

ARMA Canadian National Conference 2010

Session T13 Generally Accepted Recordkeeping Principles (GARP®)

Rick Stirling
President of WesternIM,
GARP Task Force Member
ARMA International



Learning Objectives

Upon completion of this session, participants will be able to:

- Describe the purpose of the Generally Accepted Recordkeeping Principles
- Explain the intent of the GARP maturity model and various levels
- Understand the future importance of the GARP principles



What is GARP?

Generally Accepted Recordkeeping Principles

Information management and governance of record creation, organization, security, maintenance and other activities used to effectively support recordkeeping of an organization.



What is GARP?

A accountability

T transparency

I integrity

P protection

C compliance

A availability

R retention

D 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 applicable laws and the organization's policies.



What is a Maturity Model

- The Capability Maturity Model (CMM) was originally developed as a tool for objectively assessing the ability of government contractors' *processes to perform a contracted software project.* *
- Model usage evolved into:
 - Project management
 - Risk Management
 - Business processes
 - Services
- Used by
 - Government
 - Commerce
 - Industry

* http://en.wikipedia.org/wiki/Capability_Maturity_Model



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 Sub-standard	RED
2 In Development	ORANGE
3 Essential	AMBER
4 Proactive	BLUE
5 Transformational	GREEN

- Rating less than 5 may be acceptable because of:
 - Organization risk tolerance
 - Comparable with industry peers or competitors
- Previous level not a prerequisite for next



Maturity by Principle

Summary of what it means for GARP Compliance

- Identification of all laws and regulations
- Systematic processes to capture and manage records through their life-cycle
- Continuous audit and improvements
- Recognition by board and C level officers of an organization
- Adherence to GARP Principles results in ethical decisions by organizations and individuals

* http://en.wikipedia.org/wiki/Capability_Maturity_Model



GARP – COMPLIANCE PRINCIPLE AND MATURITY LEVEL DEFINITIONS

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



GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
1 Sub-standard	<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 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 consistently defensible position



GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
2 In Development	<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 Essential	<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 recordkeeping activities. • Compliance and the records demonstrating compliance are highly valued and measurable.



GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
4 Proactive	<p>Exceeds Level 3 in these ways:</p> <ul style="list-style-type: none"> • 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 conducted regularly • Records of audits and training are available for review. • Lack of compliance is remedied through specific action plans

GARP – Compliance Principle and Maturity Level Definitions

Level	Qualifications
5 Transfor- mational	<p>Exceeds Level 4 in the following ways:</p> <ul style="list-style-type: none"> • 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. • Information management and legal discovery process are integrated to minimize the time and cost of compliance. • Compliance goals are met.

Continuing / Next Steps

- Publish Maturity Model on ARMA International web site
- Identification of metrics to measure level of each GARP principle
- Socialize GARP principles with lawmakers and regulators
- Integrate GARP principles into learning programs



GARP Q&A

410 - 820 51st. East
Saskatoon, SK, S7K 0X8
www.WesternIM.com

Email:

rick.stirling@WesternIM.com

Phone: 306.384.6868

Fax: 888-752-3133



WESTERNIM

