Best Practices in Records Management
007: Information Governance Maturity

Records and Information Management Office
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The Assessment

Based on the Generally Accepted Recordkeeping Principals by American Records Management Association (ARMA), The Information Governance Maturity Model with adaptations by UC Santa Cruz provides a method to describe and measure the fundamental attributes of information governance within a unit.

What is information governance?

An accountability framework that “includes the processes, roles, standards, and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals” - Gartner Inc.
LEVEL 1 (Sub-Standard): This level describes an environment where information governance and recordkeeping concerns are not addressed at all, are addressed minimally, or are addressed in an ad hoc manner. Departments or units that identify primarily with these descriptions should be concerned that their programs will not meet UC policies or standards and may not effectively serve the universities business needs.
LEVEL 2 (In Development): This level describes an environment where there is a developing recognition that information governance and prudent recordkeeping have an impact on the department or unit, and is working towards a more defined information governance program. However, in Level 2, the department or unit is still vulnerable to non-compliance because its practices are ill-defined, incomplete, nascent, or only marginally effective.
**Ratings**

**LEVEL 3 (Essential):** This level describes the essential, or minimum, requirements that must be addressed to meet UC records management policies and standards. Level 3 is characterized by defined procedures and implementation of processes specifically intended to improve information governance and recordkeeping. Departments or units that identify primarily with Level 3 descriptions still may be missing significant opportunities for streamlining workflows and controlling costs, but they have the key basic components of a sound program in place and meeting their business responsibilities.
LEVEL 4 (Proactive): This level describes a department or unit that has established a proactive information governance program throughout its operations and has established continuous monitoring of its effectiveness. Information governance issues and considerations are routinely integrated into business decisions. The department or unit is substantially more than minimally compliant with good practice and easily meets UC records management policies, standards, and best practices. A department or unit that identifies primarily with these descriptions should begin to pursue the additional business and productivity benefits it could achieve by increasing enterprise wide information availability, understanding its information for a better use by those who access it.
**LEVEL 5** (Transformational): This level describes a department or unit that has integrated information governance into its overall structure and business processes to such an extent that compliance with UC records management policies, standards, and best practices are routine. This department or unit has recognized that effective information governance plays a critical role in cost containment, client service, and it has successfully implemented strategies and tools to achieve these gains in a verifiable and defensible way.
Accountability  The department or unit head oversees the information governance program and delegates responsibility for records and information management to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure that the program is defensible during audits or legal proceedings.
Transparency A department or unit’s business processes are documented and available to all appropriate personnel and others who have a need to know. New personnel are introduced to the materials and trained on the processes.
An information governance program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, classified, essential to business continuity, or that otherwise require protection.
An information governance program shall be constructed to comply with UC Records Management policies, Information Security policies, all applicable laws, and other binding authorities (such as OSHA, NIH, DOE, etc), as well as with the organization’s policies.
Availability An organization shall maintain records and information in a manner that ensures timely, efficient, and accurate retrieval of needed information.
Retention/Use

An organization shall maintain its records and information for an appropriate time, taking into account its legal, regulatory, fiscal, operational, and historical requirements. Personal information shall not be used or disclosed other than for purposes collected, except with consent of the individual or when required by law.
Disposition
An organization shall provide secure and appropriate disposition for records and information that are no longer required to be maintained by the UC Records Retention Schedule, applicable laws, and the organization’s administrative needs.
Preservation Records of enduring value are transferred to the University Archives when they become inactive.
Improvement Plan

A plan for improvement will be developed based on the specific needs of the unit. At minimum the plan will include:

- Training
- Goals
- Timelines
- Follow Up
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