|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | | **BASIC** | | **STANDARDIZED**  **(compliance-focused)** | | **RATIONALIZED**  **(risk-focused)** | | **DYNAMIC**  **(governance-focused)** | |
|  |  |  | |  | |  | |  | |
| **PEOPLE** | **Executive Management** | *Disconnected*  🞎 | | *Supportive; receives status reports from individual business leaders*  🞎 | | *Supportive; receives & responds to consolidated status reports from executive leader, e.g. CIO*  🞎 | | *Same as Rationalized, plus actively, routinely engaged*  🞎 | |
| **Data Governance Organization** | *Localized, if any*  🞎 | | *Individual governing bodies (e.g. by data domain)*  🞎 | | *Same as Standardized, plus a central governing body guides, coordinates, consolidates individual efforts*  🞎 | | *Same as Rationalized, plus central governing body forms/abolishes/re-structures individual groups to meet changing needs*  🞎 | |
| **Workforce & trusted partners** | *Roles and responsibilities unclear*  🞎 | | *Roles and responsibilities defined and communicated locally*  🞎 | | *Roles and responsibilities defined and communicated at institution level*  🞎 | | *Same as Rationalized, plus executive management adjusts as needed*  🞎 | |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | | **BASIC** | | **STANDARDIZED**  **(compliance-focused)** | | **RATIONALIZED**  **(risk-focused)** | | **DYNAMIC**  **(governance-focused)** | |
|  |  |  | |  | |  | |  | |
| **PROCES** | **Guiding Principles** | *DG processes implemented ad hoc*  🞎 | | *Localized, repeatable processes based on institutional guiding principles*  🞎 | | *Same as Standardized, plus duplicate processes eliminated and complex processes simplified*  🞎 | | *Same as Rationalized, plus processes continuously improved to optimize efficiency/effectiveness*  🞎 | |
| **DG**  **Organization** | *Disparate, localized groups use autonomous DG processes*  🞎 | | *Disparate, localized groups use standard DG processes*  🞎 | | *Hierarchical DG structure uses standard processes*  🞎 | | *Same as Rationalized, plus DG processes continuously improved*  🞎 | |
| **DG Requirements Definition** | *Localized, ad hoc translation of regulations into data compliance requirements*  🞎 | | *Standard process for translation of regulations into data compliance requirements*  🞎 | | *Same as Standardized, plus effort to ensure translation process works properly*  🞎 | | *Same as Rationalized, plus translation process continuously improved*  🞎 | |
| **Strategies & Policies** | *None*  🞎 | | *Disparate, localized groups develop their own strategies and policies*  🞎 | | *Common DG strategies and policies*  🞎 | | *Same as Rationalized, plus strategies and policies continuously reviewed and updated*  🞎 | |
| **Control Environment** | *Ad hoc controls tuned for localized needs*  🞎 | | *Standard process for defining localized controls*  🞎 | | *Process and technical control synchronized to meet institution-level needs*  🞎 | | *Same as Rationalized, plus process and technical controls continuously reviewed and updated*  🞎 | |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | | **BASIC** | | **STANDARDIZED**  **(compliance-focused)** | | **RATIONALIZED**  **(risk-focused)** | | **DYNAMIC**  **(governance-focused)** | |
|  |  |  | |  | |  | |  | |
| **TECHNOLOGY** | **Confidential Information Life Cycle** | *Inconsistently examined and documented*  🞎 | | *Examined and documented as standard practice*  🞎 | | *Same as Standardized, plus lessons learned applied*  🞎 | | *Same as Rationalized*  🞎 | |
| **Security Technology Domains** | *Reactive, ad hoc point solutions*  🞎 | | *With input from business units, central IT defines roadmap for comprehensive security infrastructure and implements components selectively (e.g., IdM, but not web application vulnerability scanning)*  🞎 | | *Central IT has technology in place to actively monitor use of and results from deployed security infrastructure components*  🞎 | | *Same as Rationalized, plus comprehensive security infrastructure fully and consistently deployed.*  🞎 | |
| **Privacy, Confidentiality, Compliance Risk/Gap Analysis** | *None*  🞎 | | *Independent working groups regularly conduct data risk/gap analysis*  🞎 | | *Imbedded in overall confidential information risk management program*  🞎 | | *Same as Rationalized*  🞎 | |