Transparency

An information governance program shall be constructed so that the organization can demonstrate accountability. Transparency is an essential part of the information life cycle and is emphasized in training. The organization monitors and documents performance on a regular basis. Business records and information management documents are monitored and updated periodically.

Integrity

The organization has defined a formal process to ensure its goals for information management are met, and it has an established process to ensure its goals for integrity are routinely reviewed and revised.

Protection

There is a clear definition of roles and responsibilities, and there is a formal escalation process for introducing new record and information management policies and procedures. Employees are trained in roles and responsibilities. The roles and responsibilities of information management are understood and are communicated to all levels of the organization.

Compliance

The organization has a formally defined process for capturing and protecting information, in accordance with information governance structures and policies. The organization is aware and is integrating the demonstrating the information governance policies. The organization has defined specific goals related to compliance. The organization’s senior management board gives emphasis to the information governance program.

Accountability

A senior executive (or person of comparable authority) shall oversee the information governance program and delegate authority to individual employees. The information management program shall be constructed to require protection.

No senior executive (or person of comparable authority) is responsible for records or information. The records manager role is not a critical role within the organization and is generally assigned to an administrative or clerical-type employee.

No senior executive (or person of comparable authority) is responsible for records or information. The records manager role is not in the line of business or in the chain of custody. The records manager role is generally assigned to an administrative or clerical-type employee.

The records manager role is responsible for the records management program or an organization (e.g., legal). The records management program is an integral part of the operation of the existing records management program, which is concerned primarily with protecting and controlling records.

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The organization’s initial goals related to transparency have been met. It has an established process to ensure its goals for transparency are routinely reviewed and revised.

The organization has established processes and procedures for introducing new record and information management policies and procedures. The roles and responsibilities of information management are understood and are communicated to all levels of the organization.

The organization has appointed a professional, who also delegates authority to individual employees. The information management program and its governing documents are adequately defined and published.

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The organization’s senior management board gives emphasis to the information governance program.
Availability

An organization shall maintain records and information in a manner that ensures timely, efficient, and accurate retrieval of needed information.

Records and other information that cannot readily available when needed, shall not be retained after there is no longer need for it to be produced.

In the absence of retention schedules and policies, employees either keep everything or dispose of records and information based on their own business needs, rather than organizational needs.

Records and information are routinely reviewed and revised.

The records and information retention mechanisms have been standardized across the organization.

There is a standard for where and how records and information are stored, protected, and made available.

In those areas with retrieval mechanisms, it is regularly reviewed for records, duplicates, and non-relevant content.

There are clear guidelines and information regarding the handling of sensitive business information.

Records and information retention mechanisms are consistent and contributed to by the governing body.

RetentionPolicy procedures are routinely reviewed and revised.

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Most of the time, it is easy to determine the authenticity and final version of any information.

Legal discovery and information requests are well-defined and procedures are in place to facilitate the consistent implementation of the hold and lift request procedures.

The retention schedule and information retention mechanisms are not well known around the organization.

The organization has defined specific goals related to availability of records and information.

There is no current, documented records retention schedule or policy.

A retention schedule and policies are available, but they do not encompass all records and information. A formal review process is not in place.

In the absence of retention schedules and policies, employees either keep everything or dispose of records and information based on their own business needs, rather than organizational needs.

Retention schedules and policies are not regularly updated or maintained.

The organization has instituted a policy for records and information retention. A formal retention schedule is in place. Rules and regulations are consistently applied throughout the organization.

The organization’s employees are knowledgeable about the retention policy, and they understand their personal responsibilities for records and information.

There is an organized training and education program to ensure the goals for retention are routinely reviewed and revised.

Retention is an important element in the same management and governing body level (e.g., board of directors) provide support to ensure the goals for retention are routinely reviewed and revised.

The organization’s initial goals related to retention have been met, and it has an established process to ensure its goals for retention are routinely reviewed and revised.

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Disposition

An organization shall provide secure and appropriate disposition of records and information that are no longer required to be maintained by applicable laws and the organization’s policies.

There is no documentation of the processes. There are varying procedures used to provide for the transfer or disposition of records and information.

There is a realization of the importance of suspending disposition in a consistent manner, when required. There may not be an inventory that identify and classify records and information.

Preliminary guidelines for disposition are established.

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There are consistent specific goals related to disposition.

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The organization has defined specific goals related to disposition.

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