

# Organizational Readiness Checklist for Data Governance Implementation

## Document Information

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## Executive Summary

This Organizational Readiness Checklist provides a comprehensive pre-implementation evaluation framework to assess organizational preparedness for data governance program launch. The checklist evaluates critical readiness factors across strategic, organizational, technical, and cultural dimensions to identify gaps, mitigate risks, and ensure successful governance implementation.

## 1. Purpose and Scope

### 1.1 Purpose

This readiness checklist exists to:

- Systematically evaluate organizational readiness for data governance implementation
- Identify critical gaps and barriers that could impede successful program launch
- Assess organizational capability and capacity for governance transformation
- Provide objective evidence for go/no-go implementation decisions
- Support risk mitigation and success factor optimization
- Enable realistic timeline and resource planning for implementation

## 1.2 Assessment Objectives

### Implementation Success Optimization:

- Identify and address implementation barriers before program launch
- Optimize organizational conditions for governance program success
- Ensure adequate resource allocation and stakeholder commitment
- Validate technical infrastructure and capability readiness

### Risk Mitigation:

- Identify high-risk areas requiring additional preparation or support
- Develop mitigation strategies for identified readiness gaps
- Prevent costly implementation failures and setbacks
- Ensure regulatory compliance and legal risk management

### Strategic Alignment:

- Validate alignment between governance program and business strategy
- Ensure stakeholder understanding and commitment to program objectives
- Confirm resource availability and organizational support
- Establish realistic expectations and success criteria

## 1.3 Scope and Coverage

This checklist evaluates:

- Executive leadership commitment and sponsorship readiness
- Organizational structure and change management capability
- Resource availability and allocation readiness
- Technical infrastructure and system readiness
- Cultural and behavioral change readiness
- Regulatory and compliance environment assessment
- Vendor and third-party relationship readiness
- Risk management and contingency planning capability

### Assessment Boundaries:

- Pre-implementation readiness assessment (not ongoing program evaluation)
- Enterprise-wide readiness with business unit specific considerations
- Current state assessment with forward-looking capability evaluation

- Internal readiness focus with external stakeholder consideration
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## 2. Readiness Assessment Framework

### 2.1 Readiness Dimensions and Criteria

#### 2.1.1 Strategic Readiness

**Definition:** Organizational strategic alignment, executive commitment, and business case validation for data governance implementation.

**Key Assessment Areas:**

- Business strategy alignment and value proposition
- Executive sponsorship and leadership commitment
- Business case development and ROI justification
- Strategic priority alignment and resource competition
- Market timing and competitive positioning

**Readiness Indicators:**

- Clear business strategy connection and value articulation
- Committed executive sponsor with authority and influence
- Approved business case with realistic ROI expectations
- High strategic priority with adequate resource allocation
- Market conditions supporting governance investment

#### 2.1.2 Organizational Readiness

**Definition:** Organizational structure, governance, and management capability to support data governance implementation.

**Key Assessment Areas:**

- Governance structure and decision-making authority
- Cross-functional coordination and collaboration capability
- Project management and change management maturity
- Communication and stakeholder engagement capability
- Performance management and accountability systems

**Readiness Indicators:**

- Clear governance structure with defined authority and accountability

- Effective cross-functional collaboration and coordination mechanisms
- Mature project and change management capabilities
- Strong communication and stakeholder engagement practices
- Performance management systems supporting governance objectives

### **2.1.3 Resource Readiness**

**Definition:** Availability of financial, human, and technical resources required for successful governance implementation.

#### **Key Assessment Areas:**

- Budget availability and financial resource allocation
- Human resource availability and capability assessment
- Technical resource and infrastructure capacity
- External resource and vendor relationship management
- Resource planning and allocation optimization

#### **Readiness Indicators:**

- Adequate budget allocation with contingency planning
- Qualified human resources with appropriate skills and capacity
- Technical infrastructure supporting governance requirements
- Established vendor relationships and procurement capabilities
- Effective resource planning and allocation processes

### **2.1.4 Technical Readiness**

**Definition:** Technical infrastructure, systems, and data architecture capability to support governance implementation.

#### **Key Assessment Areas:**

- Data architecture and integration capability
- Technology platform and tool readiness
- Data quality and management system maturity
- Security and privacy infrastructure capability
- Integration and interoperability architecture

#### **Readiness Indicators:**

- Robust data architecture supporting governance requirements

- Appropriate technology platforms and tools deployed or planned
- Basic data quality and management capabilities in place
- Adequate security and privacy infrastructure
- Effective integration and interoperability capabilities

### 2.1.5 Cultural Readiness

**Definition:** Organizational culture, mindset, and behavioral patterns supporting data governance adoption and success.

#### Key Assessment Areas:

- Data-driven culture and decision-making maturity
- Change readiness and adaptation capability
- Collaboration and knowledge sharing practices
- Accountability and ownership mindset
- Learning and continuous improvement orientation

#### Readiness Indicators:

- Evidence of data-driven decision making and cultural appreciation
  - Positive change readiness with history of successful transformation
  - Strong collaboration and knowledge sharing practices
  - Clear accountability and ownership expectations and behaviors
  - Learning organization with continuous improvement focus
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## 3. Executive Leadership and Sponsorship Readiness

### 3.1 Executive Commitment Assessment

#### 3.1.1 Leadership Vision and Understanding

##### Assessment Criteria:

##### Vision Clarity and Communication:

- ☐ **Critical:** Executive leadership has articulated clear vision for data governance transformation
- ☐ **Critical:** Leadership understands data governance business value and strategic importance
- ☐ **Important:** Vision is communicated consistently across organization
- ☐ **Important:** Leadership can articulate governance objectives and success criteria
- ☐ **Beneficial:** Vision is inspiring and motivating to stakeholders

### **Evidence Requirements:**

- Executive communications and presentations on governance vision
- Strategic planning documents with governance integration
- Stakeholder interview feedback on leadership clarity and commitment
- Demonstration of leadership understanding through articulation and decision-making

### **Scoring Criteria:**

- **Ready (4 points):** Clear, well-communicated vision with demonstrated leadership understanding
- **Mostly Ready (3 points):** Good vision with minor communication or understanding gaps
- **Partially Ready (2 points):** Basic vision but limited communication or understanding
- **Not Ready (1 point):** Poor or unclear vision with significant gaps
- **Critical Gap (0 points):** No clear vision or demonstrated understanding

## **3.1.2 Resource Commitment and Authority**

### **Assessment Criteria:**

#### **Financial Commitment:**

- ☐ **Critical:** Adequate budget allocated for governance implementation
- ☐ **Critical:** Multi-year funding commitment secured
- ☐ **Important:** Contingency funding available for unforeseen requirements
- ☐ **Important:** Budget protected from competing organizational priorities
- ☐ **Beneficial:** Additional investment capacity for opportunity optimization

#### **Human Resource Commitment:**

- ☐ **Critical:** Key leadership positions identified and committed
- ☐ **Critical:** Adequate staff allocation for governance roles
- ☐ **Important:** Executive participation time committed
- ☐ **Important:** Cross-functional resource availability secured
- ☐ **Beneficial:** External expertise and consulting resources available

#### **Authority and Decision-Making:**

- ☐ **Critical:** Clear authority structure for governance decisions
- ☐ **Critical:** Executive sponsor has sufficient organizational authority
- ☐ **Important:** Cross-functional decision-making capability established
- ☐ **Important:** Conflict resolution authority clearly defined
- ☐ **Beneficial:** Board-level support and oversight established

## 3.2 Organizational Mandate and Charter

### 3.2.1 Formal Authorization and Charter

#### Assessment Criteria:

#### Charter Development and Approval:

- ☐ **Critical:** Data governance charter developed and approved
- ☐ **Critical:** Organizational mandate clearly established
- ☐ **Important:** Roles and responsibilities formally defined
- ☐ **Important:** Authority and accountability structure documented
- ☐ **Beneficial:** Charter communicated organization-wide

#### Organizational Integration:

- ☐ **Critical:** Governance integrated with existing organizational structure
- ☐ **Important:** Relationship to other initiatives clearly defined
- ☐ **Important:** Integration with performance management systems
- ☐ **Beneficial:** Integration with compensation and recognition systems

### 3.2.2 Stakeholder Commitment and Buy-in

#### Assessment Criteria:

#### Key Stakeholder Commitment:

- ☐ **Critical:** Business unit leaders committed to participation
- ☐ **Critical:** IT leadership committed to support and collaboration
- ☐ **Important:** Legal and compliance teams engaged and supportive
- ☐ **Important:** Finance organization aligned and supportive
- ☐ **Beneficial:** Board and audit committee awareness and support

#### Change Champion Network:

- ☐ **Important:** Change champions identified in key business areas
- ☐ **Important:** Champions trained and equipped for governance support
- ☐ **Beneficial:** Champion network activated and communicating
- ☐ **Beneficial:** Champions empowered with authority and resources

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## 4. Organizational Structure and Capability Readiness

### 4.1 Governance Structure Readiness

#### 4.1.1 Committee and Council Structure

## **Assessment Criteria:**

### **Governance Committee Establishment:**

- ☐ **Critical:** Data Governance Committee members identified and committed
- ☐ **Critical:** Committee charter and authority established
- ☐ **Important:** Meeting schedule and operating procedures defined
- ☐ **Important:** Decision-making processes clearly documented
- ☐ **Beneficial:** Committee effectiveness measurement system established

### **Cross-Functional Coordination:**

- ☐ **Critical:** Cross-functional representation in governance structure
- ☐ **Important:** Coordination mechanisms between business and IT established
- ☐ **Important:** Integration with existing committee structure optimized
- ☐ **Beneficial:** Formal liaison roles and relationships established

## **4.1.2 Role Definition and Staffing**

### **Assessment Criteria:**

#### **Key Role Identification:**

- ☐ **Critical:** Chief Data Officer or equivalent role identified
- ☐ **Critical:** Business Data Stewards identified and committed
- ☐ **Critical:** Technical Data Stewards identified and available
- ☐ **Important:** Data Protection Officer role established
- ☐ **Important:** Data Quality Manager role defined and staffed

#### **Role Capability Assessment:**

- ☐ **Critical:** Role holders have required skills and experience
- ☐ **Important:** Role holders have adequate time allocation
- ☐ **Important:** Role holders have necessary organizational authority
- ☐ **Beneficial:** Succession planning for key roles established
- ☐ **Beneficial:** Professional development plans for role enhancement

## **4.2 Change Management Capability**

### **4.2.1 Change Management Maturity**

#### **Assessment Criteria:**

##### **Change Management Framework:**

- ☐ **Critical:** Formal change management methodology established
- ☐ **Important:** Change management resources and expertise available



- ☐ **Important:** Track record of successful organizational change
- ☐ **Beneficial:** Change management integrated with project management
- ☐ **Beneficial:** Change impact assessment capabilities established

#### **Stakeholder Engagement Capability:**

- ☐ **Important:** Stakeholder analysis and mapping completed
- ☐ **Important:** Communication strategy and plan developed
- ☐ **Important:** Feedback collection and integration mechanisms established
- ☐ **Beneficial:** Stakeholder engagement effectiveness measurement
- ☐ **Beneficial:** Resistance management and mitigation strategies developed

### **4.2.2 Training and Development Readiness**

#### **Assessment Criteria:**

##### **Training Program Development:**

- ☐ **Critical:** Training needs assessment completed
- ☐ **Critical:** Training curriculum and materials development capability
- ☐ **Important:** Training delivery resources and expertise available
- ☐ **Important:** Training effectiveness measurement capability
- ☐ **Beneficial:** E-learning and technology-enabled training capability

##### **Competency Development:**

- ☐ **Important:** Competency framework for governance roles established
  - ☐ **Important:** Skills assessment and gap analysis capability
  - ☐ **Beneficial:** Professional certification and development support
  - ☐ **Beneficial:** Career development paths for governance professionals
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## **5. Technical Infrastructure and System Readiness**

### **5.1 Data Architecture and Infrastructure**

#### **5.1.1 Current Data Architecture Assessment**

##### **Assessment Criteria:**

##### **Data Architecture Maturity:**

- ☐ **Critical:** Current data architecture documented and understood
- ☐ **Critical:** Data sources and systems inventory completed
- ☐ **Important:** Data flow and lineage mapping capability exists
- ☐ **Important:** Data integration architecture established

- ☐ **Beneficial:** Master data management capabilities in place

### **Data Quality Infrastructure:**

- ☐ **Critical:** Basic data quality assessment capability exists
- ☐ **Important:** Data profiling and monitoring tools available
- ☐ **Important:** Data quality improvement tools and processes established
- ☐ **Beneficial:** Automated data quality monitoring and alerting
- ☐ **Beneficial:** Data quality metrics and reporting capabilities

### **5.1.2 Technology Platform Readiness**

#### **Assessment Criteria:**

#### **Governance Tool Requirements:**

- ☐ **Critical:** Governance tool requirements defined and validated
- ☐ **Important:** Budget and procurement process for tools established
- ☐ **Important:** IT support and maintenance capability for governance tools
- ☐ **Beneficial:** Tool integration with existing systems planned
- ☐ **Beneficial:** Tool scalability and future capability requirements addressed

#### **Infrastructure Capacity:**

- ☐ **Critical:** Adequate computing and storage capacity available
- ☐ **Important:** Network and connectivity requirements met
- ☐ **Important:** Backup and recovery capabilities established
- ☐ **Beneficial:** Cloud and hybrid infrastructure readiness assessed
- ☐ **Beneficial:** Performance monitoring and optimization capabilities

## **5.2 Security and Privacy Infrastructure**

### **5.2.1 Security Framework Readiness**

#### **Assessment Criteria:**

#### **Data Security Controls:**

- ☐ **Critical:** Basic data security controls and policies established
- ☐ **Critical:** Access control and authentication systems operational
- ☐ **Important:** Data encryption and protection capabilities deployed
- ☐ **Important:** Security monitoring and incident response capability
- ☐ **Beneficial:** Advanced threat detection and prevention systems

#### **Privacy Protection Capability:**

- ☐ **Critical:** Privacy policy and procedures established

- ☐ **Important:** Data subject rights management capability
- ☐ **Important:** Consent management and tracking systems
- ☐ **Beneficial:** Privacy impact assessment capability established
- ☐ **Beneficial:** Cross-border data transfer compliance capability

## 5.2.2 Compliance and Audit Readiness

### Assessment Criteria:

#### Regulatory Compliance Infrastructure:

- ☐ **Critical:** Compliance monitoring and reporting capability
  - ☐ **Important:** Audit trail and documentation systems
  - ☐ **Important:** Regulatory change management capability
  - ☐ **Beneficial:** Automated compliance monitoring and alerting
  - ☐ **Beneficial:** Regulatory relationship management capability
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## 6. Cultural and Behavioral Readiness

### 6.1 Data Culture Assessment

#### 6.1.1 Data-Driven Decision Making

##### Assessment Criteria:

##### Current Data Usage Patterns:

- ☐ **Critical:** Evidence of data usage in business decision making
- ☐ **Important:** Data literacy and analytical capability in organization
- ☐ **Important:** Data accessibility and availability for decision makers
- ☐ **Beneficial:** Advanced analytics and business intelligence capabilities
- ☐ **Beneficial:** Self-service data access and analysis capabilities

##### Data Appreciation and Value Recognition:

- ☐ **Important:** Leadership recognizes data as strategic asset
- ☐ **Important:** Business users understand data value and importance
- ☐ **Beneficial:** Data quality and accuracy valued by users
- ☐ **Beneficial:** Investment in data improvement supported by stakeholders

#### 6.1.2 Collaboration and Knowledge Sharing

##### Assessment Criteria:

##### Cross-Functional Collaboration:

- ☐ **Critical:** History of successful cross-functional initiatives
- ☐ **Important:** Collaboration tools and processes established
- ☐ **Important:** Knowledge sharing culture and practices exist
- ☐ **Beneficial:** Communities of practice and collaboration networks
- ☐ **Beneficial:** Recognition and reward systems support collaboration

#### **Communication Effectiveness:**

- ☐ **Important:** Effective internal communication channels established
- ☐ **Important:** Feedback collection and integration mechanisms exist
- ☐ **Beneficial:** Transparent communication culture and practices
- ☐ **Beneficial:** Multi-directional communication and engagement

## **6.2 Change Readiness and Adaptability**

### **6.2.1 Organizational Change History**

#### **Assessment Criteria:**

##### **Change Success Track Record:**

- ☐ **Critical:** History of successful organizational change initiatives
- ☐ **Important:** Positive stakeholder attitude toward change
- ☐ **Important:** Change management capabilities and experience
- ☐ **Beneficial:** Rapid adaptation and agility demonstrated
- ☐ **Beneficial:** Innovation and continuous improvement culture

##### **Change Resistance Factors:**

- ☐ **Critical:** Low resistance to governance concepts and requirements
- ☐ **Important:** Limited competing change initiatives or change fatigue
- ☐ **Important:** Stakeholder concerns identified and addressable
- ☐ **Beneficial:** Proactive change advocacy and championship

### **6.2.2 Accountability and Ownership Mindset**

#### **Assessment Criteria:**

##### **Accountability Culture:**

- ☐ **Critical:** Clear accountability expectations and practices exist
  - ☐ **Important:** Ownership mindset demonstrated by key stakeholders
  - ☐ **Important:** Performance management systems support accountability
  - ☐ **Beneficial:** Recognition and reward systems reinforce accountability
  - ☐ **Beneficial:** Continuous improvement and learning from mistakes encouraged
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## 7. Resource and Capacity Readiness

### 7.1 Financial Resource Readiness

#### 7.1.1 Budget Allocation and Management

##### Assessment Criteria:

##### Implementation Budget:

- ☐ **Critical:** Adequate budget allocated for full implementation scope
- ☐ **Critical:** Multi-year budget commitment secured
- ☐ **Important:** Budget line item protection and governance established
- ☐ **Important:** Contingency funding available for risks and opportunities
- ☐ **Beneficial:** Additional investment capacity for scope expansion

##### Budget Management Capability:

- ☐ **Important:** Financial management and tracking systems established
- ☐ **Important:** Budget approval and change management processes defined
- ☐ **Beneficial:** Cost-benefit analysis and ROI measurement capability
- ☐ **Beneficial:** Financial performance monitoring and optimization

#### 7.1.2 Return on Investment Validation

##### Assessment Criteria:

##### Business Case Development:

- ☐ **Critical:** Comprehensive business case developed and approved
- ☐ **Important:** Realistic ROI projections with supporting analysis
- ☐ **Important:** Benefits realization plan and measurement framework
- ☐ **Beneficial:** Sensitivity analysis and scenario planning completed
- ☐ **Beneficial:** Benchmark comparison and validation performed

### 7.2 Human Resource Readiness

#### 7.2.1 Staffing and Capability Assessment

##### Assessment Criteria:

##### Core Team Staffing:

- ☐ **Critical:** Key governance roles identified and staffed
- ☐ **Critical:** Adequate capacity allocation for governance activities
- ☐ **Important:** Skills and experience appropriate for requirements
- ☐ **Important:** Team composition balanced across business and technical expertise

- ☐ **Beneficial:** Succession planning and backup resource identification

### **Extended Team and Support:**

- ☐ **Important:** Business unit support resources identified and available
- ☐ **Important:** IT and technical support resources committed
- ☐ **Beneficial:** External consulting and expertise resources available
- ☐ **Beneficial:** Vendor and contractor resources identified and engaged

## **7.2.2 Skills and Competency Readiness**

### **Assessment Criteria:**

#### **Current Skill Assessment:**

- ☐ **Critical:** Skill assessment completed for key team members
  - ☐ **Important:** Skill gaps identified with development or acquisition plans
  - ☐ **Important:** Training and development resources available
  - ☐ **Beneficial:** Professional certification and development support
  - ☐ **Beneficial:** Knowledge transfer and documentation processes established
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## **8. Risk Assessment and Mitigation Readiness**

### **8.1 Risk Identification and Assessment**

#### **8.1.1 Implementation Risk Analysis**

### **Assessment Criteria:**

#### **Risk Identification:**

- ☐ **Critical:** Comprehensive implementation risk assessment completed
- ☐ **Important:** Risk probability and impact analysis performed
- ☐ **Important:** Risk interdependencies and cascading effects analyzed
- ☐ **Beneficial:** Quantitative risk analysis and modeling performed
- ☐ **Beneficial:** External risk factors and environmental changes considered

#### **Risk Categories Assessed:**

- ☐ **Critical:** Technical implementation and integration risks
- ☐ **Critical:** Organizational and change management risks
- ☐ **Important:** Resource availability and capability risks
- ☐ **Important:** External vendor and supplier risks
- ☐ **Important:** Regulatory and compliance risks
- ☐ **Beneficial:** Market and competitive environment risks

## 8.1.2 Risk Mitigation Planning

### Assessment Criteria:

#### Mitigation Strategy Development:

- ☐ **Critical:** Risk mitigation strategies developed for high-impact risks
- ☐ **Important:** Risk mitigation resources and capabilities identified
- ☐ **Important:** Risk monitoring and early warning systems established
- ☐ **Beneficial:** Risk mitigation effectiveness measurement planned
- ☐ **Beneficial:** Risk communication and escalation procedures defined

#### Contingency Planning:

- ☐ **Important:** Contingency plans developed for critical failure scenarios
- ☐ **Important:** Alternative approaches and fallback options identified
- ☐ **Beneficial:** Business continuity and disaster recovery integration
- ☐ **Beneficial:** Crisis communication and stakeholder management plans

## 8.2 Success Factor Optimization

### 8.2.1 Critical Success Factor Analysis

#### Assessment Criteria:

#### Success Factor Identification:

- ☐ **Critical:** Critical success factors identified and validated
- ☐ **Important:** Success factor dependencies and relationships analyzed
- ☐ **Important:** Success factor measurement and monitoring planned
- ☐ **Beneficial:** Success factor optimization strategies developed
- ☐ **Beneficial:** Success factor benchmarking and comparison performed

#### Success Factor Readiness:

- ☐ **Critical:** High-impact success factors adequately addressed
  - ☐ **Important:** Success factor gaps identified with improvement plans
  - ☐ **Beneficial:** Success factor enhancement opportunities identified
  - ☐ **Beneficial:** Success factor continuous improvement processes established
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## 9. Vendor and Third-Party Readiness

### 9.1 Vendor Relationship Assessment

#### 9.1.1 Current Vendor Landscape

## Assessment Criteria:

### Vendor Inventory and Assessment:

- ☐ **Critical:** Current data-related vendor inventory completed
- ☐ **Important:** Vendor capability and performance assessment performed
- ☐ **Important:** Vendor contract and relationship review completed
- ☐ **Beneficial:** Vendor governance and oversight capabilities assessed
- ☐ **Beneficial:** Vendor innovation and future capability evaluation

### Vendor Governance Capability:

- ☐ **Important:** Vendor governance requirements and standards defined
- ☐ **Important:** Vendor assessment and monitoring capabilities established
- ☐ **Beneficial:** Vendor performance measurement and improvement processes
- ☐ **Beneficial:** Vendor relationship management optimization strategies

## 9.1.2 New Vendor Requirements

### Assessment Criteria:

#### Governance Tool Vendors:

- ☐ **Critical:** Governance tool vendor requirements defined
- ☐ **Important:** Vendor evaluation and selection process established
- ☐ **Important:** Vendor implementation and support capability assessed
- ☐ **Beneficial:** Vendor long-term roadmap and strategy alignment
- ☐ **Beneficial:** Vendor partnership and collaboration potential

#### Professional Services:

- ☐ **Important:** Consulting and professional services requirements defined
- ☐ **Important:** Service provider evaluation and selection capability
- ☐ **Beneficial:** Knowledge transfer and capability building focus
- ☐ **Beneficial:** Long-term relationship and ongoing support planning

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## 10. Regulatory and Compliance Environment Readiness

### 10.1 Regulatory Landscape Assessment

#### 10.1.1 Applicable Regulations Identification

### Assessment Criteria:

#### Regulatory Inventory:



- ☐ **Critical:** All applicable data regulations identified and documented
- ☐ **Critical:** Regulatory requirements and obligations mapped
- ☐ **Important:** Regulatory change monitoring and update processes
- ☐ **Important:** Cross-jurisdictional regulation coordination addressed
- ☐ **Beneficial:** Industry-specific regulation and standard integration

#### **Compliance Gap Analysis:**

- ☐ **Critical:** Current compliance status assessment completed
- ☐ **Important:** Compliance gaps identified with remediation planning
- ☐ **Important:** Compliance risk assessment and prioritization performed
- ☐ **Beneficial:** Compliance maturity and optimization opportunities identified

### **10.1.2 Regulatory Relationship Management**

#### **Assessment Criteria:**

##### **Regulator Engagement:**

- ☐ **Important:** Regulatory relationship management capability established
- ☐ **Important:** Regulatory communication and reporting processes defined
- ☐ **Beneficial:** Proactive regulatory engagement and consultation capability
- ☐ **Beneficial:** Industry association and standard-setting participation

## **10.2 Legal and Privacy Framework**

### **10.2.1 Legal Framework Readiness**

#### **Assessment Criteria:**

##### **Legal Support and Capability:**

- ☐ **Critical:** Legal counsel engaged and knowledgeable about data governance
- ☐ **Important:** Legal review processes for governance policies and procedures
- ☐ **Important:** Contract and agreement review capability for data sharing
- ☐ **Beneficial:** Legal risk assessment and mitigation expertise
- ☐ **Beneficial:** Litigation and dispute resolution preparation

##### **Privacy Framework:**

- ☐ **Critical:** Privacy policy and procedure framework established
  - ☐ **Important:** Data subject rights management capability developed
  - ☐ **Important:** Privacy impact assessment capability established
  - ☐ **Beneficial:** International privacy regulation compliance capability
  - ☐ **Beneficial:** Privacy by design and default implementation capability
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# 11. Readiness Scoring and Decision Framework

## 11.1 Scoring Methodology

### 11.1.1 Individual Item Scoring

**Scoring Scale:**

- **4 Points (Fully Ready):** All requirements met with evidence of excellence
- **3 Points (Mostly Ready):** Most requirements met with minor gaps
- **2 Points (Partially Ready):** Some requirements met but significant gaps exist
- **1 Point (Limited Readiness):** Few requirements met with major gaps
- **0 Points (Not Ready):** Requirements not met with critical gaps

### 11.1.2 Category and Overall Scoring

**Category Scoring:**

$$\text{Category Score} = (\text{Sum of Item Scores} / \text{Maximum Possible Score}) \times 100$$
$$\text{Category Weight Applied} = \text{Category Score} \times \text{Category Weight Percentage}$$

**Overall Readiness Score:**

$$\text{Overall Score} = \text{Sum of All Weighted Category Scores}$$

**Category Weights:**

- Strategic Readiness: 20%
- Organizational Readiness: 18%
- Resource Readiness: 15%
- Technical Readiness: 15%
- Cultural Readiness: 12%
- Risk Management: 10%
- Vendor Readiness: 5%
- Regulatory Readiness: 5%

## 11.2 Go/No-Go Decision Framework

### 11.2.1 Decision Criteria

**Go Decision Thresholds:**

- Overall Readiness Score  $\geq 75\%$
- No category below 60%
- All critical items scored  $\geq 3$  points
- High and medium risks adequately mitigated

**Conditional Go Criteria:**

- Overall Readiness Score 65-74%
- Maximum one category 50-59%
- Critical items average  $\geq 3$  points
- Risk mitigation plans approved

**No-Go Criteria:**

- Overall Readiness Score  $< 65\%$
- Any category below 50%
- Any critical item scored  $< 2$  points
- Unmitigated high-impact risks present

### 11.2.2 Risk-Adjusted Decision Making

**Risk Tolerance Consideration:**

- High-risk tolerance: Lower thresholds acceptable with enhanced monitoring
  - Medium-risk tolerance: Standard thresholds with mitigation requirements
  - Low-risk tolerance: Higher thresholds with comprehensive preparation
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## 12. Gap Remediation and Preparation Planning

### 12.1 Gap Analysis and Prioritization

#### 12.1.1 Gap Identification Process

**Gap Categories:**

- **Critical Gaps:** Items scoring 0-1 points requiring immediate attention
- **Important Gaps:** Items scoring 2 points requiring preparation before implementation
- **Enhancement Opportunities:** Items scoring 3 points with optimization potential

**Impact Assessment:**

- Implementation risk and probability of failure

- Timeline impact and delay potential
- Resource requirement and cost implications
- Stakeholder impact and satisfaction effects

### **12.1.2 Remediation Planning**

#### **Remediation Strategy Development:**

- Gap-specific remediation approaches and solutions
- Resource requirements and capability development needs
- Timeline and milestone planning for gap closure
- Success criteria and measurement framework

#### **Preparation Timeline:**

- **Immediate (0-30 days):** Critical gap remediation
- **Short-term (1-3 months):** Important gap closure and preparation
- **Medium-term (3-6 months):** Enhancement and optimization activities
- **Ongoing:** Continuous improvement and capability development

## **12.2 Implementation Readiness Validation**

### **12.2.1 Readiness Re-assessment Process**

#### **Re-assessment Criteria:**

- Remediation activity completion and validation
- Updated scoring and gap analysis
- Stakeholder confirmation and buy-in validation
- Risk reassessment and mitigation verification

### **12.2.2 Final Go/No-Go Decision**

#### **Decision Process:**

- Updated readiness assessment review
  - Risk-adjusted decision criteria application
  - Stakeholder consensus and commitment confirmation
  - Implementation authorization and resource allocation
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# Appendices

## Appendix A: Detailed Assessment Questions

[Comprehensive listing of all assessment questions with scoring criteria and evidence requirements]

## Appendix B: Evidence Collection Templates

[Templates and forms for systematic evidence collection and documentation]

## Appendix C: Stakeholder Interview Guides

[Structured interview scripts for different stakeholder categories]

## Appendix D: Risk Assessment Templates

[Templates for risk identification, analysis, and mitigation planning]

## Appendix E: Gap Remediation Planning Tools

[Tools and templates for gap analysis and remediation planning]

## Appendix F: Decision Documentation Templates

[Templates for documenting readiness assessment results and decisions]

## Appendix G: Benchmarking and Comparison Data

[Industry benchmarks and peer comparison data for readiness assessment]

## Appendix H: Implementation Planning Integration

[Guidance for integrating readiness assessment with implementation planning]

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### Document Control:

- This checklist requires customization for specific organizational context, industry requirements, and regulatory environment
- Regular validation and updates recommended based on implementation experience and lessons learned
- Integration with project management and implementation planning processes essential for effectiveness
- Stakeholder engagement and communication critical for accurate assessment and successful remediation
- Continuous improvement based on assessment effectiveness and implementation success measurement recommended

