

Generally Accepted Recordkeeping PrinciplesSM

*Where it's at, what it means, and
what to look for*

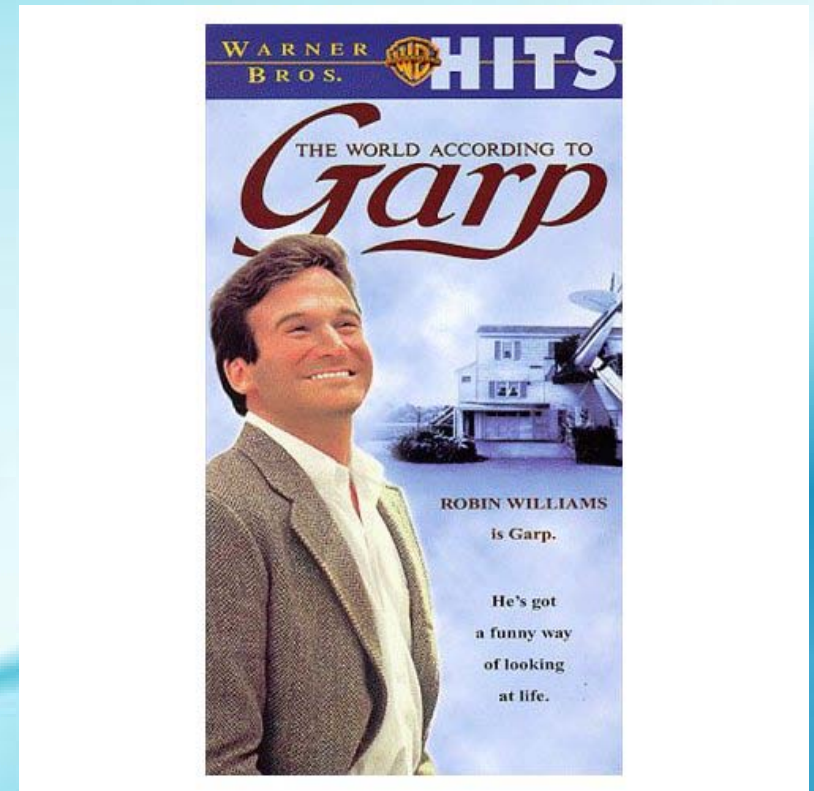
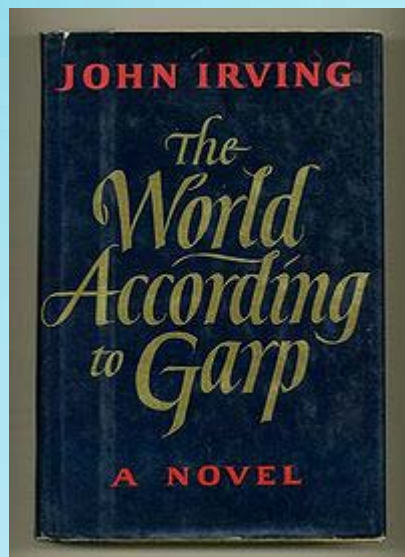
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GARP

- Agenda
 - What Is GARPSM
 - The 8 Principles
 - G.A.R.P. Maturity Model
 - ARMA's Next Steps

What Is GARP ?





What is GARP?

**GARPSM is an Acronym for
Generally Accepted
Recordkeeping Principles**

ARMA understands that records must be created, organized, secured, maintained, and used in a way that effectively supports the activity of that organization.

Quotation

“As to methods there may be a million and then some, but principles are few. The man who grasps principles can successfully select his own methods. The man who tries methods, ignoring principles, is sure to have trouble.”

- Ralph Waldo Emerson

GARP Principles – What Are They?

- A common language and imperative to use with executive management when describing the tenets of a solid program
- A model for program development
- A benchmark against your peers
- A legislative and judicial roadmap to best practices

GARP Principles – Where Did They Come From?

- Committee of 7 widely-respected professional practitioners on the task force
- Using standards, best practices, and practical experience
- Sent to public review by ARMA International members and stakeholders
- Finalized and released March 31, 2009

How will GARP be Used?

By Regulators...

To protect the public by assuring access about the operations, policies and procedures of regulated companies

By RIM Professionals...

To measure the records management programs of a companies in a consistent and systematic manner

By Businesses...

To document to regulators and the public that information will be available from these companies if ever needed

The Value of GARP to Your Organization

- Regulatory requirements
- Maturity model
- Benchmark among peers

Generally Accepted Recordkeeping PrinciplesSM

- Accountability
- Compliance
- Transparency
- Availability
- Integrity
- Retention
- Protection
- Disposition

<http://www.arma.org/garp/>



Principles Underlying GARP

- Principle of Accountability
 - An organization shall assign a senior executive who will oversee a recordkeeping program and delegate program responsibility to appropriate individuals, adopt policies and procedures to guide personnel and ensure program audit ability.

Principles Underlying GARP

- Principle of Transparency
 - The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.

Principles Underlying GARP

- Principle of Integrity
 - A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.

Principles Underlying GARP

- Principle of Protection
 - A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity.

Principles Underlying GARP

- Principle of Compliance
 - The recordkeeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.

Principles Underlying GARP

- Principle of Availability
 - An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

Principles Underlying GARP

- Principle of Retention
 - An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational and historical requirements.

Principles Underlying GARP

- Principle of Disposition
 - An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by laws and organizational policies



Generally Accepted Recordkeeping PrinciplesSM

- Maturity Model - What Is A Maturity Model?
 - Capability Maturity Model Used for Assessing Government Contractor's Processes To Perform Contracted Software Project
 - Now Used By Government and Industry

Generally Accepted Recordkeeping PrinciplesSM

- Maturity Model Application
 - Measured For Each Principle
 - Identification Of All Laws And Regulations
 - Systematic Processes To Capture And Manage Records Throughout Their Life-cycle
 - Continuous Audits And Improvements
 - Recognition by Board and C Level Officers Of An Organization

GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
1	<ul style="list-style-type: none">• There is no clear definition of the records that the organization is obligated to keep.• Records and other business documentation are not systematically managed according to records management principles.• Various groups of the organization define this to the best of their ability based on their interpretation of rules and regulations• There is no central oversight and/or any consistently defensible position

GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
2	<ul style="list-style-type: none">• The organization has identified the rules and regulations that govern its business.• The organization has introduced some compliance policies and recordkeeping practices around them.• The policies may not be complete.• There is no apparent or well defined accountability for compliance.

GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
3	<ul style="list-style-type: none">• The organization has identified all relevant compliance laws and regulations.• Record creation and capture are systematically carried out and in accordance with record management principles.• The organization has a strong code of conduct and it is incorporated into ongoing business activities.• Compliance and the records demonstrating compliance are highly valued and measurable.

GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
4	<ul style="list-style-type: none">• Same as level 3 PLUS:• There are systems in place that help capture and protect records.• The records are linked with metadata used to demonstrate and measure compliance.• Employees are trained appropriately.• Audits are regularly conducted.• Records of audits and training are available for review• Lack of compliance is remedied through various avenues

GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
5	<ul style="list-style-type: none">•Same as level 4 PLUS:•The importance of compliance and the records demonstrating it are recognized clearly at the organization's chief officer and board levels.•Auditing and continuous improvement processes are well established.

GARP Maturity Model

- A Qualitative And Quantitative Measurement
 - By Principle
 - Overall or Average Across All Principles
- Rating Of An Organization's Overall Information Governance Of Which Records Management Is A Component
- Systematic Process Guiding The Evaluation Of An Organization's Maturity With Respect To Recordkeeping Activities.

GARP Maturity Model

GARP Maturity Level	Color Status
1	RED
2	ORANGE
3	AMBER
4	BLUE
5	GREEN

- Five Levels Ranging From 1 to 5
- Less Than 5 May Be Acceptable
 - Organization Risk Tolerance
 - As Measured Against Peers or Competitors
- Previous Level Is Not A Prerequisite For Next Level

GARP – Current Status

- **The September / October *Hot Topic* supplement to the *Information Management* magazine focused on the principles**
- **Panel Discussion Opening October ARMA Conference Introducing The Maturity Model**
- **Maturity Model Updated Based Upon Public Comments Received**

GARP – Current Status

- ARMA has been introducing GARPSM to regulators
- ARMA is promoting GARPSM awareness
- ARMA is developing training sessions on GARPSM
- Measurements and testing are being developed
- GARPSM compliance will become a barometer of records management health

GARP - What's Next?

- **ARMA Board Evaluating Additional Program Components**
 - **Linked To Current Education Offerings and ARMA Strategic Plan**
 - **Multi-year Planning Effort**
 - **Opportunities To Expand Promotion Of The Profession**

GARP - What's Next?

- **Look for more resources to help measure your organization against GARP**
- **Look for resources from ARMA International that directly connects each principle to related resources and education**

And more!



Thank You!

