



# INFORMATION GOVERNANCE MATURITY ASSESSMENT

**Business:**

**Date:**

You can use this assessment to measure your information governance progress. Read the description of the principle of good information governance (IG) and choose the level that best describes your business.

Information governance can be defined as ‘**an accountability** framework to ensure **appropriate behaviour** in the valuation, creation, storage, use, archiving and deletion of information. It includes the **processes, roles** and **policies, standards** and **metrics** that ensure the effective and efficient use of information in enabling an organization to achieve its goals.’

- Gartner IT Glossary

## ACCOUNTABILITY

Roles and responsibilities are clearly set out both internally and when information is shared with third parties. Senior management must oversee IG and should delegate IG responsibilities to appropriate individuals (information custodians). Standards and procedures must be put in place to ensure that the level of IG can be audited.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>Senior management has not appointed an information custodian</p> <p>IG is seen as an administrative function which is the responsibility of all employees. As a result, information is managed without structured processes.</p>	<p>The Business has appointed a junior information custodian, not involved in developing an IG strategy. The role of the information custodian is not widely recognised within the Business.</p> <p>Information is processed and managed with very little input from the information custodian.</p> <p>Information is not stored using systematic processes. However, the Business wants to improve IG.</p>	<p>The Business has an information custodian responsible for overseeing all information. The role of the information custodian is recognised within the Business.</p> <p>Some information is processed and managed through documented processes. The Business wants to implement an IG strategy in all core information-driven processes throughout the Business.</p>	<p>The Business has an information custodian who develops and oversees the IG strategies.</p> <p>Most information is processed and managed through documented processes. The information custodian is part of the Business' management team and is responsible for all tactical and strategic aspects of IG. Senior Management is aware of and supports the IG strategies.</p>	<p>The information custodian is a member of the Business' management team. While the information custodian actively oversees IG strategies, Senior Management takes ultimate responsibility for IG.</p> <p>IG goals are part of the information custodian and Senior Management's key performance indicators and their performances in this area are measured regularly.</p>

Which accountability level best describes your Business?

## STANDARDISATION

Business processes and activities must be well-defined and documented in an open and verifiable way. The documentation must be available to employees and appropriate third parties.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>The Business does not have well-defined and documented processes in place to process information consistently.</p>	<p>The Business focuses on defining and documenting processes in areas where regulation demands it or that are part of its core function. This means that only some business processes are well-defined and documented.</p>	<p>Most business processes are documented, and information about these processes are readily available when needed. Some training takes place on business processes.</p> <p>Employees are aware of the importance of well-defined documented business processes. The organisation has specific goals to define and document its business processes.</p>	<p>Well-defined and documented business processes form an essential part of the culture of Business. Most employees are trained on business processes and the training is documented.</p> <p>Business process documents are monitored and updated on a regular basis.</p>	<p>Defining and documenting business processes is recognised as a key component of IG.</p> <p>The Business' initial goals relating to standardisation have been met, and it has a process to ensure that its goals for standardisation are routinely reviewed and revised.</p>

Which standardisation level best describes your Business?

## INTEGRITY

The right processes are in place to guarantee that the institutional information we use or manage is comprehensible, clear, consistent, and reliable.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>The Business has no systematic audits or processes to measure the authenticity and reliability of information. This means that metadata about the origin of information, time of collection, creation or transmission, and content is difficult to verify.</p>	<p>The Business stores some information with metadata about the authenticity and reliability of information, but there is no formal process for metadata storage or to audit the authenticity or reliability of information.</p>	<p>The Business has a formal process to ensure that some of its information is authentic and reliable. The Business captures metadata to demonstrate policy compliance and it has specific information integrity strategies and goals.</p>	<p>The Business uses metadata requirements for all systems, business applications, and records to ensure that records and information are authentic and reliable. Metadata requirements include audit trail requirements within a process to demonstrate authenticity. The metadata requirements are an important part of the IG strategy of the Business.</p>	<p>The Business has a defined process for introducing new information systems, capturing their metadata, and meeting other authenticity requirements. This process is systematically audited. The Business' initial goals relating to information integrity has been met, and it has a process to ensure that its goals for integrity are routinely reviewed and revised.</p>

Which integrity level best describes your Business?

## SECURITY

Confidential and personal information must be protected from unauthorised destruction, modification, or access.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>The Business does not have an Information Security Policy.</p> <p>The Business does not have a central place where information is stored and accessed. Information is protected by the individual users that have access to it.</p> <p>The author of the information assigns who gets access to the information.</p>	<p>The Business is aware of the Information Security Policy, but does not consistently apply this policy in respect of all information. Some information is subject to central access controls.</p> <p>The Business does not provide formalised training and guidance in protecting information.</p> <p>Individual content owners assign who gets access to the information.</p>	<p>The Business has implemented the Information Security Policy and information is subject to centralised access controls.</p> <p>The Business provides formalised training and guidance in protecting information.</p> <p>Information audits are conducted only in respect of some processes or information assets.</p> <p>The Business has specific information security strategies and goals.</p>	<p>The Business has systems that help secure information.</p> <p>The Business provides formalised and documented training.</p> <p>Compliance and protection are audited on a regular basis.</p>	<p>Information security is very important to the Business' management team.</p> <p>The Business examines and improves the audited results.</p> <p>Inappropriate or accidental disclosure or loss of information is rare.</p> <p>The Business' initial goals relating to information security have been met, and it has a process to ensure that its goals for information security are routinely reviewed and revised.</p>

Which security level best describes your Business?



## COMPLIANCE

Good information governance promotes and facilitates compliance with internal policies, applicable legislation, or other binding rules.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>The Business manages information based on its understanding of its responsibilities and duties and is not necessarily aware of the IG policies.</p> <p>There is no formal process for ensuring that IG policies are complied with.</p> <p>The Business might not comply with all IG policies, which could result in unfavourable consequences.</p>	<p>The Business has identified some of the internal policies, legislation, and rules that apply to it and complies with some of the IG policies.</p> <p>There is no formal accountability or controls to ensure compliance.</p>	<p>The Business has identified key internal policies, legislation and rules that apply to it.</p> <p>In most cases the creation or collection of information complies with IG policies. Suitable records and information are retained to demonstrate compliance, The Business wants to improve its compliance strategies and set specific goals.</p> <p>The Business' exposure to adverse consequences from poor IG has been reduced.</p>	<p>The Business highly values compliance and has systems in place to monitor compliance with IG policies. The metadata of records are linked to one another to measure and demonstrate compliance with IG policies.</p> <p>Employee training is formalised and documented. Compliance is audited on a regular basis. If non-compliance is identified, corrective action is taken.</p> <p>The Business is at low risk of exposure to adverse consequences from poor IG.</p>	<p>Compliance, and the role that good IG plays in compliance, is very important to the Business' management team.</p> <p>The roles and processes for IG are well-developed and effective.</p> <p>The Business' initial goals relating to compliance have been met, and it has a process to ensure that it routinely reviews and revises its goals for compliance.</p>

Which compliance level best describes your Business?

## AVAILABILITY

Information must be available to the appropriate people at the appropriate time.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>The Business does not have information readily available when needed and it is not clear who to ask when information is required. It takes time to find the correct version or the final version of information (if it can be found at all).</p> <p>Information is not searchable, because it is not centrally stored and there are no indices or metadata to aid in the search.</p> <p>Responding to requests for information is difficult, because it is not clear where information is located.</p>	<p>The Business has some standards on storing information, some information is searchable and a distinction is drawn between different versions of information. However, the implementation of these standards is not consistent and is not monitored.</p> <p>Responding to requests for information are complicated due to inconsistent treatment of information.</p>	<p>The Business has clearly defined standards for where and how information is stored, protected, and made available. Systems help make information easy to retrieve and to determine where to find the correct version of records.</p> <p>The processes for requests for access to information are well-defined and systematic.</p> <p>The Business has specific strategies and goals to ensure that information is readily available.</p>	<p>The Business has clear availability guidelines and an inventory of the systems and the information within the Business. Information is readily available.</p> <p>Employees and third parties are aware of the availability guidelines.</p> <p>Systems and controls are in place for information requests and the processing of information requests is facilitated with automated processes.</p>	<p>The Business' management team provides support to continually upgrade the availability of information.</p> <p>Employees are trained in the availability of information.</p> <p>The Business' initial goals relating to availability have been met, and it has a process to ensure that its goals for availability are routinely reviewed and revised.</p>

Which availability level best describes your Business?



## RECORDS MANAGEMENT

Information will be retained for an appropriate time only, taking into account legal, regulatory, fiscal, operational, and historical requirements. Once the retention periods have passed, information is disposed of securely.

Level 1	Level 2	Level 3	Level 4	Level 5
<p>The Business does not have a Records Management Policy.</p> <p>Employees either keep everything, or dispose of information based on their own business needs, rather than the needs of the Business.</p>	<p>Although the Business is aware that there is a Records Management Policy, employees do not consistently apply the policy in respect of all information assets.</p> <p>Retention schedules have been created in respect of some types of information.</p>	<p>The Business has implemented the Records Management Policy and has centralised records, management controls, and retention schedules.</p> <p>Employees know about the Records Management Policy, what their roles are in information retention, and they apply the policy consistently in respect of some information assets.</p> <p>The Business has specific records management goals.</p>	<p>The Business sees records management as a major objective.</p> <p>Employee training is formalised and documented.</p> <p>Employees comply with the Records Management Policy consistently and their compliance is audited on a regular basis. Records management controls and retention schedules are reviewed regularly.</p>	<p>Records management is very important to the Business' management team.</p> <p>Records management is looked at holistically and is applied to all information in the Businesses, not just to official records.</p> <p>The Business' initial goals relating to records management have been met, and it has a process to ensure that its goals for records management are routinely reviewed and revised.</p>

Which records management level best describes your Business?





## EMPOWERMENT

The Business' employees must be empowered through training to work responsibly with information and to protect it. In the process, they will empower their staff to protect their own privacy.

Level 1	Level 2	Level 3	Level 4	Level 5
Employees are not aware of IG policies. As a rule employees are not trained on IG policies.	Some employees are aware of IG policies and some are trained, but no formal training is conducted.	Employees know about the IG policies and what their roles are in IG. Some informal training is conducted.	All employees are aware of IG policies and some employee training is formalised and documented.	Training requirements on IG policies are analysed regularly and all training has been formalised and documented. Processes are in place to ensure that training is repeated and training materials are revised when necessary.

Which level of empowerment best describes your Business?