

JUDICIAL RECORDS MANAGEMENT (RM) MATURITY MODEL and SCORECARD

GOVERNANCE

Key Area	Level 1 Sub-standard	Level 2 Minimal	Level 3 Compliant	Level 4 Progressive
Policies and procedures	RM policies and procedures have not been documented.	Policies and procedures for some RM activities are documented.	Policies and procedures for all RM activities and responsibilities have been approved and published.	Published policies and procedures are regularly reviewed and updated with input from staff and users.
Training	Staff training for RM has not been implemented.	Informal, on-the-job training in RM procedures occurs.	RM training is provided to all staff with RM duties and responsibilities.	In addition to task-related training, key staff receives RM training and information offered by outside agencies and/or professional associations.
Roles/responsibilities	Roles and responsibilities for RM are not clearly defined or understood by staff.	Roles and responsibilities for RM are informally understood.	Roles and responsibilities for RM are clearly defined in published policies, job descriptions, and organizational charts.	RM staff meets periodically to discuss issues and make recommendations for improvement.
Performance measures	No RM performance measures have been adopted.	Informal processes are in place for monitoring records quality and accessibility.	Standard performance measures for RM are monitored and reported periodically.	The court takes action to improve RM performance based on the results of performance monitoring.
Funding	Funding needs to sustain RM activities have not been identified.	Funding for RM is taken into account in the general budget process.	Funding requirements directly related to RM are identified and tracked as part of the budget process.	Funding requirements for are included in a long-term strategy for RM.
Strategy	There is currently no strategic plan that includes RM.	A strategic plan has been adopted in the past that includes RM issues.	Strategic planning that includes RM occurs on a regular basis.	Strategic plans are regularly monitored, updated and implemented for RM.

INTEGRITY

Key Area	Level 1 Sub-standard	Level 2 Minimal	Level 3 Compliant	Level 4 Progressive
System maintenance	System maintenance occurs when problems are identified.	Physical and technical systems are upgraded when problems occur or at the end of warranty periods.	A schedule for regular replacement or upgrades has been established and is followed.	Standards for system maintenance and replacement exceed minimum requirements and replacement schedules.
Indexing/organization	Indexing and organization of records is generally ad hoc and controlled by employees or divisions.	Principal, structured records are consistently indexed and organized according to pre-determined policies.	Structured and unstructured records are maintained according to pre-determined policies for indexing and organization.	Senior management or the governing authority requires on-going reviews and/or upgrades of processes affecting record organization.
Metadata	Records contain minimum or no related metadata.	Primary or essential records contain necessary descriptive metadata.	All records have associated descriptive metadata; critical archived records are assigned preservation metadata.	Records metadata includes both descriptive and preservation metadata maintained in accordance with current and emerging standards.
Authenticity	No processes or audits are in place to ensure authenticity of records and documents.	Principal records have accompanying metadata to verify authenticity.	A formal process is in place to ensure that checks for authenticity and chain of custody are applied.	There are clear definitions and processes in place for all systems; audits are conducted to ensure compliance.
Third party vendors	Vendors are trusted to maintain the integrity of records under their control.	Vendor contracts contain language requiring vendors to ensure the integrity of records under their control.	Vendor systems are regularly monitored or audited to ensure that standards and procedures are in place to maintain record integrity.	The court has established and enforces its own standards concerning records integrity for third party vendors through monitoring and audits.
Chain of custody	Tracking the chain of custody occurs on an ad hoc basis.	Basic procedures are in place to track the chain of custody for major record types such as case files.	The chain of custody and current custody status is known for major electronic and paper records.	All records are maintained in a manner that ensures an accurate chain of custody; periodic reviews or audits are conducted to ensure compliance.

COMPLIANCE

<u>Key Area</u>	Level 1 Sub-standard	Level 2 Minimal	Level 3 Compliant	Level 4 Progressive
Oversight	The responsibility for records oversight has not been assigned or is uncoordinated.	Responsibility for records oversight is assigned to individual staff or units but not coordinated.	Compliance is monitored by a responsible entity or individual within the court with direct control over all records activities.	The entity or individual for oversight actively reviews and audits record keeping practices within the court.
Court rule/statute	Information regarding court rule and statutory requirements is not generally disseminated in the court.	Senior staff and supervisors are trained or aware of court rule and statutory requirements.	All court employees are aware of, or have access to, statutory and court rule requirements.	Court managers actively oversee statutory and court rule compliance and provide related training for staff.
Local policies	The court does not enforce or monitor court records policies.	Compliance with local court records policies are the responsibility of individual managers or supervisors.	The court publishes and enforces internal records policies.	Records policies are continuously reviewed and updated as needed. Employees receive regular training or updates.
Auditing	Record audits are infrequent or not conducted at all.	Compliance audits are conducted when problems are identified.	Compliance audits are conducted periodically for primary records.	A regular program of audits is in place to ensure all records are maintained in compliance with applicable laws, rules and policies.
Holds/exceptions	Procedures or policies are not in place to place holds on destruction or transfer of individual records.	Holds or exceptions on records destruction or transfer are made on a case-by-case basis by individual supervisors.	Policies for holds and exceptions are in place and applied court-wide.	Protocols and functionality are in place to automatically hold or defer transfer of electronic records.
Classification	Record classification is locally controlled.	The court follows standards for classification of major records types.	Policies and standards are in place and enforced for classification of all structured record types.	Policies are in place and enforced for classification of all record types, including unstructured records such as email.

ACCESS

<u>Key Area</u>	Level 1 Sub-standard	Level 2 Minimal	Level 3 Compliant	Level 4 Progressive
Requests for information	No formal process exists for responding to information requests.	Staff receives general directions on handling information requests, but the process is primarily ad hoc.	Protocols for responding to information requests have been established and disseminated to staff.	The court periodically engages clients to determine information needs and modifies systems to improve access.
Timeliness	External requests for information are often left unfulfilled or not responded to promptly.	Requests for basic case and calendar information are responded to in a timely manner.	The court is able to handle most requests for case and calendar information, as well as other data or record requests, in a timely manner.	The court makes information readily available in various formats, as well as publishing for access through the internet.
Multi-media access	Access is primarily limited to paper records.	Paper records, micrographic, and some electronic information are available.	Access is provided to most paper, micrographic, and electronic records, as allowed by rule or statute.	The court can respond to requests utilizing a variety of media in response to the needs of specific requestors.
Access control	Individual staff determines whether requestors are entitled to information.	Staff has basic guidelines regarding the confidentiality of records and who may access them.	Written policies and procedures guide all employees concerning requests for records, data, and other information.	In addition to written policies and procedures, efforts are made to educate the public and other stakeholders concerning what can, and cannot, be provided.
Public access	Public access primarily requires an in-person appearance at the court by the requestor.	The public may access records at the court or in some cases via the web.	The public may access all court records through a variety of formats.	The court actively publishes court record information for public consumption.
Staff access	Employee access to records is limited by physical and/or organizational limitations.	Systems are designed to provide staff with easy access to active records in most locations.	Both active and inactive records are stored in a manner that facilitates timely access by staff.	Active and inactive records systems are regularly monitored and adjusted to ensure timely and access.
Third party holdings	Records under custody of a third party are not readily available to requestors.	Staff has unlimited, though not timely, access to records held by third parties.	Access to records under third party control is unrestricted, subject to user access rights.	Records under third party control are available in various formats (paper, digital) based on the needs of the requestor.

PRESERVATION

Key Area	Level 1 Sub-standard	Level 2 Minimal	Level 3 Compliant	Level 4 Progressive
Storage conditions	Records are stored in available spaces without regard to environmental conditions or requirements for specific media.	Active records are stored in climate-controlled storage areas.	All records are stored in climate-controlled storage areas in systems that meet minimum storage standards for media types.	All records are stored under conditions that meet or exceed minimum requirements; all storage locations are monitored regularly.
Security	Minimal access controls are in place to protect paper and digital records.	Records security and access control are locally implemented without central oversight.	All records are stored in a manner that provides security appropriate to the type of record and the media.	Routine reviews, tests, and audits are conducted of security controls and systems to ensure reliability.
Duplication and backup	Duplicates are generally not maintained as a backup for paper or electronic records.	Electronic records are routinely backed up to a local site or duplicated in paper or micrographic form.	Procedures are in place for regular backups of electronic and paper records. Backups are maintained off-site.	The court maintains a regular schedule of multiple backups and periodically inspects or audits to ensure reliability.
Vital records	Vital records have not been identified.	Vital records have been identified and are stored or labeled separately.	Vital records are provided with higher level of security and storage conditions in accordance with the media on which they are stored, and have at least one backup.	Vital records are provided with appropriate security and storage conditions, and multiple, off-site backups or duplicates are maintained and monitored.
Storage media	Storage media are used until the end of their useful lifecycle. Periodic audits of quality are not conducted.	Storage media are checked and replaced when problems are found through routine use.	All storage media are routinely checked to ensure stability and reliability, and replaced as necessary.	In addition to regular checks and replacement, storage media are scheduled for replacement and upgrading on a regular cycle that is well within manufacturer recommended lifecycles.
Disaster planning and recovery	A disaster plan and recovery protocols have not been developed.	An informal plan for disaster recovery has been developed or discussed.	A written disaster plan and recovery protocol, including staff roles and responsibilities, has been established.	In addition to disaster planning and protocols, periodic drills and emergency simulation exercises are conducted to test readiness.
Hazard mitigation	There is no system or protocol for identifying or dealing with potential hazards to paper or electronic records.	Potential hazards are taken into account when locating records.	Record storage locations and systems are routinely monitored for protection against new or potential hazards.	A regular hazard and security audit or review is conducted either independently or in conjunction with the regular

				records inventory.
Third party compliance	Third party vendors set the terms of their services. Audits are not conducted.	Contracts with third party vendors include terms and conditions specific to the needs of the jurisdiction.	Third party vendors are required to provide proof of compliance with terms and conditions of services.	Audits of third party vendors are conducted to ensure continuing compliance with terms and conditions of service contracts.
Loss prevention	Records are not checked for condition unless problems are encountered during routine use.	Records are checked for condition at major milestones, such as movement to archives or closed storage.	Records and records media are routinely checked for condition and steps are taken to correct restore damaged records and remediate conditions.	In addition to routine checks, a regular hazards analysis is conducted to identify potential risks and action is taken to mitigate those risks.

DISPOSITION

Key Area	Level 1 Sub-standard	Level 2 Minimal	Level 3 Compliant	Level 4 Progressive
Appraisal	A records appraisal has not been conducted.	A records appraisal has been conducted for major record series at some time in the past.	Records are appraised and classified prior to destruction, archiving or transfer.	Records are appraised on a regular basis, as well as prior to destruction or archiving.
Disposition methods	There is no policy concerning methods of records disposal.	Disposal methods are left to the discretion of disposal vendors and/or staff.	A formal policy for media-specific records, including policies for confidential records, disposal has been adopted and is followed.	Records disposal by third parties is monitored to ensure completeness and compliance with media-specific disposal methods.
Duplicate/redundant records	The quantity/location of duplicate records is not known.	Redundant and duplicate records are eliminated as they are identified.	Redundant and duplicate records are identified and disposed as part of the regular appraisal and disposition process.	Redundant and duplicate records are actively monitored and eliminated as soon as their useful lifecycle has ended.
Archival formats	Standard formats for long-term digital retention have not been adopted.	An open standard format has been implemented for long-term digital storage.	Multiple open standard formats are accepted and supported for digital records.	Technical staff monitors and evaluates emerging open standards for possible adoption.
Migration planning	No plan for migration of digital records is in place.	Digital records are migrated when current systems are outdated or fail.	A plan and schedule for migration of digital records is in place and followed.	In addition to a migration plan, technical staff is actively involved in identification and application of new storage technologies.

SCORECARD

Standard / Key Element	1	2	3	4
GOVERNANCE				
Training				
Roles/responsibilities				
Performance Measures				
Funding				
Strategy				
COMPLIANCE				
Oversight				
Court rules/statutes				
Local policies				
Auditing				
Holds/exceptions				
Classification				
INTEGRITY				
System maintenance				
Indexing/organization				
Metadata				
Authenticity				
Third party vendors				
Chain of custody				
ACCESS				
Requests for information				
Timeliness				
Multi-media access				
Access control				
Policies				
Public access				
Staff access				
Third party holdings				
PRESERVATION				
Storage conditions				
Security				
Duplication and backup				
Vital records				
Storage conditions				
Disaster planning & recovery				
Hazard mitigation				
Third party compliance				
Loss prevention				
DISPOSITION				
Appraisal				
Disposition methods				
Duplicate/redundant records				
Archival formats				
Migration planning				