Compliance Assessment Scale

Compliance with each indicator will be assessed using a four point scale, as follows:

	General	Processes	People/Resources
Not Addressed	• The entity has not addressed the required indicator or is unable to demonstrate that the requirements of the indicator are in place and/or are operating effectively and continuously.	• Processes are non-existent. • Processes exist however the specific requirements of the indicator have not been addressed.	• No resources have been assigned.
Initial/Ad-Hoc	• The entity has commenced to address the indicator, however processes are ad-hoc or are applied on a case-by-case basis.	Some relevant processes have been implemented which align with the requirements of the indicator, however they are: • siloed; and/or • undocumented; and/or • inconsistent; and/or • lack clarity.	• Capabilities vary across the entity. • Resources are not formally assigned.
Defined and Developed	• The entity has addressed the indicator and is in the process of implementing the requirements across the entity.	• Relevant processes have been defined and developed, however are yet to be rolled out across the full operations of the entity.	• Resources have been assigned and responsibilities defined, however there is no formal training or communication of standard procedures and it is unlikely that deviations will be detected.
Managed and Measurable	• The entity has demonstrated that indicator requirements are formally embedded and are operating effectively and continuously.	• Relevant processes are integrated and coordinated, including remote operations and activities.	• Personnel have been trained to detect and report on deviations or break down in processes. • Resources have been assigned to monitor and address non-compliance.