

# Records Program Maturity Model

Based on the Progression through  
Information Nation: Seven Keys to Information Management Compliance

Maturity	Time				
	Absent	Basic 1-2 Years	Intermediate 2-3 Years	Advanced 3-4 Years	Sophisticated 5+ Years
Seven Keys					
<b>Policies &amp; Procedures</b>	Ad hoc, at best	Development of policies & procedures (paper based directives)	Approval & integration of policies & procedures (move toward E-policies)	Complete integration of enterprise policies & procedures	Consistently applied enterprise-wide policies & procedures with continuous improvements being made
<b>Executive Responsibility</b>	Little to no understanding of RIM importance to the organization	Understand RIM issues, but not a priority	Understand & support RIM issues	Endorse & properly fund RIM program (head-counts for RIM & employees)	Understand that RIM is core function of business and a top priority
<b>Delegation</b>	No delegation	Informal creation of RIM supportive organizational structure	Formalizing RIM supportive organizational structure, including Executive Information Management Council	Establishing broad & deep organizational committees with stakeholders; Council working with Legal, IT, and business	Clearly mapped out and articulated organizational structure for RIM program, including the Council committees, managers, and coordinators with employees evaluated on their roles.
<b>Communication &amp; Training</b>	Ad hoc, at best	Minimal development of initial training on (select) policies & procedures	Improvements to make training clear, concise, engaging ongoing with RIM training for new hires	Constant communication & training on RIM program	Continuous updating of training & adjustment to deal with major events and new technologies
<b>Auditing &amp; Monitoring</b>	No auditing	Plans to audit/monitor designed	Implementation of initial audit/monitor program	Formal, established audit/monitor program	Consistently applied enterprise-wide audit/monitor program
<b>Enforcement</b>	No enforcement	Ad hoc enforcement	Development of enforcement practices	Formal, established enforcement practices	Consistently applied enterprise-wide enforcement program
<b>Improvement</b>	No improvement	Development of program	Informal program improvements	Formal program improvements	Continuous improvements

