
**Federal RIM Program
Maturity Model
User's Guide**

**Joint Working Group of the
Federal Records Council
and
National Archives and Records Administration**

2014

Foreword

The OMB/NARA Managing Government Records Directive (M-12-18) required the National Archives and Records Administration (NARA) to identify a government-wide analytical tool to evaluate the effectiveness of records management programs. NARA analyzed a variety of models from the private sector, foreign governments, and federal agencies, including NARA's analytical tool, the Records Management Self-Assessment (RMSA). There are several very good Records and Information Management (RIM) maturity models available with differing degrees of complexity. NARA determined that there was a need for a model that was simple to understand and implement plus, while based on federal statutes and regulations for RIM, was not as compliance-only focused as the RMSA.

NARA chose the Records Management Maturity Model Integrated (RM3i), created by the Department of Homeland Security (DHS) as a starting point because of its simplicity and use of easily recognizable and widely used government-wide terminology.

A working group consisting of NARA and Federal Records Council members from the Securities and Exchange Commission, and the Departments of Homeland Security; Transportation; Justice; and the Interior, collaborated to create a maturity model that could be used by all federal agencies to assess their RIM programs. The resulting Federal RIM Program Maturity Model is loosely based on the RM3i. The working group chose to modify that tool to expand its appeal to all federal agencies.

This Federal RIM Program Maturity Model was created as a tool to measure the maturity of an agency RIM program. It can be used to measure the maturity of agency programs of any size and at any level.

Table of Contents

Purpose.....	1
What is a Maturity Model	1
The Keys to Successful Use.....	1
Using this Model.....	2
Structure.....	2
The Tool.....	3
Conducting the Assessment	5
Glossary	Glossary-1
References and Resources.....	References and Resources - 1
Appendix I:	1
Federal RIM Program Maturity Model Breakdown.....	Appendix 1-1
Domain 1: Management Support and Organizational Structure	Appendix I-1
Domain 2: Policy, Standards, and Governance.....	Appendix 1-5
Domain 3: RIM Program Operations.....	Appendix 1-10

Federal RIM Program Maturity Model

User Guide

Purpose

The purpose of this tool is to help agencies and/or components assess areas of their RIM program to determine where improvements are needed most. There are a wide variety of very good maturity models to choose from. This guide details how to conduct an assessment using this model.

What is a Maturity Model

Maturity models are a type of analytical tool that provide a framework to assess a program or activity based on a set of core principles and standards. An assessment using a maturity model, if done properly and without bias, highlights strengths and weaknesses that support users in making data driven decisions about priorities, improvement projects, and resource allocation.

This RIM maturity model will support agency efforts to:

- Identify issues that undermine effective agency RIM programs
- Identify RIM program strengths
- Assess the capability of a RIM program to capture and provide access to information (records) for business, legal and other purposes
- Identify priority areas to address
- Enable an agency to develop plans to address identified deficiencies

The Keys to Successful Use

There are several elements necessary for success in using this maturity model.

1. **Honesty.** Be as unbiased as possible. Do not over or under rate where your agency or component falls on the maturity model scale. Doing either will cause you to ignore areas that need improvement or apply resources where they may not be required.
 2. **Teamwork.** It takes cooperation to be successful. You may need to obtain information from other mission and program staff to gain a complete understanding of your agency's RIM program.
 3. **Completeness.** Be thorough and be sure that necessary stakeholders provide input.
 4. **Commitment.** This takes time, effort, and resources. An agency must commit to not only identifying issues but finding solutions and executing change.
-

5. **Consistent.** Even the most mature RIM program needs monitoring. Changes in legislation, policies, re-organizations, and new missions happen all the time and have an impact on the agency records and information. Using this maturity model on a consistent basis will help you to keep track of the health of your RIM program.

Using this Model

An agency may use the model to assess:

- an entire Department/Agency
- component, office, or division

Whatever the choice, it is most important to recognize that this model is a tool that can be flexible and adapted for purposes of reliable assessment of the agency program, or programs.

Note: if some of the language does not align perfectly with agency culture or structure it can be altered accordingly, as long as the organizing domains and assessment criteria concepts remain aligned.

Structure

This model consists of three organizing domains:

- Management Support and Organizational Structure;
- Policy, Standards, and Governance; and
- RIM Program Operations

Each domain contains a set of assessment criteria to measure the maturity of the RIM program for that particular domain. A RIM program can be stronger in one domain over another.

Each assessment criteria has a descriptive statement corresponding to a maturity level. The user should choose the level that best describes the current state of the particular assessment criteria in their agency/component RIM program.

Levels

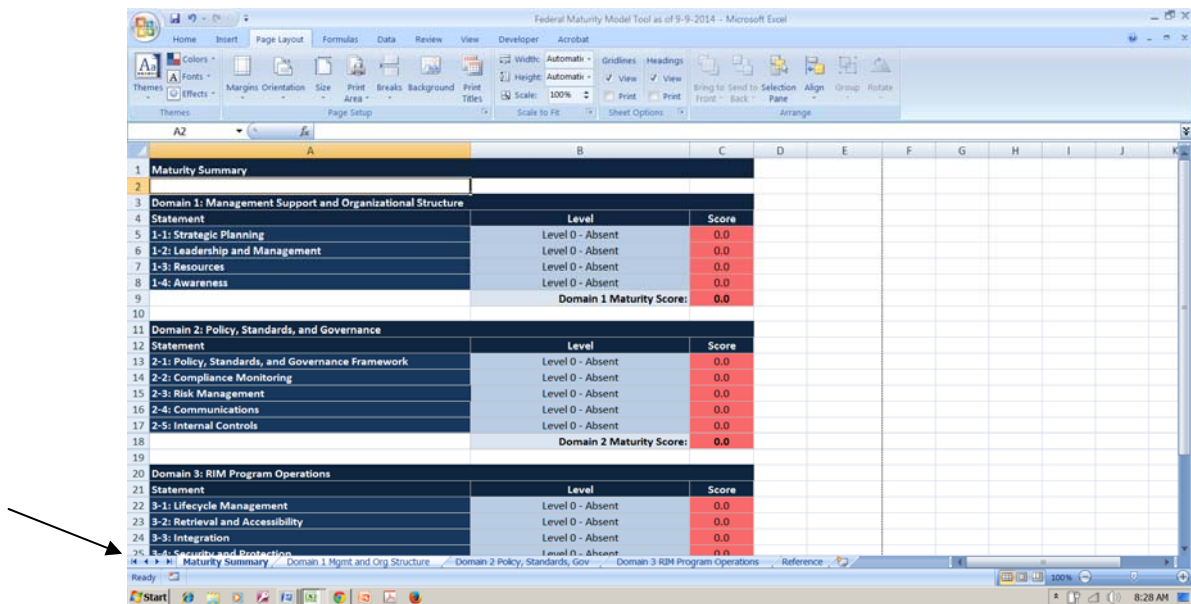
- Level 0: ABSENT - little or no RIM program activity
- Level 1: DEVELOPING - some RIM program activity with most areas still under development
- Level 2: FUNCTIONING - consistent RIM program activity with some areas still under development; stable environment
- Level 3: ENGAGED - fully established, engaged, active environment
- Level 4: EMBEDDED - completely established RIM program that is strategically aligned and embedded throughout the agency/component

Details on each domain and related assessment criteria are found in Appendix I and are incorporated into the Excel spreadsheets used to record your rating.

When deciding which level is the best fit for the individual assessment criteria, everything is based on whole numbers. The levels build on one another. In order to fully move on to the next level the user must have met all of the criteria for the chosen level, as well as, the previous levels. The summary for each domain and composite maturity scores is an average and will contain decimal points. This is where the results will show progress between levels.

The Tool

The tool is an Excel Workbook containing 4 interconnected worksheets represented by tabs at the bottom of the screen.



- **Domain 1: Management Support and Organizational Structure**
Management support and a strong positioning of the RIM program in the organizational structure is a key element to a successful RIM program. This domain measures the level of management support, the alignment of the RIM program to business/mission functions; strategic goals and objectives; visibility within the agency; resources including funding; and the awareness of RIM principles.
- **Domain 2: Policy, Standards, and Governance**
The existence of a governance framework with policies, standards; monitoring and risk management is essential to a strong RIM program. This domain measures the level or degree to which the program has these elements.

- **Domain 3: RIM Program Operations**

There are a variety of processes that cover the entire records and information lifecycle that all RIM programs must have in order to be functional. This domain measures the level of standardization, formality, and integration that exists within the main processes: lifecycle management; retrieval and accessibility; integration; security and protection; and training.

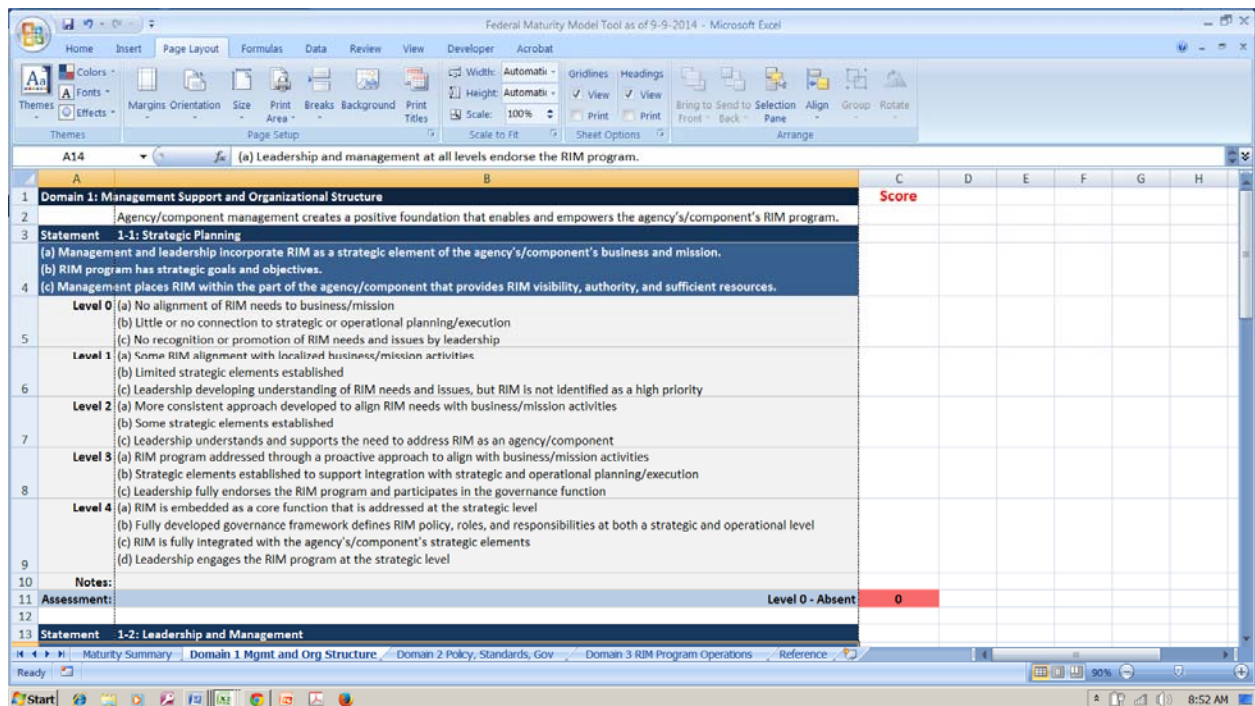
- **Maturity Model Summary**

DO NOT try to enter anything in this spreadsheet. The changes made under the other tabs automatically update this page. This page provides a quick summary of each domain, the level the user has chosen for each related statement, and a total score for that domain. At the bottom it provides the composite maturity score. This composite number determines the overall maturity of the user's program.

How to use the tool

For each worksheet, the user reviews the domain description and assessment criteria statements and determines which level description best fits their current situation for that one statement. *The default level is Level 0 – Absent within each worksheet.*

After each statement there is an assessment row with a drop down box. If the user determines that their program is not at the default level of 0, click on the drop down arrow to the left of the words “Level 0-Absent”(Column B) and choose the appropriate level from the drop down list. The level choice automatically updates the “Score” column with the level number and changes the color of that cell.



Drop-down box choices and score cell colors

- Level 0: Absent - Red
- Level 1: Developing - Orange
- Level 2: Functioning - Yellow
- Level 3: Engaged - Green
- Level 4: EMBEDDED – Dark Green

Reminder: As the user moves through and updates the levels within each criteria, Tab1: Maturity Summary will automatically update the level and score fields, calculate a domain maturity score and calculate a composite maturity score – or maturity level. You will not be able to make changes to Tab1.

There is a line above the drop down box for the user to type in any notes or explanations so they can keep track of why a certain level was chosen.

Conducting the Assessment

There are several steps that must be completed to successfully conduct the assessment. The amount of time from beginning to end will depend on the size of the agency and the scope of the assessment.

Suggested steps

1. Decide the scope of the assessment
 - Entire Department/Agency
 - Component, office, or division
2. Assign roles and responsibilities for the assessment
 - **Project Lead** – person responsible for managing, organizing, final interpretation of results and reporting final results to management
 - **Assessor(s)** – responsible for overall data collection and helping others
 - **Analyzer (s)** – responsible for reviewing maturity model choices, interpreting results
 - **Key personnel and stakeholders**– responsible for data collection in a specific area and works with the assessor to determine level response choices for that area
3. Identify and contact key personnel and stakeholders
 - Identify and contact key personnel who can rate a given domain and assessment criteria.

- It is essential that you include people with RIM responsibilities, even if as a collateral duty, as well as mission and program staff where relevant.
- Initial contact can be made by email or phone call depending on your agency's normal communication.
- Describe clearly the assessment tool and its purpose.
- Be careful to reassure staff that this has nothing to do with their personal job performance or the importance of their program or mission.

4. Schedule meetings

- Schedule an introductory meeting to preview the tool and its purpose.
- It is essential during this meeting to describe the purpose of the assessment, the plans for using the information after it is gathered, and the expectations for participant effort and time commitment.
- Explaining that the tool is an easy to use Excel spreadsheet. However, keep in mind there are built in formulas.

5. Run the assessment

- Provide access to the tool (and this user's guide) to the participants so that they can conduct a preliminary assessment on their own.
- Establish a time frame for completion and submission to the assessor.
- After all submissions are received, the assessor should review the submissions and prepare for an in-person assessment interview.
 - Preparation should include background research on the part of the agency being assessed.
 - Know the mission and related records.
- Conduct an in-person interview with participant
The assessment in-person provides the greatest level of participation and ensures accuracy as the assessor(s) can ask follow-up questions and address any issues participants may have.
- Review the tool with the participants, going through each assessment area and the requirements for each maturity level.
- Discuss the preliminary responses; determine if any adjustments are needed, and if so make adjustments.
- Once interviewees provide their final answers, the tool assigns the level or 'score' for that assessment area.
- Continue the process until all assessment areas are complete.

6. Review the Score

- Once the spreadsheets are complete the tool calculates the overall composite score.

- The overall score is an average of each of the three domain scores, ranging from 0 to 4.
- Review the score with participants and stakeholders. Keep in mind that some may under or over rate their responses. It is important to discuss the results and come to a consensus that the score accurately reflects the program's maturity.

7. Analyze the results

- **What does the maturity score mean?**

When conducting the assessment for the first time, the score will help determine where the RIM program is in terms of meeting its obligations and responsibilities to ensure records and information is accessible, retrievable and being created, maintained, and preserved in accordance with federal laws and statues.

For subsequent assessments the score will determine if improvement efforts achieved the desired result, as well as, the next areas to focus resources on improving.

- Carefully review maturity levels of each domain

Identify areas that need the most attention. Areas with the lowest level score require the greater level of attention for improvements.

Identify areas that need minimal monitoring. Even areas with the highest score require monitoring to be sure this level is maintained.

For more complex or agency-wide assessments compare the results. When assessing multiple offices or components the score can be used for comparison. This comparison will help identify components or offices needing the most improvement and those that could assist others in making improvements.

- Work with participants to make recommendations for improvements, and develop action plans.

8. Next Steps

- Brief management on the results
 - Highlight successes and develop initiatives to address the problem areas.
 - The maturity scores show what areas are on track and what areas need work. This information can be leveraged when discussing program needs with senior management and can illustrate where additional funds or resources are needed to increase program maturity.
 - Additionally, averaging the maturity scores of all RIM programs across a department or agency provides a composite score that can help

communicate program status to senior management and steer future RIM initiatives or resource decisions.

- Follow through with recommendations and action plans for improvements.
- Plan the next assessment. Continuous use of the tool will allow the RIM program to measure progress towards full maturity over time. Ideally, an assessment should be completed annually.

GLOSSARY

Term	Definition
Accessibility	The degree to which records are available for use.
Adequate and Proper Documentation	A record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. (36 CFR 1220.18)
Administrative Records	Documents that are preserved because they facilitate the operations and management of an agency, but do not relate directly to programs that help the agency achieve its mission. These include such documents as the agency budget, personnel, supplies, travel, and training. They are found in every agency, and often (but not always) their dispositions are covered by the General Records Schedules (GRS).
Agency	Any executive agency or any establishment in the Legislative or Judicial branches of the Government (except the Supreme Court, Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction). (44 U.S.C. 2901(14)). <i>Note: for the purposes of this maturity model this term includes Departments, Components and Independent agencies</i>
Alienated Records	Records in the possession of an individual or organization not legally entitled to them.
Audit	For the purposes of this maturity model an audit is official inspection of the implementation of records management policies and procedures.
Awareness	Knowledge or perception of records management policies, procedures, roles and responsibilities.
Classification	Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented

Term	Definition
	in a classification system. A coding of content items as members of a group for the purposes of cataloging them or associating them with a taxonomy.
Classified Information	A body of information with restricted access for reasons of national security.
Communication	Imparting or exchanging of information or news. For the purposes of this maturity model this means the methods for distributing records management policies, procedures, regulatory changes and other information required for individuals to carry out their records management roles and responsibilities.
Compliance	Adherence to statutes, regulations as well as agency policies and procedures.
Compliance Monitoring	Being regularly apprised and updated on pertinent regulations and laws and examining processes in the organization to ensure compliance with them. In a records management sense, this involves reviewing and inspecting the various facets of a records management program to ensure it is in compliance. Compliance monitoring can be carried out by an internal audit, external organization, or records management and must be done on a regular basis.
Comprehensive Schedule	An agency manual or directive containing descriptions of and disposition instructions for documentary materials in all physical forms, record and nonrecord, created by a Federal agency or major component of an Executive department. Unless taken from General Records Schedules (GRS) issued by NARA, the disposition instructions for records must be approved by NARA on one or more Standard Form(s) 115, Request for Records Disposition Authority, prior to issuance by the agency. The disposition instructions for nonrecord materials are established by the agency and do not require NARA approval. See also records schedule. (36 CFR 1220.18)
Component	A part of a larger entity. For the purposes of this maturity model a component can be an agency that is part of a larger Department, a division within an agency, or an office depending on the level of the assessment.
COOP	Acronym for Continuity of Operations. Continuity of Operations, as defined in the National Security Presidential Directive-

Term	Definition
	51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) and the National Continuity Policy Implementation Plan (NCPPI), is an effort within individual executive departments and agencies to ensure that Primary Mission Essential Functions (PMEFs) continue to be performed during a wide range of emergencies, including localized acts of nature, accidents and technological or attack-related emergencies.
Custody	Care and control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.
Creator	The originator of a document or information.
Disposal	The action taken regarding temporary records after their retention periods expire, and consisting usually of destruction/deletion. On rare occasions, with permission, records may be donated (36 CFR 1228.60).
Discovery	Legal term for producing information as evidence in a legal proceeding.
Disclosure	Providing information to individuals or group authorized to receive the information.
Disposition	Those actions taken regarding records no longer needed for the conduct of the regular current business of the agency. (36 CFR 1220.18)
Disposition Authority	The legal authorization for the retention and disposal of records. . Request for Records Disposition Authority, which have been approved by the Archivist of the United States. For nonrecord materials, the disposition is established by the creating or custodial agency. See also records schedule. (36 CFR 1220.18)
Electronic Information System	An information system that contains and provides access to computerized Federal records and other information. (36 CFR 1236.2 (b))
Evaluation	The selective or comprehensive inspection, audit, or review of one or more Federal agency records management programs for effectiveness and for compliance with applicable laws and regulations. It includes recommendations for correcting or improving records management policies and procedures, and

Term	Definition
	follow-up activities, including reporting on and implementing the recommendations. (36 CFR 1220.18)
Information Security	The practice of defending information from unauthorized access, use, disclosure, modification, perusal, inspection, recording or destruction.
Information System	The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. (36 CFR 1220.18)
Internal Controls	A process designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency of operations; reliability of reporting; compliance with applicable laws and regulations. In other words, internal control is a process consisting of ongoing tasks and activities. The process is performed by people (not merely policy manuals, systems, and forms). It provides reasonable assurance to an organization's management, and is geared to the achievement of objectives in one or more separate but overlapping categories. Finally, the process is adaptable to an entities structure. (Internal Control – Integrated Framework, September 2011.)
Lifecycle	Management concept that records pass through stages: from creation/capture, maintenance and use, and disposition.
Metadata	Consists of preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1236.2 (b)).
Monitoring	Ensuring that policies and procedures are being implemented routinely, efficiently, and appropriately.
NARA	National Archives and Records Administration
Owner	The entity responsible for maintaining records or information
Permanent Record	Record appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes
Policy	Defined course of action
Privacy	Protecting personally identifiable information

Term	Definition
Professional Development	Acquisition of skills and knowledge for career advancement. For the purposes of this maturity model this refers to enhancing records and information management knowledge and skills.
Program Records	Those records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency. The agency's mission is defined in enabling legislation and further delineated in formal regulations.
Record (Federal Record)	Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. (44 United States Code [U.S.C.] 3301, Definition of records, disposal of records)
Recordkeeping Requirements	All statements in statutes, regulations, and agency directives or other authoritative issuances, that provide general or specific requirements for Federal agency personnel on particular records to be created and maintained by the agency. (36 CFR 1220.18).
Records Maintenance	Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency.
Records Management	The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations. (36 CFR 1220.18)
Records Schedule	<p>(1) Request for Records Disposition Authority that has been approved by NARA to authorize the disposition of Federal records;</p> <p>(2) A General Records Schedule (GRS) issued by NARA; or</p> <p>(3) A published agency manual or directive containing the records descriptions and disposition instructions approved by NARA on</p>

Term	Definition
	one or more SF 115s or issued by NARA in the GRS (36 CFR 1220.18)
Resources	Sources of funding, materials, energy, services, staff, knowledge, or other assets needed to perform a particular function or activity.
Restricted Information	Information with limited access.
Retention	The length of time a record must be kept. (36 CFR 1220.18)
Retrieval	The process of getting information back. For the purposes of this maturity model this means the ability to access information whether it is stored on-site, off-site, on-line, off-line whenever it is needed.
Risk	The potential harm that may arise from some present process or from some future event.
Risk Management	The process of identifying (risk assessment) and evaluating (risk analysis) risk and then developing strategies to manage the risk.
Scheduled	Records whose final disposition has been approved by NARA.
Stakeholder	An individual, group or organization who may affect, be affected by, or perceive itself to be affected by a decision, activity or outcome of the project. (PMBOK 5 th ed.)
Strategic	Identification of long-term or overall aims and interests and the means of achieving them.
System	For the purposes of this maturity model the word system refers to an electronic information system.
Taxonomy	Use of standard names and/or wording.
Temporary Record	Any Federal record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration.
Training	For the purpose of this maturity model: training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it <i>must</i> :

Term	Definition
	<ul style="list-style-type: none"> • be regular (occurring more than just once), • be repeatable and formal (all instructors must provide the same message, not in an ad hoc way), and; • communicate the agency’s vision of records management.
Unauthorized Disposal	<p>The improper removal of records without NARA approval or the willful or accidental destruction of records without regard to a NARA approved records schedule. Unauthorized disposition of Federal records is against the law and punishable by up to \$250,000 in fines and imprisonment. (44 U.S.C. 3106 and 18 U.S.C. 2071)</p>
Unscheduled Records	<p>Records whose final disposition has not been approved by NARA. Unscheduled records may not be destroyed or deleted.</p>
Vital Records	<p>Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (“emergency operating records”), or to protect the legal and financial rights of the Government and those affected by Government activities (“legal and financial rights records”).</p>

References and Resources

There are a number of records and information references and resources used in the creation of this maturity model which the user may find helpful in building their program.

Statutes from the United States Code (U.S.C)

44 U.S.C. Chapters 21, 29, 31, and 33

It is the purpose of these chapters to require the establishment of standards and procedures to assure efficient and effective records management. Such records management standards and procedures shall seek to implement the following goals:

- (1) Accurate and complete documentation of the policies and transactions of the Federal Government.
- (2) Control of the quantity and quality of records produced by the Federal Government.
- (3) Establishment and maintenance of mechanisms of control with respect to records creation in order to prevent the creation of unnecessary records and with respect to the effective and economical operations of an agency.
- (4) Simplification of the activities, systems, and processes of records creation and of records maintenance and use.
- (5) Judicious preservation and disposal of records.
- (6) Direction of continuing attention on records from their initial creation to their final disposition, with particular emphasis on the prevention of unnecessary Federal paperwork.
- (7) Establishment and maintenance of such other systems or techniques as the Administrator or the Archivist considers necessary to carry out the purposes of this chapter, and chapters 21, 31, and 33 of this title.

Regulations from the United States Code of Federal Regulations (CFR)

36 CFR, Chapter XII, Subchapter B

Subchapter B specifies policies for Federal agencies' records management programs relating to proper records creation and maintenance, adequate documentation, and records disposition. The regulations in this subchapter implement the provisions of 44 U.S. C Chapters 21, 29, 31 and 33.

National Archives and Records Administration (NARA)

(The resources listed below are available at www.archives.gov. The user should check this site frequently for new guidance, policy and other updates)

Memorandums to Agency Records Officers

NARA Memorandums (Memos) to Agency Records Officers are general announcements issued via email by the Office of the Chief Records Officer for the United States Government. The content of the Memos vary, but typically include information about Federal records management policies, guidance, training opportunities, and meetings.

NARA Bulletins

NARA issues NARA Bulletins to Federal agencies to provide guidance and assistance on the management and disposition of Federal records. The user should continually check the website for new guidance and policy updates.

Of particular interest

NARA Bulletin 2014-06: Guidance on Managing Email

NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Records

NARA Bulletin 2013-03 Guidance for Agency Employees on the Management of Federal Records, Including Email Accounts, and the Protection of Federal Records from Unauthorized

NARA Bulletin 2013-02: Guidance on a New Approach to Managing Email Records

Records Management Self-Assessment (RMSA)

Each year, NARA requires all Federal agencies to conduct and submit to NARA an annual records management self-assessment (RMSA). The goal of the self-assessments is to determine whether Federal agencies are compliant with statutory and regulatory records management requirements. An annual report is published on NARA's website

Records Management Publications

RM EXPRESS Blog

The NARA maintains several blogs in the interest of sharing more information with the public and our activities. Of particular interest to the users of this maturity model is blog of the Office of the Chief Records Office for the Federal Government. This is another place to check frequently for updates on federal records management; ask questions, and provide your own feedback.

The Department of Justice

The Department of Justice website www.justice.gov provides a wide range of resources on open government; the Freedom of Information Act; and the Privacy Act. This resource changes periodically.

Federal Records Council (FRC)

The FRC is made up of Federal agency records officers who provide advice and feedback to the NARA. The mission of the Council is to identify priority issues and provide recommendations to the Archivist of the United States on best practices in records and information (RIM) in the Federal Government.

Federal Records Officer Network (FRON)

The FRON is a network of Records Officers that address RM programmatic issues that exists across Federal agencies. Its purpose is to share experiences; leverage best practices, tools, templates; and leverage the collective efforts to address common issues.

International Standards Organization

ISO 15489-1-2001: Records Management Part I: General

ISO 15489-2-2001: Records Management Part 2: Guidelines

ISO 16175: Principles and functional requirements for records in electronic office environments. Parts I – 3

RIM Professional Organizations

ARMA International

Society of American Archivists

AIIM (Association for Information and Image Management)

International Council on Archives

Appendix I:

Federal RIM Program Maturity Model Breakdown

Domain 1: *Management Support and Organizational Structure*

Agency/component management creates a positive foundation that enables and empowers the agency's/component's RIM program.

Assessment Area	Level	Definition
1-1: Strategic Planning (a) Management and leadership incorporate RIM as a strategic element of the agency's/component's business and mission. (b) RIM program has strategic goals and objectives. (c) Management places RIM within the part of the agency/component that provides RIM visibility, authority, and sufficient resources.	0	(a) No alignment of RIM needs to business/mission (b) Little or no connection to strategic or operational planning/execution (c) No recognition or promotion of RIM needs and issues by leadership
	1	(a) Some RIM alignment with localized business/mission activities (b) Limited strategic elements established (c) Leadership developing understanding of RIM needs and issues, but RIM is not identified as a high priority
	2	(a) More consistent approach developed to align RIM needs with business/mission activities (b) Some strategic elements established (c) Leadership understands and supports the need to address RIM as an agency/component
	3	(a) RIM program addressed through a proactive approach to align with

		<p>business/mission activities</p> <p>(b) Strategic elements established to support integration with strategic and operational planning/execution</p> <p>(c) Leadership fully endorses the RIM program and participates in the governance function</p>
	4	<p>(a) RIM is embedded as a core function that is addressed at the strategic level</p> <p>(b) Fully developed governance framework defines RIM policy, roles, and responsibilities at both a strategic and operational level</p> <p>(c) RIM is fully integrated with the agency's/component's strategic elements</p> <p>(d) Leadership engages the RIM program at the strategic level</p>

Assessment Area	Level	Definition
<p>1-2: Leadership and Management</p> <p>(a) Leadership and management at all levels endorse the RIM program.</p> <p>(b) Leadership and management consider records and information valuable assets.</p> <p>(c) Agency/component assigns authority and delegates responsibility to</p>	0	No recognition or promotion of RIM needs and issues by leadership
	1	Leadership developing understanding of RIM needs and issues, but RIM is not identified as a high priority
	2	Leadership understands and supports the need to address RIM as an agency/component
	3	Leadership fully endorses the RIM program and participates in the governance function
	4	<p>(a) Leadership engages the RIM program at the strategic level</p> <p>(b) Agency/component RIM strategy is an input for business/mission process</p>

personnel with skill sets that align with assigned RIM activities.	development
--	-------------

Assessment Area	Level	Definition
1-3: Resources Agency/component provides: (a) Appropriately qualified and trained RIM staff; (b) Sufficient numbers of dedicated staff to meet agency needs for program implementation. (c) Funding for continuing education for RIM staff; and (d) Sufficient funding for services, equipment, technology and acquired resources.	0	(a) No electronic records management exists (b) RIM processes are all handled manually (c) Little/no usability (business benefit) of records (d) RIM program organization and sufficient dedicated staff do not exist
	1	Informal RIM organization with: (a) Indeterminate roles and responsibilities, with staffing as “other duties as assigned’ (b) Limited funding (c) Scattered, localized electronic records management without standardization (d) Mostly manual RIM processes (e) Usability of records primarily limited to immediate owners/creators
	2	Formal RIM organization with: (a) Defined roles and responsibilities with dedicated staff (b) Funding identified and applied (c) The beginnings of an agency/component-wide RIM strategy that includes electronic records management tools (d) Increased use of electronic records management tools that are beginning to reduce manual RIM processes (e) Increased usability of records through some automation

- 3 Fully defined and resourced RIM organization with:
 - (a) Well defined roles and responsibilities with adequate dedicated staff
 - (b) Funding that is defined at the strategic level
 - (c) Tools and applications that are aligned with agency/component standards for electronic records management
 - (d) Initial phases of streamlining and coordination of electronic records management further reducing manual RIM processes and increasing efficiency and effectiveness of the RIM program
 - (e) High levels of usability of records through automation
 - (f) The re-use of records being promoted through limited agency/component services, equipment, technology and acquired resources

- 4 RIM organization is:
 - (a) Integrated throughout the agency/component
 - (b) Proactive in driving business area RIM processes
 - (c) Addressing RIM strategy at the agency/component strategic level
 - (d) Including RIM systems in the agency/component IT strategic plan
 - (e) Streamlining and coordinating electronic records management tools and applications across the agency/component yielding additional gains in efficiency, effectiveness, and re-use
 - (f) Fully capable of leveraging records repositories to properly maintain all records

Assessment Area	Level	Definition
1-4: Awareness The extent to which the agency/component: (a) Has an established method to inform all personnel of their records management responsibilities in law and policy; (b) Has developed a communications program that promotes awareness; and (c) Continuously provides up-to-date RIM policy and guidance to all personnel.	0	No awareness or adoption of RIM principles
	1	Adoption of RIM principles per localized needs/desires
	2	(a) More widespread adoption of standardized RIM principles (b) Staff are more aware of their RIM responsibilities (c) Developing management support structure
	3	(a) RIM principles are applied consistently by the agency/component (b) All staff are aware of individual RIM responsibilities (c) Management support structure is in place to promote adoption of RIM principles
	4	(a) RIM principles are embedded with agency/component business/mission activities (b) Continuous improvement of RIM functions using management support structure and ongoing clear communication methods to elevate RIM performance

Domain 2: Policy, Standards, and Governance

The RIM program has a governance framework, articulated policy, and clear standards.

Assessment Area	Level	Definition
2-1: Policy, Standards, and Governance Framework	0	No RIM policy, standards, or governance exist across the agency/component
	1	(a) Ad hoc RIM policy (b) Few or no formal RIM standards

<p>(a) Agency/component assigns responsibility for developing RIM policy, standards, and governance.</p>	<p>(c) Governance framework is forming to support strategic and operational execution</p> <p>(d) Informal and disparate governance practices</p>
<p>(b) RIM policy, standards, and governance are documented in an understandable manner.</p>	<p>2 (a) Relevant external and internal requirements are starting to be incorporated into a governance framework that establishes RIM principles</p> <p>(b) Limited adoption of agency/component-wide RIM policy, standards, or governance</p>
<p>(c) RIM policy, standards, and governance are based upon legislative and statutory regulatory requirements and professional standards.</p>	<p>3 (a) Formal RIM policy, standards, and governance established for the agency/component</p> <p>(b) RIM elements are widely adopted across the agency/component</p> <p>(c) Governance framework is established to support integration with strategic and operational planning/execution</p> <p>(d) Formal RIM policy, standards, and governance are systematically promulgated through the use of systems, training, auditing, and compliance measurement</p>
	<p>4 RIM policy, standards, and governance framework are:</p> <p>(a) Incorporated into business/mission activities and processes at the strategic level</p> <p>(b) Recognized at the executive-level as a key success factor for the agency/component</p> <p>(c) Continuously improved upon through the use of well-established processes</p> <p>(d) Vertically and horizontally integrated and are well established across the agency/component</p>

Assessment Area	Level	Definition
2-2: Compliance Monitoring	0	No compliance monitoring; reactive and manual processes
<p>(a) Performance measures and goals are established at the agency/component and program levels.</p> <p>(b) The agency/component has mechanisms in place to monitor and review compliance with RIM policy, standards, and governance.</p>	1	<p>(a) Some RIM functions have been informally developed to identify and address compliance</p> <p>(b) Some RIM compliance audit infrastructure</p> <p>(c) Compliance processes are mostly manual</p> <p>(d) Limited standardization of compliance management across the agency/component</p>
(c) Compliance is measured and reported (internal audits, reviews and evaluations).	2	<p>(a) RIM functions are defined to identify and address compliance needs</p> <p>(b) RIM compliance audit is conducted at the agency/component level</p> <p>(c) Initial efforts at standardized measurement and reporting</p> <p>(d) Disparate automation with limited standardization of processes across the agency/component</p>
	3	<p>(a) RIM functions fully implemented to identify, address, manage, measure, and enforce compliance</p> <p>(b) RIM compliance audit is conducted at the agency/component level</p>
	4	RIM functions are integrated into agency/component strategy and business/mission practices to increase compliance levels while reducing management overhead

Assessment Area	Level	Definition
<p>2-3: Risk Management</p> <p>(a) Agency/component identifies and analyzes internal and external risk to agency/component records and information.</p> <p>(b) Agency/component determines who is best to manage or mitigate the risk and what specific actions should be taken.</p> <p>(c) Agency/component monitors the implementation of actions to manage or mitigate risk.</p>	0	<p>(a) Little/no risk analysis; reactive and manual processes</p> <p>(b) High level of exposure to risk during litigation and/or interactions with regulatory bodies</p>
	1	<p>(a) Some RIM functions have been informally developed to identify, address, and manage risks</p> <p>(b) Little/no RIM risk analysis infrastructure</p> <p>(c) Risk mitigation processes are mostly manual</p> <p>(d) Limited standardization of risk management across the agency/component</p> <p>(e) High level of exposure to risk during litigation and/or interactions with regulatory bodies</p>
	2	<p>(a) RIM functions are defined to identify and address risk mitigation needs</p> <p>(b) RIM risk analysis is conducted at the agency/component level</p> <p>(c) Initial efforts at standardized measurement and reporting</p> <p>(d) Disparate automation with limited standardization of processes</p> <p>(e) More unified and active approach to mitigating exposure to risk</p>
	3	<p>(a) RIM functions are fully implemented to identify, address, manage, measure, and reduce risks</p> <p>(b) RIM risk analysis is conducted at the agency/component level</p> <p>(c) Consolidated systems with higher level of standardization of processes facilitate a proactive approach that further reduces exposure to risk</p>
	4	<p>(a) RIM functions are integrated into agency/component strategy and business/mission practices to increase compliance levels maximizing resources for increased efficiencies</p> <p>(b) Agency/component RIM systems with embedded management functions</p>

facilitate optimal management of exposure to risk

Assessment Area	Level	Definition
2-4: Communications The level to which: (a) Agency/component has a flexible communications framework for disseminating RIM policies, standards, and governance; and (b) Agency/component uses a communications framework to ensure that all staff understand and comply with RIM responsibilities.	0	Ad hoc communications for RIM policies, standards, and governance
	1	(a) Minimal development and implementation of communications for RIM policies, standards, and governance (b) Operational mode is reactive
	2	(a) Complete development of centralized and integrated communications for RIM policies, standards, and governance (b) Initial stages of proactive implementation across the agency/component
	3	(a) Communications framework for RIM policies, standards, and governance is fully implemented across the agency/component (b) Processes are established to proactively deliver communications
	4	Agency/component-wide communications for RIM policies, standards, and governance strategies are integrated into core business/mission practices

Assessment Area	Level	Definition
2-5: Internal Controls (Internal controls are defined as: control activities or processes that provide a reasonable	0	No internal controls in place
	1	Some localized internal controls development and use

assurance of the effectiveness and efficiency of operations and compliance with RIM policies and practices such as approvals, authorizations, verifications, reconciliations and segregation of duties that separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.) The agency/component: (a) Identifies and develops internal controls; and (b) Uses internal controls to ensure compliance with RIM policies, standards, and governance.	2	Formal initiatives to develop and implement internal controls across the agency/component to reasonably ensure compliance with RIM policies, standards, and governance
	3	(a) Internal controls have been developed and are beginning to be implemented across the agency/component (b) Staff have been notified of their responsibilities in implementing internal controls
	4	(a) Internal controls are integrated across the agency/component; (b) Staff are aware of internal controls procedures and are actively implementing control activities and processes

Domain 3: RIM Program Operations

The RIM program has effective processes that cover the entire records and information lifecycle.

Assessment Area	Level	Definition
3-1: Lifecycle Management (a) Records and information are	0	(a) No centralized/standardized identification of records (b) No defined RIM lifecycle for records (c) RIM processes are performed ad hoc

**managed throughout the lifecycle:
creation/capture, classification,
maintenance, retention and disposition.**

**(b) Records and information are
identified, classified using a taxonomy,
inventoried, and scheduled.**

(d) No formal definition or classification of records

1 (a) Some processes exist for the identification of records but lack formal definition and standardization

(b) Little/no RIM strategy with localized management of records

(c) Disparate RIM lifecycle processes across the agency/component

(d) Records metadata structure and use are highly localized

2 (a) Formal processes exist for the identification and classification of records across the agency/component

(b) Definition of record types are beginning to be established and standardized across the agency/component

(c) Some unified metadata structures have been developed

(d) Formal RIM strategy exists with a defined lifecycle management schedule

(e) Standardized RIM lifecycle processes have been developed across the agency/component

(f) Standardized RIM processes are beginning to be promulgated across the agency/component

3 (a) Processes for identification and classification of records are standardized across the agency/component

(b) Records definitions are beginning to be managed consistently across the agency/component

(c) Unified metadata structures are beginning to be applied across the agency/component

(d) RIM lifecycle processes are being applied and practiced consistently across the agency/component

(e) Increasing centralization of records lifecycle management

		(f) Some integration of RIM processes with business automation tools
	4	<p>(a) Records identification and classification processes are documented and integrated with agency/component business/mission at the strategic level</p> <p>(b) Records definitions have been developed at the agency/component level</p> <p>(c) Unified metadata structures are applied consistently across the agency/component</p> <p>(d) RIM lifecycle processes are optimized across the agency/component</p> <p>(e) RIM lifecycle processes are fully supported through automation across the agency/component with ongoing and proactive maintenance</p> <p>(f) High level of RIM integration with business/mission activities and processes</p>

Assessment Area	Level	Definition
3-2: Retrieval and Accessibility The level to which records and information are easily retrievable and made accessible when needed for agency/component business.	0	<p>(a) Records are not consistently retrievable or accessible in a timely manner</p> <p>(b) No defined processes for maintaining records making access and retrieval difficult</p> <p>(c) RIM processes are performed ad hoc</p> <p>(d) No formal definition or classification of records</p>
	1	<p>(a) Most records can be accessed and retrieved in a timely manner</p> <p>(b) Little/no RIM strategy for access and retrieval with localized management of records</p> <p>(c) RIM processes for maintaining records are starting to be standardized agency/component-wide</p>

- 2
 - (a) Formal processes exist in order for records to be accessed and retrieved in a timely manner
 - (b) Standardized RIM lifecycle processes have been developed across the agency/component making access and retrieval of records more reliable
 - (c) Standardized processes for access and retrieval are beginning to be promulgated across the agency/component
- 3
 - (a) Processes for identification and classification of records are standardized across the agency/component making access and retrieval reliable
 - (b) Records are usually accessed and retrieved in a timely manner
- 4
 - (a) Records identification and classification processes are documented and integrated with agency/component business/mission at the strategic level in order for records to be accessed and retrieved in a timely manner
 - (b) Records definitions have been developed at the agency/component level making access and retrieval accurate and efficient
 - (c) All records are accessed and retrieved whenever needed in a timely manner

Assessment Area	Level	Definition
3-3: Integration	0	No integration of RIM functionality in core business/mission activities and processes
(a) RIM is integrated into agency/component-wide business processes.	1	(a) Limited and disparate RIM functional integration into business/mission activities and processes with localized efforts (b) RIM processes are designed around existing systems and processes
(b) Recordkeeping requirements are integrated into information systems and contracted services.	2	(a) Formalized planning is beginning to introduce some standardized RIM functionality through integration and rationalization of RIM tools (b) Business strategy and process design consider integration of some RIM functions
(c) RIM staff participate in system acquisition, development, and/or enhancements.	3	(a) Plan is developed to integrate RIM functionality into agency/component-wide core business/mission activities and processes (b) Implementation of standardized tools and technology to facilitate automation of business/mission and RIM processes (c) Developing integration into development of business strategy and process design
	4	(a) RIM functionality standardized and fully integrated into core business processes at the agency/component level (b) RIM operates as an integral component of business strategy development and process design

Assessment Area	Level	Definition
3-4: Security and Protection (a) Agency/component has policies in place to protect records and information from internal and external threats. (b) Agency/component has systematic identification and protection of records and information essential for an emergency or Continuity-of-Operations (COOP) event. (c) Agency/component provides guidance on the handling of records and information exempt from disclosure. (d) Agency/component has access controls and safeguards for security classified information as well as other types of restricted information.	0	No security model in place
	1	(a) Some localized security tools/systems are available (b) RIM security is dependent on uncoordinated tools/systems
	2	(a) Formal initiatives in place to create a security model addressing RIM needs throughout the records lifecycle (b) Limited coordinated management and automation exist across the agency/component (c) RIM security policies are governed and implemented across the agency/component
	3	(a) Standardized security model with policies and procedures in place (b) Coordinated management and automation provide support across the agency/component with some implementation support at the agency/component (c) RIM security policies are defined and beginning to be implemented at the agency/component level
	4	(a) Agency/component security model provides integrated RIM support (b) RIM security is supported by an agency/component service (c) RIM security policies are governed and implemented at the agency/component level

Assessment Area	Level	Definition
3-5: Training (a) Agency/component ensures that all staff are trained on their records management responsibilities. (b) Agency/component supports professional development for RIM personnel. (c) Agency/component provides specialized RIM training to key stakeholders.	0	(a) No formal RIM training (b) No support structure for professional development of RIM personnel
	1	(a) Limited RIM training done on an ad hoc basis with little/no standardization (b) Some support for professional development of RIM personnel
	2	(a) Formalized and standardized RIM training plan has been developed (b) All staff receive some level of basic RIM training, and records roles (e.g. officers, liaisons, stewards) receive specialized training (c) Management support for professional development of RIM personnel is being developed
	3	(a) All staff receive well-defined, customized training based on their job requirements (b) Management support structure is in place to provide consistent and ongoing training and to promote adoption of RIM principles (c) Management supports provisional development of RIM personnel
	4	(a) All staff receive well-defined, customized training based on their job requirements and understand their RIM responsibilities (b) Management supports ongoing training to elevate RIM performance (c) RIM personnel have support for and take part in professional development