

# Sharing Justice Information: A Capability Assessment Toolkit Dimension Worksheets



**BJA**

**Bureau of Justice Assistance**  
Office of Justice Programs ■ U.S. Department of Justice



**Center for  
Technology in Government**



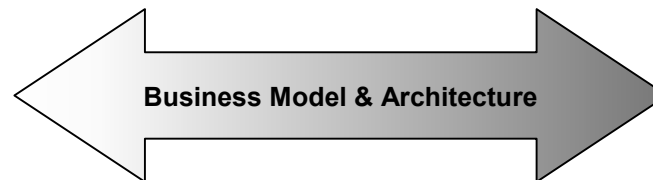
## 1. Business Model & Architecture

This dimension deals with the degree of modeling and architecture development that is already in place to support the information-sharing objectives. Planning and design of effective information sharing and interoperability depend to a significant degree on a clear and detailed analysis of the entire enterprise involved. By enterprise we mean all the organizations that participate in the services and business processes in which the information sharing takes place. That analysis typically takes the form of a description of the business model and possibly also of the enterprise architecture. Such a description identifies the service and operational components of the enterprise and describes how they are connected to each other and what technologies are used to implement them. These models may also include detailed analyses of business processes within which the information sharing takes place.

Settings with high capability on this dimension base their information-sharing strategies on detailed and comprehensive business models and an overall enterprise architecture. The strategic objectives of the information sharing are clearly described and linked to the underlying business model. The enterprise architecture guides decisions on technology design and procurements, and coordinates changes in business processes.

Settings with low capability on this dimension have neither detailed models nor an understanding of the overall business processes within which the information sharing is to occur. Project design and technology decisions are made without knowledge of interactions in the business process or within the enterprise. Staff members have only limited understanding of process analysis and modeling skills.

Design and  
technology  
decisions guided  
by business  
models and  
enterprise  
perspectives



Absence of  
business models  
and enterprise  
thinking; ad hoc  
and isolated  
decision making

Please follow the instructions on the next page.

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		<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>		<b><i>H, M, L</i></b>
1.1	<i>We have a comprehensive business model of the information-sharing initiative.</i>								
1.2	<i>We have identified the strategic objectives for each information-sharing activity.</i>								
1.3	<i>We have identified an enterprise model or architecture for the information-sharing initiative.</i>								
1.4	<i>We have analyzed the full range of business processes involved in information sharing.</i>								
1.5	<i>We have identified all business process discrepancies that may interfere with information sharing.</i>								
1.6	<i>We have eliminated all business process discrepancies that may interfere with information sharing.</i>								
1.7	<i>Technology design and procurement decisions are guided by and referenced to an enterprise architecture.</i>								

## 2. Collaboration Readiness

This dimension deals with readiness for collaboration within and across organizations. Collaboration is essential to establishing and maintaining information-sharing relationships and structures. Evidence of readiness for collaboration can include specific policies and procedures to support collaboration. It can also be shown in the quality and effectiveness of relationships with stakeholders, such as advisory committees. Collaboration readiness is reflected in relationships between information users and the organizational leadership, and in the provision of resources to support collaboration, including staff, budget, training, and technology. Successes or failures in past collaborative activities can be significant indicators of readiness for future collaboration.

Organizations ready for collaboration have a track record of successful collaboration and actively seek out new opportunities for

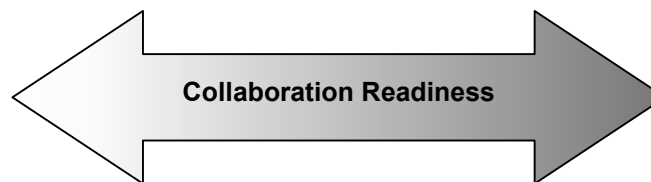
***partnering across organizational boundaries. They have allocation*** models that respond to the need for cross-boundary assignment of resources including money, people, technology, and information. They also have leadership support for working across organizational boundaries, and they reward such activities.

Organizations with low readiness for collaboration view the open dialog and compromise necessary for collaboration as threats to their interests and power bases. They see collaboration as a form of compromising or loss rather than as an opportunity to enhance their ability to respond to challenges. This could be a result of bad experiences with previous collaborative efforts. Such organizations may avoid or resist initiatives requiring collaboration.

Actively seek  
collaboration

Readily available  
resources for  
collaboration (money,  
people, technology, etc.)

Policies and practices to  
support collaboration



Threatened by  
collaboration

Lack of resources and  
support for  
collaboration

No experience with  
cross-boundary  
collaboration

***Please follow the instructions on the next page.***

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		<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>		<b>H, M, L</b>
2.1	<i>We actively seek opportunities for collaboration.</i>								
2.2	<i>We have a substantial record of successful collaboration across organizational boundaries.</i>								
2.3	<i>We have policies that effectively support collaboration .</i>								
2.4	<i>We have management practices that effectively support collaboration.</i>								
2.5	<i>We have standard operating procedures that effectively support collaboration.</i>								
2.6	<i>We are willing to commit resources (staff, finances, technology, etc.) across boundaries.</i>								
2.7	<i>We have effective mechanisms to commit resources across boundaries.</i>								

*Continued on next page 5*

**2. Collaboration Readiness:**  
(Continued)

Actively seek  
collaboration

Readily available  
resources for  
collaboration (money,  
people, technology, etc.)

Policies and practices to  
support collaboration



Threatened by  
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Lack of resources and  
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2.8	<i>We have an executive-level champion of collaborative activities.</i>								
2.9	<i>We have high levels of stakeholder support for collaboration.</i>								
2.10	<i>We have an effective agreement for hardware sharing.</i>								
2.11	<i>We have an effective agreement on network resource sharing.</i>								
2.12	<i>We have an effective agreement for software and application sharing.</i>								
2.13	<i>There is an effective agreement for sharing technical staff.</i>								
2.14	<i>Whenever needed, technical staff resources are easily shared.</i>								

*Continued on next page 6*

**2. Collaboration Readiness:**  
(Continued)

Actively seek  
collaboration  
  
Readily available  
resources for  
collaboration (money,  
people, technology, etc.)  
  
Policies and practices to  
support collaboration



Threatened by  
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Lack of resources and  
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2.15	<i>Whenever needed, network resources are easily shared.</i>								
2.16	<i>Whenever needed, hardware resources are easily shared.</i>								
2.17	<i>Whenever needed, software and application resources are easily shared.</i>								
2.18	<i>Our network infrastructure fully supports collaboration and information sharing.</i>								

### 3. Data Assets & Requirements

This dimension deals with the degree to which data-related resources, policies, and practices reflect a high capability for sharing and using data across organizations. Evidence of this capability can be found in formal policies for data use, storage, and handling and in documentation of databases and record systems as well as in data quality standards and data dictionaries. Evidence can also be found in the procedures for and results of data requirement analyses as well as in data models and modeling techniques. These elements form an essential part of the description and understanding of data necessary for establishing sharing processes and relationships.

Organizations with high capability on this dimension invest in the creation of comprehensive data assets and the modeling of requirements. They know what data they need to have available.

They invest in the creation and maintenance of a comprehensive set of metadata. There are well-developed and standardized data definitions and quality standards. Standard procedures for acquisition, storage, maintenance, and disposal of data are specified, clearly communicated, and fully implemented.

Organizations with low capability on this dimension do not invest in or use standards that are relevant beyond their own immediate and narrow data needs. Descriptions and analysis of data assets and requirements are neither comprehensive nor systematically maintained. They have little experience with data modeling and have difficulty describing and communicating about their data resources and requirements and thus make information sharing difficult.

High quality metadata  
Uniform data policies  
Experience in data sharing  
Established and agreed-upon data standards



Lack of quality metadata  
Lack of uniform data policies and standards  
Lack of experience in data sharing

*Please follow the instructions on the next page.*



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3.1	<i>High quality metadata is available for all data needed.</i>								
3.2	<i>We maintain accurate data inventories for all data needed.</i>								
3.3	<i>We have current and comprehensive data reference models.</i>								
3.4	<i>There are uniform policies for data access.</i>								
3.5	<i>There are uniform policies for data ownership.</i>								
3.6	<i>There are uniform policies for data maintenance.</i>								
3.7	<i>There are uniform policies for data liability.</i>								

*Continued on next page 9*

### 3. Data Assets & Requirements:

(Continued)

High quality metadata  
Uniform data policies  
Experience in data sharing  
Established and agreed-upon data standards



Lack of quality metadata  
Lack of uniform data policies and standards  
Lack of experience in data sharing

	<b><i>DIMENSIONS</i></b>	<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
3.8	<i>Staff have extensive experience in sharing data.</i>								
3.9	<i>Standard definitions for all data have been adopted.</i>								
3.10	<i>Quality standards for all data have been adopted.</i>								
3.11	<i>Acquisition standards for all data have been adopted.</i>								
3.12	<i>Full sets of explicit user data requirements have been developed.</i>								
3.13	<i>Users' data requirements are well understood.</i>								
3.14	<i>We have fully identified discrepancies in data requirements.</i>								
3.15	<i>We are willing to reconcile discrepancies in data requirements.</i>								

***Dimension #4 Governance, on next page.***

## 4. Governance

This dimension deals with the mechanisms to set policy and direct and oversee the information-sharing initiatives planned or underway. Evidence of the effectiveness of governance mechanisms will be found in the scope and clarity of policies and other sources of authority as well as in the procedures and organizational arrangements for making decisions and allocating resources. There will also be evidence of the means to ensure that policies are implemented and decisions are carried out.

Settings with high capability on this dimension have governance mechanisms that have a clear, ample, and viable charter or other sources of authority to move the information-sharing initiatives forward.

Organizations with an effective governance structure operate smoothly and purposefully. Governance policies and procedures are clearly defined and agreed upon and involve all relevant parties. The governance structure has the appropriate authority to make decisions across disciplines, levels of government, and agencies. Methods for conflict resolution and consensus are well established.

Settings with low capability on this dimension lack a clear or authoritative charter to operate and have poor policy-making and control mechanisms. Decisions and actions are delayed or inhibited by slow decision making, uncertainty, and unresolved conflicts.



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4.1	<i>We have a formal charter providing authority for specifying goals, roles, and responsibilities to proceed.</i>								
4.2	<i>We have a governance body that has the authority it needs to be successful.</i>								
4.3	<i>Our authority to proceed is clear to all participants and stakeholders.</i>								
4.4	<i>Our authority to proceed is fully accepted by all participants and stakeholders.</i>								
4.5	<i>All relevant parties are effectively engaged in governance.</i>								
4.6	<i>Our governance body has all the support and resources needed to ensure its effectiveness.</i>								



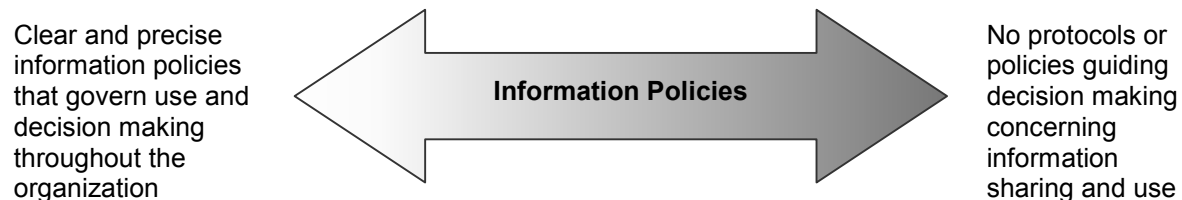
## 5. Information Policies

This dimension deals with information policies that can affect the capability for information sharing. These policies deal with collection, use, access, dissemination, and storage of information as well as privacy, confidentiality, and security. Evidence about these policies and how they affect information-sharing capability can be found in the policies themselves (written laws, rules, regulations, and other formal policies) and in how they are documented, implemented, and enforced.

Settings with high capability on this dimension have wide-ranging, clear, and precise information policies that encourage and support the desired information sharing. These policies are systematically implemented and enforced to facilitate information sharing within and

across organizational boundaries. Within these settings, policies are seen as supporting and facilitating information sharing.

Settings with low capability on this dimension are characterized by the absence of policies or by poorly implemented policies guiding information sharing. There may be confusing or conflicting information policies that demonstrate a lack of adequate knowledge about information needs or uses. Low capability settings may also have policies that cover only one aspect of information use but do not incorporate all of the other aspects required for information sharing. These settings lack policies to support sharing of sensitive or high-stakes information. Settings with low capability on this dimension may also have policies that interfere with successful information sharing.



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5.1	<i>We have information policies that effectively support and encourage information sharing.</i>								
5.2	<i>Information policies that apply to this initiative are well defined.</i>								
5.3	<i>Information policies are fully accessible throughout the information-sharing setting.</i>								
5.4	<i>Information policies are fully implemented and enforced.</i>								
5.5	<i>None of our information policies inhibit or interfere with information sharing.</i>								
5.6	<i>Our information policies are consistent across all information-sharing organizations.</i>								
5.7	<i>Our information policies are subject to regular review and revision.</i>								

## 6. Leaders & Champions

This dimension deals with two roles that are critical to the success of information-sharing initiatives: leaders and champions. Effective leaders motivate and build commitment, guide and coordinate activities, encourage creativity and innovation, and mobilize resources. They see the goal clearly and are able to craft plans for achieving these goals. Champions communicate a clear and persuasive vision for an initiative, provide the authority and legitimacy for action, and build support in the environment. In some cases the same person can perform both roles. Evidence for this dimension can be seen in formal leadership or championing roles, consensus on who acts in these roles, documents or formal records of activity, and levels of public support, publicity, or other recognition.

Settings with high capability on this dimension have leaders and champions who are clearly identified and accepted. Leaders are engaged in all aspects of the initiative and support it with resources, guidance, timely decisions, and effective motivation. The champion is highly visible and energetically promotes the initiative to all stakeholders, articulates a clear and compelling vision, and provides authority and legitimacy to the effort.

Settings with low capability on this dimension lack an active and effective leader or have disruptive competition for the leadership role. They also lack a visible, active champion, resulting in inadequate authority, visibility, or legitimacy in the stakeholders' environment.



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6.1	<i>Leadership in this initiative effectively establishes the authority and legitimacy for work to proceed.</i>								
6.2	<i>Leadership in this initiative effectively motivates participants.</i>								
6.3	<i>Leadership in this initiative effectively builds commitment among participants.</i>								
6.4	<i>Leadership in this initiative effectively guides and coordinates activities.</i>								
6.5	<i>Leadership in this initiative effectively promotes creativity and innovation.</i>								
6.6	<i>Overall we have excellent leadership for this initiative.</i>								
6.7	<i>Leadership in this initiative effectively articulates a vision for the effort.</i>								
6.8	<i>This initiative has a champion who effectively generates support among the stakeholders.</i>								

## 7. Organizational Compatibility

This dimension deals with identifying and accounting for similarities and differences in practices and culture among the organizations involved in information sharing. Evidence of compatibility will be found in work styles and interpersonal relationships, participation in decision making, levels of competition and collaboration, and styles of conflict resolution. Organizational culture may also be expressed in the degree of centralization, the degree of conformity, deference to authority, strict adherence to rules, and symbols of status and power. Basic characteristics of organizations, such as size, professional makeup of the staff, and mission, may also affect compatibility.

Settings with high capability on this dimension have strong alignment and consistency in their beliefs, work styles, authority

relationships, and preferred levels of collaboration and knowledge sharing. Participants share similar attitudes and beliefs about how to make decisions, exercise authority, and resolve conflicts. Organizational staff may also have additional similarities in professional training and orientation.

In settings with low capability on this dimension participating organizations diverge widely in their beliefs on how work should be done and how organizational relationships should be managed. Differences in these beliefs and styles of operation cause misunderstanding and conflict and thus present barriers to collaboration.



*Please follow the instructions on the next page.*



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		<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>		<b>H, M, L</b>
7.1	<i>We have similar organizational cultures and practices in our setting.</i>								
7.2	<i>In our plans and strategies we take into account differences in centralization among organizations.</i>								
7.3	<i>In our plans and strategies we take into account differences in participation in decision making.</i>								
7.4	<i>Organizations in our setting have similar collaborative work styles.</i>								
7.5	<i>We take into account differences in closeness of supervision among organizations.</i>								
7.6	<i>Organizations in our setting show similar competitive styles and actions.</i>								
7.7	<i>Organizations in our setting have similar styles of conflict resolution.</i>								

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**7. Organizational Compatibility:**  
(Continued)



	<i><b>DIMENSIONS</b></i>	<i><b>SA</b></i>	<i><b>A</b></i>	<i><b>N</b></i>	<i><b>D</b></i>	<i><b>SD</b></i>	<i><b>DK</b></i>	<i><b>EVIDENCE</b></i>	<i><b>H, M, L</b></i>
7.8	<i>We take into account differences in deference to authority among organizations.</i>								
7.9	<i>In our plans and strategies we take into account size differences among organizations.</i>								
7.10	<i>In our plans and strategies we take into account differences in the professional orientation of staff.</i>								

***Dimension #8 Performance Evaluation, on next page.***

## 8. Performance Evaluation

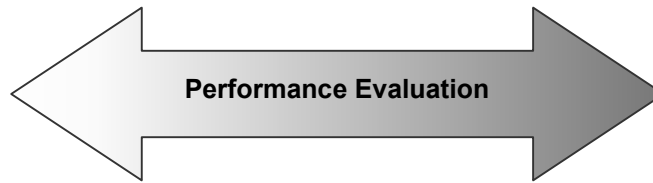
This dimension deals with the capability to evaluate the performance of the information-sharing enterprise or initiative. Performance evaluation capability has multiple, related components. They consist of the skills, resources, and authority to observe, document, and where appropriate, measure: (1) how well the initiative itself is developed and implemented (often referred to as input and process measures); (2) how well information-sharing goals are being achieved (initiative or system output evaluation); and (3) how much information sharing improves the performance of the justice enterprise (institutional or public safety outcomes). Evidence of performance evaluation capability can be found in the documentation of clearly articulated and accepted goals, evaluation policies and procedures, resources devoted to evaluation activities, evaluation results, and mechanisms to integrate performance evaluation with management and governance.

In settings with high capability on this dimension performance evaluation is regarded as a critical element in implementing effective

information sharing. Consequently, these settings invest adequate resources in performance evaluation. Performance goals are agreed upon and measurable or documentable. Evaluation results are available regarding the performance of initiative management and implementation, information-sharing performance, public safety, and other business outcomes. Evaluation is used for the continuous improvement of processes as well as for the overall assessment of outcomes. Evaluation methods support efforts to optimize performance.

Settings with low capability on this dimension are characterized by poorly implemented evaluation procedures and policies or the absence of such procedures and policies. Little or no investment is made in conducting or using performance evaluations to improve processes or outcomes. Some policies and practices may inhibit or interfere with conducting or using evaluations.

Systematic, rigorous, ongoing evaluation of sharing and its impacts, integrated with management and policy making



No evaluation mechanisms or policies in place

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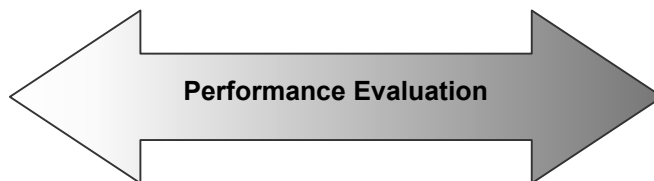
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8.1	<i>We have clearly defined operational goals for the information-sharing initiative.</i>								
8.2	<i>We can effectively evaluate the processes for implementing the information-sharing initiative.</i>								
8.3	<i>We have clearly defined goals for improved information-sharing performance.</i>								
8.4	<i>We can effectively evaluate improvements in information-sharing performance.</i>								
8.5	<i>We have clearly defined goals for how better information sharing improves justice outcomes.</i>								
8.6	<i>We have clearly defined indicators for each of the goals.</i>								
8.7	<i>We monitor performance relative to the indicators on an on-going basis.</i>								

*Continued on next page 23*



**8. Performance Evaluation:**  
(Continued)

Systematic, rigorous,  
ongoing evaluation of  
sharing and its impacts,  
integrated with  
management and policy  
making



No evaluation  
mechanisms or  
policies in place

	<b><i>DIMENSIONS</i></b>	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
8.8	<i>We can effectively evaluate how better information sharing improves justice outcomes.</i>								
8.9	<i>There is a high level of consensus about performance goals.</i>								
8.10	<i>We have ample resources for performance evaluation.</i>								
8.11	<i>We use performance evaluation effectively to improve information-sharing processes.</i>								
8.12	<i>We use evaluation of justice enterprise impacts effectively to improve the performance of the initiative.</i>								

***Dimension #9 Project Management, on next page.***

## 9. Project Management

This dimension deals with the capability to manage projects within and across organizations. Evidence of this capability can include technical tools and procedures as well as broader policies and the integration of project management concerns into overall governance and management practices. Evidence of operational project management capacity appears in methods for goal setting, scheduling development and production activities, analysis of resource needs, management of interdependencies among activities and goals, and provisions to anticipate and respond to contingencies. Project management capacity is evident in provision for mitigating errors or failures, methods for resolving resource or process conflicts, and recording and reporting practices and policies. This also includes the ability to collaborate and the ability to actively and effectively engage stakeholders (such as advisory committees, users, and organizational leadership) in project management. Project management across organizations also involves coordinating the cross-boundary issues and requirements for planning and collaboration.

Settings with high project management capability have the technical skills, the tools, and the organizational structures to direct and assess project performance. They view project management broadly, from the daily details of tracking activities to overall strategy making and planning. Their project management methods include technical analysis of process and resource requirements, risk assessment, and contingency planning as well as managing issues of collaboration and coordination across organizations and functions. Project management is thoroughly integrated with overall management and governance.

Organizations with low project management capability view project management as a task management function rather than as a strategic organizational function. They see project management as a series of to-do lists and PERT charts rather than as a strategic or communication function. They lack technical skills and tools for resource tracking, process analysis, and reporting of project activities, or for managing the complexity of cross-boundary work.

Utilizes sophisticated tools and techniques for planning and analysis of project resources and activities

Project management is integrated with overall perspective on governance, policy goals, and objectives

Project management methodology is implemented and supported by all stakeholders



Methods limited to a series of to-do lists, timelines, and PERT charts

Limited view of the strategic nature of project management as it relates to organizational strategy and collaboration

*Please follow the instructions on the next page.*

**Instructions:**

**Step 1** – For each statement below, please check the box that best represents how much you agree or disagree. As you think about each statement, please use the space next to that statement to describe the evidence or experience that supports your response.

**Step 2** – To help analyze these answers it is useful to know how confident you are in your response. Please go back over each statement and mark your level of confidence in each answer, using **H** for high, **M** for medium, and **L** for low. Put the letter in the far right-hand box at the end of each row, in the confidence box.

	<b><i>DIMENSIONS</i></b>	<b><i>STRONGLY AGREE</i></b>	<b><i>AGREE</i></b>	<b><i>NEUTRAL</i></b>	<b><i>DISAGREE</i></b>	<b><i>STRONGLY DISAGREE</i></b>	<b><i>DON'T KNOW</i></b>	<b><i>EVIDENCE</i></b>	<b><i>CONFIDENCE</i></b>
		<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>		<b><i>H, M, L</i></b>
9.1	<i>We have staff with formal project management responsibility.</i>								
9.2	<i>Project managers have substantial technical training for their tasks.</i>								
9.3	<i>We use a project management methodology.</i>								
9.4	<i>We use project management technology.</i>								
9.5	<i>Project management is closely linked to overall management, policy making, objectives, and vision.</i>								
9.6	<i>We use regular project management reports to assess and direct activities.</i>								

*Continued on next page 27*

**9. Project Management:**  
(Continued)

Utilizes sophisticated tools and techniques for planning and analysis of project resources and activities

Project management is integrated with overall perspective on governance, policy goals, and objectives

Project management methodology is implemented and supported by all stakeholders



Methods limited to a series of to-do lists, timelines, and PERT charts

Limited view of the strategic nature of project management as it relates to organizational strategy and collaboration

	<i><b>DIMENSIONS</b></i>	<i><b>SA</b></i>	<i><b>A</b></i>	<i><b>N</b></i>	<i><b>D</b></i>	<i><b>SD</b></i>	<i><b>DK</b></i>	<i><b>EVIDENCE</b></i>	<i><b>H, M, L</b></i>
9.7	<i><b>Project management responsibility is shared across collaborating organization.</b></i>								
9.8	<i><b>Our project management methods include risk assessment and contingency planning.</b></i>								
9.9	<i><b>Overall, we have ample project management resources.</b></i>								



***Dimension #10 Resource Management, on next page.***

## 10. Resource Management

This dimension deals with the capability to identify, acquire, and manage the resources necessary for an information-sharing initiative. The term resources includes financial, human, and technical assets. Evidence of this capability can be found in budget documents, strategic plans, financial analyses, financial management procedures and practices, and qualifications of staff.

Settings with high resource management capability have both adequate resources and the capacity to manage them effectively. Staff have a high level of financial analysis and management skills and the authority to use these skills to the full. Financial plans, resource

allocations, budgets, and analyses are sophisticated and comprehensive. Financial control and evaluation mechanisms are thorough and effectively implemented in the organization.

Settings with low resource management capability lack adequate resources and are unable to effectively plan or manage existing resources. Financial data and analyses may be incomplete or missing. Staff lack the authority to acquire and allocate resources where needed. Staff lack skills and analysis tools for this management responsibility. Financial control mechanisms are weak and ineffective.



*Please follow the instructions on the next page.*

**Instructions:**

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	<b><i>DIMENSIONS</i></b>	<b><i>STRONGLY AGREE</i></b>	<b><i>AGREE</i></b>	<b><i>NEUTRAL</i></b>	<b><i>DISAGREE</i></b>	<b><i>STRONGLY DISAGREE</i></b>	<b><i>DON'T KNOW</i></b>	<b><i>EVIDENCE</i></b>	<b><i>CONFIDENCE</i></b>
		<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>		<b><i>H, M, L</i></b>
10.1	<i>We have a complete analysis of the necessary financial resources for this initiative.</i>								
10.2	<i>We have a complete analysis of the necessary technical resources for this initiative.</i>								
10.3	<i>We have a complete analysis of the necessary human resources for this initiative.</i>								
10.4	<i>We have adequate authority to acquire financial resources for this initiative.</i>								
10.5	<i>We have adequate authority to acquire human resources for this initiative.</i>								
10.6	<i>We have adequate authority to acquire technical resources required for this initiative.</i>								
10.7	<i>We have effective financial control mechanisms for the initiative.</i>								

*Continued on next page 31*

## 10. Resource Management

(Continued)

Comprehensive and detailed financial plans, full authority, and management experience



Superficial or incomplete planning, inadequate acquisition authority and experience

	<b><i>DIMENSIONS</i></b>	<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
10.8	<i>We have adequate authority to use the internal resources available to the initiative.</i>								
10.9	<i>We have an overall resource acquisition plan for this initiative.</i>								
10.10	<i>Our procurement process is fully adequate and effective for this initiative.</i>								
10.11	<i>We have a plan for the outsourcing and subcontracting necessary for this initiative.</i>								
10.12	<i>We have a plan for employing the consultants necessary for this initiative.</i>								
10.13	<i>We have adequate experience with management of outsourcing and subcontracting.</i>								
10.14	<i>We have adequate experience with management of consultants.</i>								
10.15	<i>We have completed a return-on-investment analysis for this initiative.</i>								

***Dimension #11 Secure Environment, on next page.***

## 11. Secure Environment

This dimension deals with the degree to which the organization possesses the resources, technologies, practices, and policies that ensure security. Evidence of a secure environment is found in the presence of appropriate security protocols for data, systems, applications, and networks. Further evidence would be found in systems, policies, training, and management practices.

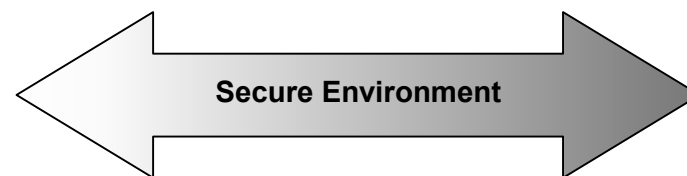
Settings with high capability for providing security continually review and evaluate the requirements for the creation of a secure environment. They also possess detailed and up-to-date knowledge of what a secure environment entails, and they strive to achieve it. They have identified the necessary building blocks and have a plan to achieve clear and realistic security goals. Security plans and procedures recognize the distinctions among the various components of security, such as secure networks, secure systems, secure data and

secure applications. They have implemented appropriate and interdependent strategies for addressing each of these building blocks of a secure environment. They invest in testing, management, training, and other activities that cultivate a secure information technology culture.

Settings with low capability for providing security lack security provisions that reflect the interdependent nature of threats and risks. They focus primarily on physical security issues, such as building safety or firewalls. They lack adequate organizational strategies and resources to promote a secure environment. There are no clear guidelines governing access across boundaries or decisions concerning such access. They are indifferent to, or poorly informed about, risks to their security operations.

Rigorous policies,  
practices, and  
technology that  
defines the security  
environment

Rigorous testing of  
the environment for  
threats and breaches  
of security



Inadequate strategies

Inadequate resources

Indifference to risks

No policies, practices, or  
technologies that define a  
secure environment  
especially concerning  
system access and data  
transfer

*Please follow the instructions on the next page.*

**Instructions:**

**Step 1** – For each statement below, please check the box that best represents how much you agree or disagree. As you think about each statement, please use the space next to that statement to describe the evidence or experience that supports your response.

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		<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>		<b><i>H, M, L</i></b>
11.1	<i>My organization has a thorough analysis of its overall security needs.</i>								
11.2	<i>We have a thorough analysis of security needs for the overall information-sharing setting.</i>								
11.3	<i>We have highly effective security protocols in place.</i>								
11.4	<i>We conduct systematic evaluation of our security vulnerabilities.</i>								
11.5	<i>We have highly effective network management policies.</i>								
11.6	<i>Management devotes serious efforts to ensure network security.</i>								
11.7	<i>Overall, we have highly effective security practices.</i>								
11.8	<i>Staff shows strong support for our information security officers.</i>								

*Continued on next page 35*

**11. Secure Environment:**  
(Continued)

Rigorous policies,  
practices, and  
technology that  
defines the security  
environment

Rigorous testing of  
the environment for  
threats and breaches  
of security



Inadequate strategies  
Inadequate resources  
Indifference to risks  
No policies, practices, or  
technologies that define a  
secure environment  
especially concerning  
system access and data  
transfer

	<b><i>DIMENSIONS</i></b>	<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
11.9	<i>We have highly effective accountability mechanisms to ensure network security.</i>								
11.10	<i>We employ highly effective risk assessment strategies.</i>								
11.11	<i>There is an excellent fit between our security technology investments and security risks.</i>								
11.12	<i>We have a highly successful implementation of security technologies.</i>								
11.13	<i>Staff does an excellent job of responding to security breaches.</i>								
11.14	<i>Security policies and procedures are effectively communicated to all involved.</i>								
11.15	<i>We have clearly defined data security policies and procedures.</i>								
11.16	<i>Data security policies and procedures are closely matched to actual sensitivity and confidentiality needs.</i>								

*Continued on next page 36*



**11. Secure Environment:**  
(Continued)

Rigorous policies,  
practices, and  
technology that  
defines the security  
environment

Rigorous testing of  
the environment for  
threats and breaches  
of security



Inadequate strategies  
Inadequate resources  
Indifference to risks  
No policies, practices, or  
technologies that define a  
secure environment  
especially concerning  
system access and data  
transfer

	<b><i>DIMENSIONS</i></b>	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
11.17	<i>We have comprehensive data security plans.</i>								
11.18	<i>We employ effective formal reviews of security compliance.</i>								
11.19	<i>We employ technology effectively to ensure compliance with security policies.</i>								
11.20	<i>Technology is well matched to security needs.</i>								
11.21	<i>There is a strong willingness to investigate new security technologies.</i>								
11.22	<i>There is a strong willingness to investigate new security threats.</i>								

## 12. Stakeholder Identification & Engagement

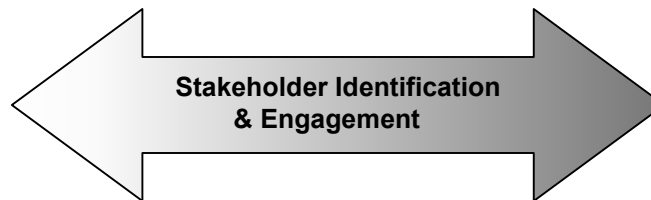
This dimension deals with how well stakeholders and their interests have been identified and analyzed. Stakeholders are persons or groups that have an interest in the information-sharing initiative and some capacity to influence it. Evidence of stakeholder awareness is found in documents produced in formal stakeholder analysis and in the experience and knowledge of staff. Evidence of stakeholder identification and engagement is found in records or reports of participants in policy making and other decisions, and in their membership in advisory or constituent groups.

Settings with high capability on this dimension have clear and comprehensive knowledge of their stakeholder environment and have conducted formal stakeholder analysis. These settings have

implemented mechanisms for monitoring their political environment. They maintain regular contact with key stakeholders. They use the information gathered in these ways to inform decisions and maintain stakeholders' support for their initiatives.

Settings with low capability on this dimension are inattentive to or not fully aware of the stakeholders in their environments. They may have a cursory awareness of their stakeholders but lack accurate and timely knowledge of stakeholder interests and power resources. Often, this is due to the absence of mechanisms to engage with stakeholders and build support.

Thorough identification of stakeholder individuals and groups, goals, interests, and capacity to exert influence



Incomplete or deeply flawed awareness of stakeholders, their interests, and capacity to influence events

*Please follow the instructions on the next page.*

**Instructions:**

**Step 1** – For each statement below, please check the box that best represents how much you agree or disagree. As you think about each statement, please use the space next to that statement to describe the evidence or experience that supports your response.

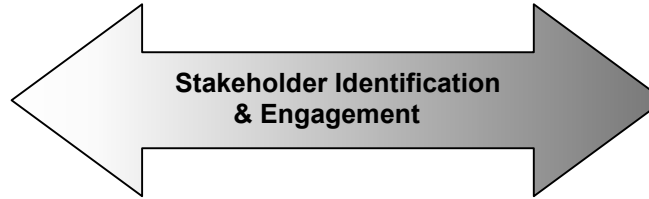
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		<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>		<b><i>H, M, L</i></b>
12.1	<i>We have identified all relevant stakeholders.</i>								
12.2	<i>We have accurately and fully analyzed the stakeholders' interests.</i>								
12.3	<i>We have accurately and fully analyzed the stakeholders' ability to influence events.</i>								
12.4	<i>We have fully informed our stakeholders about this initiative.</i>								
12.5	<i>Our planning and decision making are guided by the results of a stakeholder analysis.</i>								
12.6	<i>We can effectively mobilize stakeholders' support for the initiative.</i>								

*Continued on next page 39*

**12. Stakeholder Identification & Engagement:**  
(Continued)

Thorough identification  
of stakeholder  
individuals and groups,  
goals, interests, and  
capacity to exert  
influence



Incomplete or deeply  
flawed awareness of  
stakeholders, their  
interests, and capacity  
to influence events

	<b><i>DIMENSIONS</i></b>	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
12.7	<i>Our stakeholders have a high level of engagement in the information-sharing initiative.</i>								
12.8	<i>Our stakeholders have a high level of trust in the information-sharing initiative.</i>								
12.9	<i>We have high levels of stakeholder support for collaboration and information sharing.</i>								

***Dimension #13 Strategic Planning, on next page.***

## 13. Strategic Planning

This dimension deals with the extent and quality of strategic planning for information sharing. Assessing this capability takes into account the quality and comprehensiveness of strategic plans themselves along with the characteristics of strategic planning processes and resources, and the integration of strategic planning with other elements of governance and management. Evidence for this capability can be found in the content of strategic planning documents, descriptions of strategic planning processes, and related organizational arrangements and decision-making processes. Evidence may also include resources and policies devoted to strategic planning as well as staff skills and experience in this area.

Settings with high strategic planning capability have a clear description of the vision and strategic objectives for the initiative based on a strong consensus among the participants. Planning documents are thorough and detailed and include clear goals, risk and threat

assessments, identification and sequencing of activities, and analyses of contingencies and environmental factors. There is a high level of participation by all relevant stakeholders in the planning processes, which are ongoing and systematic. Staff members possess high levels of skills in constructing plans, managing the planning process, and guiding implementation. Strategic thinking and planning is thoroughly integrated with governance and management.

Settings with low strategic planning capability lack a clear, shared vision for the initiative. They have no or only incomplete descriptions of strategic objectives, risks, and contingencies. Planning processes are vague, poorly organized, and infrequent. Participation by relevant stakeholders in the planning process is inconsistent and incomplete. Staff skills and other resources to develop and manage planning processes are weak or absent. Plans are more for display than to guide decisions and actions.

Clear, well-structured  
strategic plans that  
address the goals and  
visions

Action plans tied to  
specific goals and  
visions outlined in the  
planning document



Lack of strategic  
plans or incomplete  
or infrequent  
strategic plans

*Please follow the instructions on the next page.*

**Instructions:**

**Step 1** – For each statement below, please check the box that best represents how much you agree or disagree. As you think about each statement, please use the space next to that statement to describe the evidence or experience that supports your response.

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		<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>		<b>H, M, L</b>
13.1	<i>We have an established strategic planning process.</i>								
13.2	<i>Our strategic planning process engages all relevant stakeholders.</i>								
13.3	<i>Our strategic plans include thorough risk assessments.</i>								
13.4	<i>Our strategic plans include thorough analyses of threats and contingencies.</i>								
13.5	<i>Participants have well-developed strategic planning skills.</i>								
13.6	<i>Our plans identify strategic goals clearly and in detail.</i>								

*Continued on next page 43*

**13. Strategic Planning:**  
(Continued)

Clear, well-structured  
strategic plans that  
address the goals and  
visions

Action plans tied to  
specific goals and  
visions outlined in the  
planning document



Lack of strategic  
plans or incomplete  
or infrequent  
strategic plans

	<b><i>DIMENSIONS</i></b>	<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
13.7	<i>Our plans describe activities and resources clearly and in detail.</i>								
13.8	<i>We have ample resources to support strategic planning.</i>								
13.9	<i>Our strategic planning activities are thoroughly integrated with governance and management.</i>								



***Dimension #14 Technology Acceptance, on next page.***

## 14. Technology Acceptance

This dimension addresses the technology culture and staff attitudes toward technology and technological innovations in the organizations participating in the initiative. Evidence of technology acceptance can be found in talk and actions that express positive or negative attitudes toward workplace changes, distrust of new tools and techniques, success or failure stories that are widely shared and believed, or enthusiasm for innovations. The record of past experiences with technology innovation is a good indication of staff members' attitudes toward new initiatives. Their level of acceptance and comfort can be an important indicator of preparedness for changes and adaptation to new technologies and practices that may be required by enhanced information-sharing opportunities.

Staff in settings with high capability for technology acceptance are comfortable with and open to new technology and technological innovations. Workers in such settings have extensive experience with

innovation and are enthusiastic about the possibilities of new tools and techniques. They express active support for change and help foster positive attitudes toward technology among their colleagues. They communicate the importance of an innovation to encourage its acceptance. They embrace new ways of doing routine tasks and celebrate novelty and successful past innovations.

Staff in settings with low capability for technology acceptance are hostile toward or resistant to changes in technology and work processes. Workers in these settings prefer unchanging work environments and may openly and actively oppose or avoid technological changes introduced in their work environment. Often, they feel threatened by technology and the changes it brings. They regard innovation as possibly dangerous and disruptive to their jobs or status.

Acceptance and  
enthusiasm toward  
innovations and  
technology  
  
High level of comfort  
with changes in  
technology



Opposition or  
resistance to  
changes in  
technology

*Please follow the instructions on the next page.*

**Instructions:**

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	<b><i>DIMENSIONS</i></b>	<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>NEUTRAL</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>	<b>DON'T KNOW</b>	<b><i>EVIDENCE</i></b>	<b>CONFIDENCE</b>
		<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>		<b>H, M, L</b>
14.1	<i>Management provides staff with a clear vision and goals for the use of new technology.</i>								
14.2	<i>Management supports and rewards technology innovation.</i>								
14.3	<i>Staff members believe IT change is a good thing.</i>								
14.4	<i>Staff is open and enthusiastic about using new IT.</i>								
14.5	<i>Staff members believe information sharing will improve their efficiency and work quality.</i>								
14.6	<i>Staff have extensive experience with different applications and computers.</i>								
14.7	<i>Staff demonstrate enthusiastic support for the technology aspects of the initiative.</i>								

*Continued on next page 47*

**14. Technology Acceptance:**  
(Continued)



	<b><i>DIMENSIONS</i></b>	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
14.8	<i>Staff members strongly believe digital preservation will improve their efficiency and work quality.</i>								
14.9	<i>Staff has extensive experience with different applications and computers.</i>								
14.10	<i>Staff demonstrates enthusiastic support for adopting and/or using new technology for the digital preservation initiative.</i>								
14.11	<i>Very few staff members have demonstrated opposition to adopting and/or using new technology for the digital preservation initiative.</i>								
14.12	<i>Management provides training in the use of new technology.</i>								
14.13	<i>Few staff members have a low comfort level with the new technology supporting digital preservation initiative.</i>								

***Dimension #15 Technology Compatibility, on next page.***

## 15. Technology Compatibility

This dimension deals with the degree of compatibility for information sharing among the technology resources of the participating organizations. Evidence of this capability can be found in existing standards for and the technical descriptions and documentation of computer system hardware and software, network hardware and protocols, applications, and data repositories. Evidence can also be found in the descriptions of and the extent of connectivity among the persons and organizations that seek to share information. Staff experience in information-sharing activities can also provide useful evidence of compatibility issues, achievements, and problems.

Settings with high capability on this dimension have highly standardized, compatible, and interoperable platforms, infrastructure,

and applications. The participants in information sharing have high bandwidth connectivity extending to all potential users. These settings have the necessary technical resources to establish information-sharing linkages among all participating organizations. These technology resources are well integrated with staff experience and practices.

Settings with low capability on this dimension have highly diverse platforms and a diverse infrastructure. There are few if any standards to support compatibility. Connectivity is inadequate due to both limited bandwidth and gaps in access. The design and operation of applications and data repositories are inconsistent and interfere with data sharing and with establishing interoperable linkages.

Highly standardized  
and consistent  
platforms,  
infrastructure, and  
applications  
High connectivity  
Well resourced



Lack of technology  
standards and  
resources  
Diverse and  
conflicting  
platforms,  
infrastructure, and  
applications  
Poor connectivity

*Please follow the instructions on the next page.*

**Instructions:**

**Step 1** – For each statement below, please check the box that best represents how much you agree or disagree. As you think about each statement, please use the space next to that statement to describe the evidence or experience that supports your response.

**Step 2** – To help analyze these answers it is useful to know how confident you are in your response. Please go back over each statement and mark your level of confidence in each answer, using **H** for high, **M** for medium, and **L** for low. Put the letter in the far right-hand box at the end of each row, in the confidence box.

	<b><i>DIMENSIONS</i></b>	<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>NEUTRAL</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>	<b>DON'T KNOW</b>	<b><i>EVIDENCE</i></b>	<b>CONFIDENCE</b>
		<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>	<b>DK</b>		<b>H, M, L</b>
15.1	<i>Our computing platforms are designed for and fully support collaboration and information sharing.</i>								
15.2	<i>Our software applications are well suited for collaboration and information sharing.</i>								
15.3	<i>Our network protocols and standards support information-sharing connectivity.</i>								
15.4	<i>Our computing platforms fully support interoperability of applications for information sharing.</i>								
15.5	<i>Our network infrastructure has adequate bandwidth for our information-sharing initiative.</i>								
15.6	<i>Our network infrastructure extends to all potential participants in the initiative.</i>								
15.7	<i>All information-sharing participants have adequate local resources for network connectivity.</i>								
15.8	<i>All participants have adequate local technology resources for effective information sharing.</i>								

## 16. Technology Knowledge

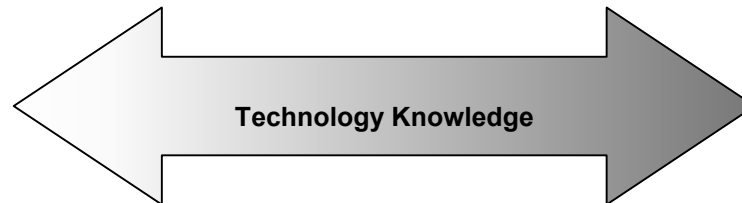
This dimension deals with levels and sharing of knowledge about current and emerging technology for information sharing. Evidence of this capability can be found in documentation of technical staff qualifications and experience, records and documentation of technology assets useful for information sharing (i.e., computer systems, software, network infrastructure), and in the actions of staff in compiling, storing, and sharing such knowledge. Technical knowledge about information sharing may often be acquired and shared informally and thus be well known among some staff but not well documented.

Settings with high capability regarding technology knowledge have adequate numbers of staff with high levels of training and experience

with information-sharing technologies. They maintain accurate and detailed inventories and documentation of such technology assets. Staff, documentation, and other knowledge resources are actively and freely shared within and across organizations and are used to guide investment decisions.

Settings with low capability regarding technology knowledge have an inadequate number of staff members with the needed training and experience with information-sharing technologies. These settings maintain only incomplete and out-of-date records of these technology assets. Knowledge about technology assets is not readily available or shared. Decisions about technology assets are not based on accurate or extensive knowledge.

Highly knowledgeable staff, systematic technical inventories and record-keeping, well-informed decisions



Inadequate staff technology knowledge, poor records and inventories of technical assets, few knowledge-based decisions

*Please follow the instructions on the next page.*



**Instructions:**

**Step 1** – For each statement below, please check the box that best represents how much you agree or disagree. As you think about each statement, please use the space next to that statement to describe the evidence or experience that supports your response.

**Step 2** – To help analyze these answers it is useful to know how confident you are in your response. Please go back over each statement and mark your level of confidence in each answer, using **H** for high, **M** for medium, and **L** for low. Put the letter in the far right-hand box at the end of each row, in the confidence box.

	<b><i>DIMENSIONS</i></b>	<b><i>STRONGLY AGREE</i></b>	<b><i>AGREE</i></b>	<b><i>NEUTRAL</i></b>	<b><i>DISAGREE</i></b>	<b><i>STRONGLY DISAGREE</i></b>	<b><i>DON'T KNOW</i></b>	<b><i>EVIDENCE</i></b>	<b><i>CONFIDENCE</i></b>
		<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>		<b><i>H, M, L</i></b>
16.1	<i>Our staff members know all they need to know about hardware for this initiative.</i>								
16.2	<i>We maintain accurate inventories of hardware for information sharing.</i>								
16.3	<i>Knowledge about hardware is shared effectively.</i>								
16.4	<i>Our staff members know all they need to know about network infrastructure for this initiative.</i>								
16.5	<i>Knowledge about information-sharing networks is shared effectively.</i>								
16.6	<i>We maintain accurate inventories and documentation of software useful for information sharing.</i>								
16.7	<i>Our staff members know all they need to know about required software applications for this initiative.</i>								

*Continued on next page 53*

## 15. Technology Knowledge

(Continued)

Highly knowledgeable staff, systematic technical inventories and record-keeping, well-informed decisions



Inadequate staff technology knowledge, poor records and inventories of technical assets, few knowledge-based decisions

	<b><i>DIMENSIONS</i></b>	<b><i>SA</i></b>	<b><i>A</i></b>	<b><i>N</i></b>	<b><i>D</i></b>	<b><i>SD</i></b>	<b><i>DK</i></b>	<b><i>EVIDENCE</i></b>	<b><i>H, M, L</i></b>
16.8	<i>Knowledge about software for information sharing is shared effectively.</i>								
16.9	<i>We maintain accurate inventories of staff members' technical skills and knowledge about information sharing.</i>								
16.10	<i>Knowledge about technical staff resources is shared effectively.</i>								
16.11	<i>We maintain accurate inventories and documentation of our applications useful for information sharing.</i>								
16.12	<i>Knowledge about applications is shared effectively.</i>								
16.13	<i>We maintain accurate inventories and documentation of network infrastructure.</i>								
16.14	<i>Knowledge about technology is a highly important part of IT decision making regarding information sharing.</i>								