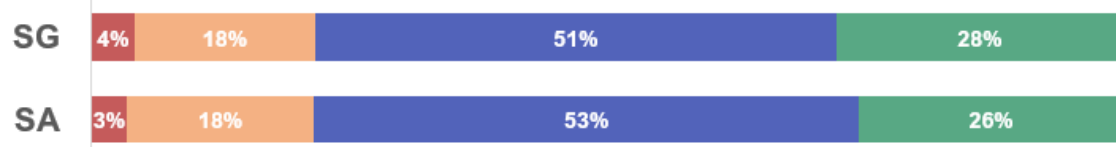
**5.6** Collect, use, disclose, store, and dispose of personal information in accordance with the information privacy principles



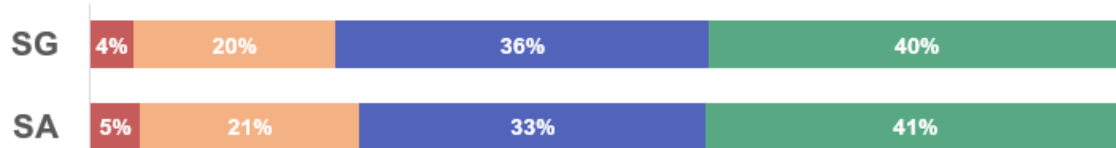
**5.7** Share information across government as appropriate or where authorised



**5.8** Proactively publish information in line with government policy



**5.9** Not sell, abandon or donate information assets to external parties where such action would result in the agency not having access to that information and without authorisation in the form of a disposal determination.



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## Principle 5 - Commentary

To achieve the benchmark for principle 5, agencies need to:

- » ensure information security classifications are appropriately applied to all information assets
- » regularly review and update access restrictions
- » plan migration of information when systems are upgraded or before they become obsolete
- » have a records disposal schedule (approved by State Records Council) that covers all information assets
- » destroy information assets through authorised and current approved disposal determinations
- » collect, use, disclose, store and dispose of personal information in accordance with the Information Privacy Principles Instruction
- » undertake privacy impact assessments for projects and initiatives
- » share information in line with information sharing protocols
- » proactively publish information in line with policy or legislation, or as requested
- » sell or donate information through an authorised process.

State government agencies responses varied for the principle 5 behaviours. State government agencies were operating:

- » above the 2023-24 baseline for behaviours 5.3 and 5.7
- » at the 2023-24 baseline for behaviours 5.1, 5.4, 5.6, 5.8 and 5.9
- » below the 2023-24 baseline for behaviours 5.2, and 5.5

50% of agencies rated at the basic level for behaviour 5.2 indicating access restrictions are not regularly reviewed, but some are reviewed in response to specific triggers.

72% of agencies rated at or above the benchmark level for behaviour 5.3 which suggests planned migration occurs for these agencies when systems are upgraded or before they become obsolete.

During the survey analysis it was identified behaviour 5.4 is not applicable to the information management arrangements of minister's offices and as such this behaviour has been removed from their submissions. Records created and managed by minister's offices are almost exclusively covered by a general disposal schedule and therefore do not need to seek additional schedule coverage. The Tool will be amended for this behaviour.

For behaviour 5.7, 55% of agencies rated at the benchmark level and 30% of agencies at the proactive level, indicating information is shared in line with information sharing protocols.

For behaviour 5.8, collectively 79% of agencies rated at the benchmark or above signifying information is proactively published in line with policy or legislation, or as requested.

40% of agencies rated at the proactive level and 36% at the benchmark for behaviour 5.9 which indicates agencies are aware the sale or donation of information should be authorised (through a transfer of custody schedule). In addition, agency controls are in place to prevent abandonment.

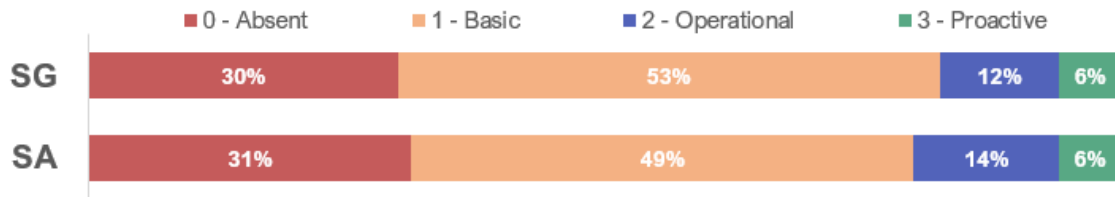
Agencies were below the benchmark for behaviours 5.1, 5.2, 5.3 and 5.6.

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# Information Management Program and Plan

An Information Management Plan provides practical direction for implementing a Program and is a core element of an agency’s Information Management Program. It should be developed to support the agency’s broader strategic and corporate goals and objectives.

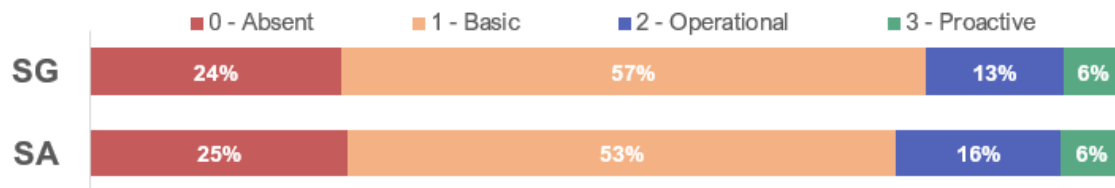
## Result



State government agencies are operating at the 2023-24 baseline for the Program and Plan.

## Behaviours

### iii.1 An information Management Plan exists



### iii.2 Progress against the Information Management Plan is assessed and reported on



## Principle iii - Commentary

To achieve the benchmark for principle iii, agencies need to:

- » have an information management plan that encompasses all information assets and business systems
- » monitor and assess progress against the plan.

The majority of agencies scored either an absent or a basic for these behaviours. As this requirement is new to the Standard, all government organisations surveyed are well below the benchmark.

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57% of state government agencies scored basic for behaviour iii.1 indicating an informal information management plan exists with some information management actions defined and implemented.

For the behaviour iii.2, 48% of agencies scored at the basic level indicating there is progress against the plan's actions in response to issues arising. Reporting can be informal within the affected area.

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## Attachment 1: state government – survey results

This attachment provides a summary of the most common maturity ratings (also known as the Mode) reported by state government agencies. It also identifies the variance against the benchmark.

Principles and Behaviours		Benchmark (Standard)	SA Mode 2024	SG Mode 2024	Variance (Benchmark)
<b>Principle 1 - the value of information is known</b>					
1.1	Identify and document what their information assets are, where they are stored and who is responsible for their management	2	1	1	↓ 1
1.2	Understand and document how their information assets support their business objectives and operations or their compliance obligations	2	1	1	↓ 1
1.3	Ensure information assets are linked to business functions and activities	2	1	1	↓ 1
1.4	Induct and train staff in the value of information and in their information management responsibilities	2	2	2	-
1.5	Foster an organisational culture that values and manages information as an asset and supports business objectives and activities	2	1	1	↓ 1
<b>Principle 2 – information assets are created and managed appropriate to risk</b>					
2.1	Analyse and document what information assets must be created and managed across the agency applicable to the regulatory environment in which they operate	2	2	2	-
2.2	Develop and issue policies and procedures outlining how information assets will be managed	2	2	2	-
2.3	Assess the risks of not creating or managing information assets where there is a legal, evidential, or business need	2	2	2	-
2.4	Manage information assets digitally unless there are specific reasons for keeping hardcopy information assets	2	2	2	-
2.5	Design and implement systems according to relevant standards so that they support the effective management and disposal of information assets	2	2	2	-
2.6	Manage and store information assets appropriately, to ensure they remain accessible for as long as required	2	2	2	-
2.7	Only destroy information assets when no longer required, and in accordance with current, approved disposal determinations issued by State Records	2	1	1	↓ 1

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Principles and Behaviours		Benchmark (Standard)	SA Mode 2024	SG Mode 2024	Variance (Benchmark)
2.8	Review and audit how well their information management policies and practices support their business	2	2	2	-
2.9	Monitor, report and improve staff adherence to internal information management policies	2	1	1	↓ 1
<b>Principle 3 – ownership of information assets is assigned</b>					
3.1	Ensure ownership of information assets are assigned	2	1	1	↓ 1
3.2	Ensure that owners are aware of their responsibilities and accountabilities for managing the information assets	2	2	2	-
3.3	Ensure responsibilities for information assets management are delegated appropriately, in writing	2	1	1	↓ 1
3.4	Ensure that roles and responsibilities relating to the ownership and management of information assets are clearly defined in policy or other internal documents.	2	2	2	-
3.5	Ensure that ownership and accountability for information assets are managed consistently through a governance structure	2	1	1	↓ 1
<b>Principle 4 – information assets can be relied upon</b>					
4.1	Create and keep full and accurate information assets appropriate to their business processes, regulatory environment and risk and accountability requirements	2	1	1	↓ 1
4.2	Ensure information assets are saved into systems in a timely manner that meet relevant Standards and whole of government security Frameworks to ensure they are protected from compromise	2	1	1	↓ 1
4.3	Record relevant details (metadata) in systems so that the business context of information can be readily understood	2	1	1	↓ 1
4.4	Use established and existing definitions for information assets where possible, so that there is consistency across the agency	2	1	1	↓ 1
4.5	Implement practices and systems that ensure the quality and authenticity of information assets.	2	1	1	↓ 1

**Principle 5 – information assets are available as required**

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Principles and Behaviours		Benchmark (Standard)	SA Mode 2024	SG Mode 2024	Variance (Benchmark)
5.1	Implement information security classifications and requirements that are applicable to the sensitivity of the information in accordance with whole of government policies and administrative directions	2	1	1	↓ 1
5.2	Review access restrictions on information and amend as sensitivity alters	2	1	1	↓ 1
5.3	Migrate digital information assets as systems, software and media are upgraded or become obsolete to ensure it remains accessible for as long as it is required	2	2	1	↓ 1
5.4	Identify requirements for retaining information assets not covered by general disposal schedules, and seek a disposal determination for these information assets	2	2	2	-
5.5	Ensure that no information asset is destroyed unless in accordance with current, approved disposal determinations	2	2	2	-
5.6	Collect, use, disclose, store, and dispose of personal information in accordance with the information privacy principles	2	1	1	↓ 1
5.7	Share information across government as appropriate or where authorised	2	2	2	-
5.8	Proactively publish information in line with government policy	2	2	2	-
5.9	Not sell, abandon or donate information assets to external parties where such action would result in the agency not having access to that information and without authorisation in the form of a disposal determination.	2	3	3	↑ 1
<b>Program and Plan</b>					
iii.1	An information management plan exists	2	1	1	↓ 1
iii.2	Progress against the information management plan is assessed and reported on	2	1	1	↓ 1

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Need further assistance?

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