Records Management Maturity Model Grid

	Ad hoc	Managed	Standardised	Predictable	Optimised
Access					
Maps to Access Standard	Staff rely on the memory of others because there are no records or they can't be found. It is time consuming to find information	You can find information when you need it from own records system – e.g. shared drive. Aware of corporate records system	Staff understand where information is likely to be found and techniques for searching	Staff are trained in effective searching techniques and information is stored consistently to support access. Staff can retrieve the majority of information.	Staff can retrieve complete information using sophisticated searching techniques and/or intuitive searching methods.
	Security requirements are not identified or enforced	Minimal security is enforced for records easily identified as requiring it.	Security is routinely applied in broad categories to records within a records management system	Security is applied consistently to the majority of records within a business unit using categories tailored to the business unit's needs.	Sophisticated security is applied using a range of methods to all records created. This may include identification of user groups or record types.
	No external access is granted due to staff inability to control access or to identify appropriate responses to requests.	Limited access to generally available records is possible within the university. Staff have limited understanding of privacy implications of sharing records.	Staff understand the information privacy principles and when access to records should or shouldn't be granted to internal staff for different purposes. External access is not generally granted.	Procedures and mechanisms are in place to guide staff in dealing with requests for access to records for university and non university staff.	Staff fully understand the implications of granting access to records for university and non university staff and are sophisticated in the application of these requirements. Privacy is explicitly included as part of training of new staff.

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Control					
Maps to Control Standard	Basic metadata is captured in an ad hoc and unstructured manner.	Limited metadata is captured for records	Automatic capture of key metadata is undertaken for key records	Extensive metadata is captured automatically and mapped to a recognised schema.	Complete metadata for all records is captured effectively according to a recognised schema. Permanent records are described using metadata that aids management over time.
	Documents are named idiosyncratically with no agreed terms	Use shared drive to capture records with some conventions about titling	Regular capture of some records or by some staff with some standardisation	Capturing records using common classification terms by all staff	All records captured and classified

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Create and Capture					
Maps to Capture Standard	Record keeping is often done after the event. Records are often constructed after the event relying on memory.	Record keeping is timely – capture as you go	Templates or other tools encourage consistent capture of information by all staff.	Staff consistently use information already gathered to interact with clients, adding new information to the same record.	Templates and other methods of capture are regularly reviewed for effectiveness and improved.
	Emails only maintained in individual inboxes. Personal and business records are intermingled.	Save emails for workgroup to shared folders	Key staff capture emails identified as significant into corporate records system	All staff capture emails identified as significant into corporate records system	All staff capture all business emails into corporate records system
	Staff are unclear about what is a record and which information needs to be managed	Know what a public record is and can make a distinction between records and non records	Staff know what records need to be created and captured	Business processes are mapped and the records that come from them identified	Business processes are mapped and the records that come from them identified. There is a knowledge of the interrelationships between cross unit business processes
	Staff rely on the memory of others because there are no records or they can't be found.	Staff can capture information into a local records system- i.e shared drive. Aware of corporate records system	Corporate records system is used by selected staff	Corporate records system is used by all staff	Corporate records system is used by all staff consistently.

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Disposal					
Maps to Disposal Standard	Disposal happens reactively – following loss of storage or similar prompts for action. There are big accumulations of mixed or uncontrolled records. Staff don't know what records are there.	Aware of university RDA and/or ask Records Services for advice	Regular disposal program is undertaken by business unit staff with all checks and balances in place.	Regular scheduled disposal program is undertaken by trained business unit staff with all checks and balances in place.	Regular scheduled disposal program is undertaken by trained business unit staff with all checks and balances in place. All records have been appraised and sentenced and no backlog of records exists.

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Procedures and Systems					
Maps to Operations Management Standard	Procedures and systems are fragmented and not agreed between staff. Systems are used inconsistently and no training of new staff in records policies is undertaken.	Basic induction of new staff about how to find and use information. Basic levels of management, controls and disciplines are in place	Procedures in place for key records activities	Procedures in place and staff know how to apply them. Occasionally reviewed	Training programs for new staff outlining records procedures. Procedures are regularly reviewed
	Staff are unaware of the compliance requirements in records management. Staff generally manage their own records with no reference to other staff.	Varying degrees of responsibility taken by staff for managing records within a business unit.	Single point of responsibility appointed for records management for a business unit. An LRC has been appointed. Staff are generally aware of their responsibilities	The LRC is used as a records management resource by other staff within the business unit. The LRC liaises effectively with Records Services on a regular basis and asks for advice when required. Staff are aware of their responsibilities for records management.	Staff are fully aware of their responsibilities for records management and new staff receive induction training about records management. The LRC works effectively with other LRCs to contribute to the spread of good records management across the university and undertakes training to progress their skills.

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Storage					
Maps to Storage Standard	Records are kept in unsecured locations and/or in dangerous situations	Aware of need to store records securely and in suitable environments – use secure cabinets, storage areas etc. Apply read only access when needed	Suitable storage is in place	Suitable storage is in place and is inspected regularly	Suitable storage is in place and inspected regularly. Forward planning of storage needs is undertaken.
	Staff are not aware of potential disasters or what to do in case of disaster	Staff are aware of potential disasters but do not have an understanding of how to respond	Staff are aware of where to find information in the case of a disaster and act accordingly	Staff are ready to respond to records management disasters	Disaster Recovery is a part of training and included in emergency drills.
	Storage is inefficient as records are allowed to accumulate without control or disposal meaning that more space is used than is necessary	Prime office space or digital storage is not used unnecessarily for storage of inactive records.	Records are generally stored in locations appropriate to their value – i.e. short retention records are in less optimal conditions.	Records are consistently stored in locations based on value or retention. Storage areas may not be co-located with the unit if this is more efficient.	Storage is tailored precisely to need, is cost efficient and not used wastefully.