

INFORMATION MANAGEMENT MATURITY MODEL (IM3)

Instructions for Use

The *Information Management Maturity Model* (IM3) has been developed to support the implementation of a *Records Management Plan* (RMP). The IM3 provides a checklist of activities to address 12 compliance measures required of government organisations. The checklist provides options to describe how well your organisation carries out each activity.

You are NOT required to submit the IM3 to the State Records Office. The data from the completed IM3 will be automatically extracted and reported in an Executive Summary within the RMP.

The IM3 should be used in conjunction with the following:

- *State Records Act 2000* - available online via the Western Australian Legislation website or for purchase from the State Law Publisher.
- State Records Commission Principles and Standards – available on the SRO website
- *Records Management Plan* Template – available on the SRO website

How to Use the IM3

Initial completion

1. Complete the check list to automatically generate an overall maturity rating against each compliance measure. ***Your maturity rating will be automatically extracted and reported in an Executive Summary.***
2. Understand your maturity rating. It will help you identify any areas for improvement for your organisation. Name those areas for improvement under each compliance measure in the field provided. ***Each area for improvement will be automatically extracted and reported in an Executive Summary.***
3. A free text field is also provided should you wish to include further information about areas for improvement. You are NOT required to attach documents or excerpts of documents to the IM3 but for your own purposes you may wish to do so. The State Records Office (SRO) may request access to documents as part of a regular program of compliance monitoring on behalf of the State Records Commission (SRC).

Two-year review

4. Two years after approval of your RMP use your IM3 to indicate if you are making progress towards addressing the areas you have identified for improvement and indicate a Yes/No response in the “Two Year Review” field. ***Your response will be automatically extracted and reported in an Executive Summary.***
5. A free text field is also provided should you wish to document further information about your progress towards addressing identified areas for improvement. You are NOT required to attach documents or excerpts of documents to the IM3 but for your own purposes you may wish to do so. The SRO may request access to documents as part of a regular program of compliance monitoring on behalf of the SRC.
6. The information you provide in your IM3 will be automatically extracted and reported in an Executive Summary within the RMP.

For enquiries contact the State Records Office: Phone: (08) 9427 3661 Email: sro@sro.wa.gov.au

Information Management Maturity Model (IM3)

Principle One: Creation and Management

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|---|--|--|--|
| 1.1 Records of information created, managed and kept in accordance with legislative and business requirements | | | |
| <i>Clear business functions are well documented</i> | | | |
| <input type="checkbox"/> There is no clear identification of what records of information need to be captured | <input type="checkbox"/> There are some guidelines to identify business functions and the records of information to be captured within individual business units | <input type="checkbox"/> Processes to identify business functions and the records of information to be captured are in place across the organisation | <input type="checkbox"/> The organisation has a clear and comprehensive understanding of its business functions and the records of information to be captured |
| <i>Everyday business practice routinely incorporates IM policies and procedures</i> | | | |
| <input type="checkbox"/> No policies and procedures have been adopted for IM | <input type="checkbox"/> Some policies and procedures for IM are applied in an ad-hoc manner | <input type="checkbox"/> IM policies and procedures are mandated and are being incorporated into business practices | <input type="checkbox"/> IM policies and procedures are routinely updated and incorporated into all relevant business practices |
| <i>Business Information System (BIS) purchase and design considers IM requirements</i> | | | |
| <input type="checkbox"/> The functional requirements of IM are never considered when systems are purchased / designed | <input type="checkbox"/> The functional requirements of IM are occasionally considered when systems are purchased / designed | <input type="checkbox"/> The functional requirements of IM are often considered when systems are purchased / designed | <input type="checkbox"/> The functional requirements of IM are always considered when systems are purchased / designed |
| <i>All BIS (including legacy systems) and the information they contain are controlled</i> | | | |
| <input type="checkbox"/> IM is unaware of what systems business units have / are purchasing | <input type="checkbox"/> IM has identified few systems within their organisation and what records of information they contain | <input type="checkbox"/> IM has identified most systems within their organisation and what records of information they contain | <input type="checkbox"/> Senior management controls an Information Asset Register or equivalent which identifies all systems and the records of information they contain |

Maturity Rating and Improvement Plan - Compliance Measure 1.1

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans - Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

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|---------------------|----------------------|-----------------------|----------------------------|
| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|---------------------|----------------------|-----------------------|----------------------------|

1.2 Accountability and approvals for implementing and reviewing Records Management Plans

An accountable executive sets the strategic direction for IM

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|---|---|---|---|
| <input type="checkbox"/> There is no strategic direction for IM within the organisation | <input type="checkbox"/> There is no strategic direction for IM within the organisation, IM is carried out at the operational level | <input type="checkbox"/> The strategic direction for IM is coordinated across the organisation by middle management | <input type="checkbox"/> The strategic direction for IM within the organisation is an integral part of strategic planning, coordinated by the executive |
|---|---|---|---|

Senior management implements the strategic direction for IM

| | | | |
|---|--|---|---|
| <input type="checkbox"/> Senior management has little understanding of the importance of IM | <input type="checkbox"/> The need for senior management to deliver IM has been identified but is rarely acted upon | <input type="checkbox"/> IM is recognised as important for the organisation but is not implemented consistently by most senior management | <input type="checkbox"/> Senior management is fully aware of IM requirements and actively delivers IM within the organisation |
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Information Management is reviewed and aligned with business needs

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| <input type="checkbox"/> There is little understanding of the requirement to manage records of information | <input type="checkbox"/> Records of information are managed at a business unit or project level, without any over-arching planning to implement an RMP / Recordkeeping Plan | <input type="checkbox"/> An RMP / Recordkeeping Plan has been adopted and applied organisation-wide but does not always align with the strategic direction | <input type="checkbox"/> The organisation regularly updates its RMP / Recordkeeping Plan and implementation plans to ensure alignment with strategic plans and maximise benefit to the organisation |
|--|---|--|---|

Maturity Rating and Improvement Plan - Compliance Measure 1.2

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|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|--|---|--|--|
| 1.3 All employees, including contractors and third-parties providers engaged in outsourcing arrangements, comply with the Records Management Plan | | | |
| <i>New staff are trained in IM</i> | | | |
| <input type="checkbox"/> No inductions are provided to new staff | <input type="checkbox"/> IM training does not form part of the organisation’s induction process | <input type="checkbox"/> Some new staff receive IM training as part of the organisation’s induction process | <input type="checkbox"/> All new staff receive IM training as part of the organisation’s induction process |
| <i>Staff create and capture records of business information</i> | | | |
| <input type="checkbox"/> Staff within the organisation rarely capture records of business information | <input type="checkbox"/> Most staff believe IM is an information management role and only occasionally capture records of business information | <input type="checkbox"/> Most staff within the organisation are capturing records of business information | <input type="checkbox"/> All staff within the organisation routinely create and capture records of business information |
| <i>IM training meets staff needs</i> | | | |
| <input type="checkbox"/> IM is not considered when developing strategic policy / planning | <input type="checkbox"/> IM is primarily viewed as a compliance issue that is the responsibility of the IM team | <input type="checkbox"/> IM is actively promoted by senior management as being everyone’s responsibility within the organisation however not everyone is compliant | <input type="checkbox"/> IM is actively promoted by senior management as being everyone’s responsibility within the organisation and compliance levels are high |
| <i>Contracts include IM provisions</i> | | | |
| <input type="checkbox"/> IM is not included in contracts | <input type="checkbox"/> IM clauses to protect the intellectual property, custody, preservation and provision of access to records of information are rarely included in contracts with third party providers | <input type="checkbox"/> Most contracts include IM clauses to protect the intellectual property, custody, preservation and provision of access to records of information | <input type="checkbox"/> All contracts include clauses to protect the intellectual property, custody, preservation and provision of access to records of information |

Maturity Rating and Improvement Plan - Compliance Measure 1.3

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|---|--|---|--|
| 1.4 Records of information are protected, preserved and stored on appropriate media to ensure ongoing usability, in environmental conditions appropriate to their format | | | |
| <i>For as long as records of information are held they can be used</i> | | | |
| <input type="checkbox"/> No strategies are in place for the ongoing usability of records of information | <input type="checkbox"/> Some strategies for the ongoing usability of records of information have been developed but are not implemented in all business areas | <input type="checkbox"/> Strategies for the ongoing usability of records of information have been developed but information media is rarely tested or refreshed | <input type="checkbox"/> Strategies for the ongoing usability of records of information have been developed and implemented. Media used for the storage of records of information is regularly tested and or refreshed |
| <i>Storage conditions are fit for purpose</i> | | | |
| <input type="checkbox"/> Storage is primarily an ad hoc arrangement with few controls | <input type="checkbox"/> The organisation is aware that records of information need to be stored appropriately but do not always comply with the requirements | <input type="checkbox"/> Storage conditions are often monitored but corrective action is not always taken | <input type="checkbox"/> Storage conditions are regularly monitored and corrective action taken as required |

Maturity Rating and Improvement Plan - Compliance Measure 1.4

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|--|---|--|--|
| 1.5 Migrated, converted or reproduced records of information are as authentic, reliable and usable as the original source records from which they are created | | | |
| <i>Information is reproduced well</i> | | | |
| <input type="checkbox"/> There are no organisation wide processes and procedures for the reproduction, conversion and migration of records of information | <input type="checkbox"/> Business units have some guides for the reproduction, conversion and migration of records of information but not everyone follows them | <input type="checkbox"/> There are organisation wide processes and procedures for the reproduction, conversion and migration of records of information but not everyone follows them | <input type="checkbox"/> There are organisation wide processes and procedures for the reproduction, conversion and migration of records of information which are routinely followed |
| <i>Quality Assurance methods certify the integrity of reproductions</i> | | | |
| <input type="checkbox"/> The organisation has no processes in place and relies on staff to advise IM when records of information have not been scanned properly | <input type="checkbox"/> The organisation has processes in place but do not check the reproductions for authenticity and compliance with the processes | <input type="checkbox"/> The organisation has processes in place but do not always check that the reproductions have the same integrity as the source record of information | <input type="checkbox"/> The organisation can prove from the processes in place that the reproductions can be certified as having the same integrity as the source record of information |

Maturity Rating and Improvement Plan - Compliance Measure 1.5

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|---|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

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| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
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1.6 Effective security and authentication controls exist to keep records of information safe from intentional or unintentional damage and unauthorised access, tampering or alteration

User access permissions are applied when required

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|--|---|---|--|
| <input type="checkbox"/> No consistent controls for access to records of information, with many staff able to access confidential and/or sensitive records | <input type="checkbox"/> Policies or business rules governing system security and user access permissions are in place but are inconsistently applied | <input type="checkbox"/> Systems for management of hard copy and digital records of information usually incorporate user access permissions | <input type="checkbox"/> Systems for the management of hard copy and digital records of information always incorporate user access permissions |
|--|---|---|--|

Access restrictions are routinely reviewed

| | | | |
|--|--|--|---|
| <input type="checkbox"/> Access restrictions to sensitive business records of information have not been considered | <input type="checkbox"/> Access restrictions are in place but inconsistently applied and rarely reviewed | <input type="checkbox"/> Access restrictions are often reviewed and some modifications made when necessary | <input type="checkbox"/> Access restrictions are routinely reviewed and modifications made when necessary |
|--|--|--|---|

All systems that manage records of information are fully auditable

| | | | |
|--|---|---|--|
| <input type="checkbox"/> No audit function of systems is available/has been considered | <input type="checkbox"/> Only a few systems are auditable to ensure the ongoing integrity of records of information | <input type="checkbox"/> Most systems are auditable to ensure the ongoing integrity of records of information | <input type="checkbox"/> All systems are auditable to ensure the ongoing integrity of records of information |
|--|---|---|--|

All records of information within business information systems (BIS) are recoverable in case of disaster

| | | | |
|--|--|--|---|
| <input type="checkbox"/> It is unknown if BIS content is recoverable | <input type="checkbox"/> Some BIS content is recoverable when required | <input type="checkbox"/> Most BIS content is recoverable when required | <input type="checkbox"/> All BIS content is recoverable when required |
|--|--|--|---|

A Disaster Management Plan (DMP) is in place

| | | | |
|---|---|---|---|
| <input type="checkbox"/> The organisation does not have a DMP which includes some aspects of IM | <input type="checkbox"/> The organisation has a DMP which has never/rarely been updated and/or tested | <input type="checkbox"/> The organisation has a current DMP which is updated and/or tested occasionally | <input type="checkbox"/> The organisation has a current DMP which is updated and/or tested on a regular basis |
|---|---|---|---|

Vital records of information are identified and protected

| | | | |
|--|---|--|--|
| <input type="checkbox"/> Vital records of information have not been identified | <input type="checkbox"/> Some vital records of information are identified but protective measures | <input type="checkbox"/> Vital records of information are identified but not all are protected | <input type="checkbox"/> Vital records of information are identified and protective measures |
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| | | | |
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| | have not been identified and/or implemented | | have been implemented in case of a disaster |
|--|---|--|---|

Maturity Rating and Improvement Plan - Compliance Measure 1.6

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|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

Principle Two: Retention and Disposal

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|--|---|---|---|
| 2.1 Minimum periods outlined in the appropriate retention and disposal authorities and any applicable legislation | | | |
| <i>An approved Retention and Disposal Authority is in place</i> | | | |
| <input type="checkbox"/> The organisation's retention and disposal authority(ies) cover few of the organisation's records of information | <input type="checkbox"/> The organisation's retention and disposal authority(ies) cover some of the organisation's records of information | <input type="checkbox"/> The organisation's retention and disposal authority(ies) cover most of the organisation's records of information | <input type="checkbox"/> The organisation's retention and disposal authority(ies) cover all the organisation's records of information |

Maturity Rating and Improvement Plan - Compliance Measure 2.1

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

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| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|---------------------|----------------------|-----------------------|----------------------------|

2.2 Records of information which are State archives must be identified through approved retention and disposal authorities for permanent retention

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|--|--|--|---|
| <i>All State archives are identified</i> | | | |
| <input type="checkbox"/> State archives have not been identified | <input type="checkbox"/> Some records of information have been assessed to identify State archives requiring permanent retention | <input type="checkbox"/> Most records of information have been assessed to identify State archives requiring permanent retention | <input type="checkbox"/> All records of information have been assessed to identify State archives requiring permanent retention |
| <i>All State archives to be retained are listed</i> | | | |
| <input type="checkbox"/> State archives have not been identified | <input type="checkbox"/> The organisation has identified few State archives and not considered if most records of information will be retained permanently | <input type="checkbox"/> The organisation has identified most State archives but has not listed those that will be retained | <input type="checkbox"/> The organisation has listed all State archives that will be retained permanently OR has identified that none are to be retained permanently |
| <i>State archives are properly, stored and managed</i> | | | |
| <input type="checkbox"/> State archives have not been identified | <input type="checkbox"/> Not all State archives have been identified and of those many are not being stored in accordance with SRO specifications | <input type="checkbox"/> Most State archives are being stored in accordance with SRO specifications | <input type="checkbox"/> State archives are proactively managed using SRO specifications to ensure their protection |

Maturity Rating and Improvement Plan - Compliance Measure 2.2

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

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|---------------------|----------------------|-----------------------|----------------------------|
| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
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2.3 Legal destruction of records of information which are not State archives, and are no longer required for business purposes, is regularly conducted in accordance with appropriate disposal authorities

Legal destruction of records of information is authorised

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|---|--|---|---|
| <input type="checkbox"/> Disposal of records of information is not undertaken within the organisation | <input type="checkbox"/> There are no documented processes for the disposal of records of information however some signoff is obtained | <input type="checkbox"/> Authorised processes are often used for the disposal of records of information | <input type="checkbox"/> Authorised processes are routinely used for the disposal of records of information |
|---|--|---|---|

Records of information are disposed of on a regular basis

| | | | |
|---|--|--|---|
| <input type="checkbox"/> Disposal of records of information is not undertaken within the organisation | <input type="checkbox"/> Disposal of records of information is conducted on an ad hoc basis usually driven by office relocation or lack of storage space | <input type="checkbox"/> Disposal of records of information is conducted often but generally only for hard copy information OR Information disposal is conducted occasionally | <input type="checkbox"/> Disposal of records of information is conducted regularly for both hard copy and digital information |
|---|--|--|---|

Legal destruction of records of information is documented

| | | | |
|---|--|--|--|
| <input type="checkbox"/> Disposal of records of information is not undertaken within the organisation | <input type="checkbox"/> Disposal of records of information is not often documented within the organisation and/or no information of disposal are kept | <input type="checkbox"/> Disposal of records of information is often documented and records of disposal are kept | <input type="checkbox"/> Disposal of records of information is routinely documented and records of disposal are kept |
|---|--|--|--|

Maturity Rating and Improvement Plan - Compliance Measure 2.3

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

Principle Three: Discoverability and Access

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|--|---|---|---|
| 3.1 Appropriate controls are in place to identify and name all government records of information | | | |
| <i>A structured Classification or Naming Scheme system is in place</i> | | | |
| <input type="checkbox"/> No structured naming system is in place for records of information OR The naming system is out of date | <input type="checkbox"/> Partial or out of date naming system exists but is not used consistently | <input type="checkbox"/> A structured naming system exists but is not used consistently OR Procedures have been developed to implement a naming system | <input type="checkbox"/> A structured naming system linked to other IM processes (e.g. security and access) is in place within the organisation |
| <i>All staff routinely name information correctly</i> | | | |
| <input type="checkbox"/> There are no guidelines for naming records of information within the organisation. Staff make their own naming choices | <input type="checkbox"/> There is some consistency for naming records of information within business units but no organisational wide guidelines in use | <input type="checkbox"/> Most staff use the relevant guides for naming records of information when capturing information to aid in accessibility | <input type="checkbox"/> All staff use the relevant guides for naming records of information when capturing information to aid in accessibility |
| <i>Records of information are discoverable</i> | | | |
| <input type="checkbox"/> The organisation has not considered the discoverability of records of information | <input type="checkbox"/> The organisation rarely reviews the processes that enable discoverability of records of information | <input type="checkbox"/> The organisation reviews the processes that enable discoverability of records of information but does not always make the required changes | <input type="checkbox"/> The organisation routinely reviews processes that enable discoverability of records of information and makes changes as required |

Maturity Rating and Improvement Plan - Compliance Measure 3.1

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|--|--|---|---|
| 3.2 All records of information, including those of contractors and outsourced arrangements, are accessible when required | | | |
| <i>Business information is captured in an appropriate business information system (BIS)</i> | | | |
| <input type="checkbox"/> There is a large volume of unstructured records of information left on network drives which is not accessible | <input type="checkbox"/> Some records of information are left on unstructured network drives and is not easily accessible | <input type="checkbox"/> Most records of information are captured with a BIS and is easily accessible | <input type="checkbox"/> All records of information are captured within a BIS and is easily accessible |
| <i>Contracts with third party providers include IM clauses</i> | | | |
| <input type="checkbox"/> Contracts with third party providers do not include IM | <input type="checkbox"/> Contracts for functions performed by third party providers do not include adequate provision for the organisation to have access to all relevant records of information | <input type="checkbox"/> Contracts for functions performed by third party providers include some provision for the organisation to have access to relevant records of information | <input type="checkbox"/> Contracts for functions performed by third party providers include provision for the organisation to have timely access to all relevant records of information |

Maturity Rating and Improvement Plan - Compliance Measure 3.2

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

| Level 1 – UNMANAGED | Level 2 – DEVELOPING | Level 3 – OPERATIONAL | Level 4 – FULLY INTEGRATED |
|---|---|--|---|
| 3.3 State archives must be open for public access at some point in their life | | | |
| <i>All State archives requiring restrictions are identified</i> | | | |
| <input type="checkbox"/> The organisation has not considered restricted access archives | <input type="checkbox"/> The organisation has identified some State archives requiring restriction OR The organisation understands that some records of information should be restricted | <input type="checkbox"/> The organisation has identified most State archives that are to be restricted | <input type="checkbox"/> The organisation has identified all State archives that are to be restricted OR The organisation has identified there are no records of information that are to be restricted |
| <i>Restrictions on access to State archives have been approved by the State Records Commission (SRC)</i> | | | |
| <input type="checkbox"/> The organisation has not considered restricted access archives | <input type="checkbox"/> The organisation has considered restricted access but has not made an application to the SRC | <input type="checkbox"/> The organisation has previously obtained SRC approval for all restrictions on State archives but has not renewed it | <input type="checkbox"/> The organisation has approval for all restrictions on State archives from the SRC and renews the approval every 5 years OR The organisation has identified no State archives require restriction |
| <i>Access approvals to restricted State archives are controlled</i> | | | |
| <input type="checkbox"/> The organisation has no procedures in place for public access to restricted State archives | <input type="checkbox"/> The organisation has considered the need for procedures to control public access to restricted State archives | <input type="checkbox"/> The organisation has basic policies on public access to restricted State archives but no formalised procedures | <input type="checkbox"/> The organisation has procedures in place for public access to restricted State archives |

Maturity Rating and Improvement Plan - Compliance Measure 3.3

| | |
|--|---|
| Maturity Rating | <Formula based on responses above to produce a rating 1-4 ... this links to a field in an Executive Summary > |
| Key Area for Improvement | <Title only ... this links to a field in an Executive Summary > |
| Improvement Plans | Free text. Briefly describe any plans for improvement. This field is not included in the Executive Summary but should be completed with as much detail as you think will be useful for your organisation. |
| Two Year Review – have you implemented improvement plans? | <Yes/No ... this links to a field in an Executive Summary > |
| Improvement Plans Implementation | Free text. You may use this space to describe what has been done to implement improvements against the plans. This field is not included in the Executive Summary. |

Executive Summary <All fields auto-filled from ratings above>

| | Compliance Measure | Maturity Rating | Area for Improvement | Two-year review |
|-----|--|-----------------|---------------------------------|-----------------|
| 1.1 | Records of information created, managed and kept in accordance with legislative and business requirements | <1-4> | <Title of area for improvement> | <Yes/No> |
| 1.2 | Accountability and approvals for implementing and reviewing Records Management Plans | | | |
| 1.3 | All employees, including contractors and third-party providers engaged in outsourcing arrangements, comply with the Records Management Plan | | | |
| 1.4 | Records of information are protected, preserved and stored on appropriate media to ensure ongoing usability, in environmental conditions appropriate to their format | | | |
| 1.5 | Migrated, converted or reproduced records of information is as authentic, reliable and usable as the original source information from which they were created | | | |
| 1.6 | Effective security and authentication controls exist to keep records of information safe from intentional or unintentional damage and unauthorised access, tampering or alteration | | | |
| 2.1 | Minimum periods outlined in the appropriate retention and disposal authorities and any applicable legislation | | | |
| 2.2 | Records of information which are State archives identified through approved retention and disposal authorities for permanent retention | | | |
| 2.3 | Legal destruction of records of information which are not State archives, and are no longer required for business purposes, is regularly conducted in accordance with disposal authorities | | | |
| 3.1 | Appropriate controls are in place to identify and name all government records of information | | | |

| | | | | |
|-----|--|--|--|--|
| 3.2 | All records of information, including those of contractors and outsourced arrangements, are accessible when required | | | |
| 3.3 | State archives must be open for public access at some point in their life | | | |

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