ARMA INTERNATIONAL'S

THE PRINCIPLES
GENERALLY ACCEPTED
RECORDKEEPING PRINCIPLES®

The Generally Accepted Recordkeeping Principles®

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What are the Principles?

A set of objective records and information management principles to achieve a measureable, consistent RIM structure, fully insulated from individual and organizational influence or bias.

What are the Principles?

a clear statement to guide:

- ✓ CEOs in determining how to protect their organizations in the use of information assets
- ✓ Legislators in crafting legislation meant to hold organizations accountable
- ✓ Records management professionals in designing comprehensive and effective records management programs

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Preamble

Records and recordkeeping are inextricably linked with any organized activity. It is only through the information an organization records in the normal course of business that it can know what it has done and effectively plan what it will do in the future.

Preamble - Records

- ✓ A key resource in the operation of any organization
- ✓ Used in a way that effectively supports the activity of that organization

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The Principles

- ✓ identify the critical hallmarks of information governance
- ✓ apply to all sizes of organizations, in all types of industries, and in both the private and public sectors

8 Principles

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

Accountability

A senior executive (or person of comparable authority) oversees the recordkeeping program and delegates program responsibility to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure the program can be audited.

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.

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.

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.

Compliance

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

Availability

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

Retention

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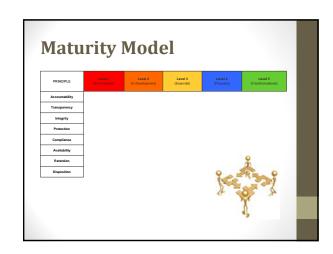
Disposition

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.

ARMA International Maturity Model for Information Governance®

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ARMA International Maturity Model for Information Governance ®

- ✓ gives a more complete picture of what effective information governance looks like.
- ✓ Based on the eight Principles as well as a foundation of standards, best practices, and legal/regulatory requirements

Maturity Model

PRINCIPLE	Level 1 (Sub-Standard)	Level 2 (In Development)	Level 3 (Essential)	Level 4 (Proactive)	Level 5 (Transformational)
Accountability					
Transparency					
Integrity					
Protection					
Compliance					
Availability					
Retention					
Disposition					

Maturity Levels

- ✓ Level 1 (Sub-standard)
- ✓ Level 2 (In Development)
- ✓ Level 3 (Essential)
- ✓ Level 4 (Proactive)
- ✓ Level 5 (Transformational)

How to Use the Maturity Model

- ✓ Identify the gaps between the organization's current practices and the desirable level of maturity for each principle.
- ✓ Assess the risk(s) to the organization, based on the biggest gaps.
- ✓ Determine whether additional information and analysis is necessary.
- ✓ Develop priorities and assign accountability for further development of the program.

Accountability

LEVEL 3 (Essential)

- ✓ The records manager is an officer of the organization and is responsible for the tactical operation of the ongoing program on an organization-wide basis.
- ✓ The records manager is actively engaged in strategic information and record management initiatives with other officers of the organization.
- ✓ Senior management is aware of the program.
- ✓ The organization has defined specific goals related to accountability.

Transparency

LEVEL 3 (Essential)

- ✓ Transparency in recordkeeping is taken seriously and information is readily and systematically available when needed.
- ✓ There is a written policy regarding transparency.
- ✓ Employees are educated on the importance of transparency and the specifics of the organization's commitment to transparency.
- ✓ The organization has defined specific goals related to transparency.

Integrity

LEVEL 3 (Essential)

- ✓ The organization has a formal process to ensure that the required level of authenticity and chain of custody can be applied to its systems and processes.
- ✓ Appropriate data elements to demonstrate compliance with the policy are captured.
- ✓ The organization has defined specific goals related to integrity.

Protection

LEVEL 3 (Essential)

- ✓ The organization has a formal written policy for protecting records and centralized access controls.
- ✓ Confidentiality and privacy are well defined.
- ✓ The importance of chain of custody is defined, when appropriate.
- ✓ Training for employees is available.
- ✓ Records and information audits are only conducted in regulated areas of the business. Audits in other areas may be conducted, but are left to the discretion of each function area
- ✓ The organization has defined specific goals related to record protection.

Compliance

LEVEL 3 (Essential)

✓The organization has identified all relevant compliance laws and regulations.

✓Record creation and capture are systematically carried out in accordance with records management principles.

✓The organization has a strong code of business conduct which is integrated into its overall information governance structure and recordkeeping policies.

✓Compliance and the records that demonstrate it are highly valued and measurable.

✓The hold process is integrated into the organization's information management and discovery processes for the "most critical" systems.

✓The organization has defined specific goals related to compliance.

Availability

LEVEL 3 (Essential)

✓There is a standard for where and how official records and information are stored, protected, and made available.

✓Record retrieval mechanisms are consistent and contribute to timely records retrieval.

✓Most of the time, it is easy to determine where to find the authentic and final version of any record.

✓Legal discovery is a well defined and systematic business process.

✓The organization has defined specific goals related to availability.

Retention

LEVEL 3 (Essential)

✓A formal retention schedule that is tied to rules and regulations is consistently applied throughout the organization.

✓The organization's employees are knowledgeable about the retention schedule and they understand their personal responsibilities for records retention.

✓The organization has defined specific goals related to retention.

Disposition

LEVEL 3 (Essential)

✓Official procedures for records disposition and transfer are developed.

✓Official policy and procedures for suspending disposition have been developed.

✓Although policies and procedures exist, they are not standardized across the organization.

✓Individual departments have devised alternative procedures to suit their particular business needs.

✓The organization has defined specific goals related to disposition.

Assessment Results

✓Where are you?

✓Where would we like to be?

✓What is your Strategic Approach?

Other Resources

✓ISO 15489-1 *Information and Documentation-Records Management-Part 1: General*

✓ISO/TR 15489-2 *Information and Documentation-Records Management-Part 2: Guidelines*

✓Records and Information Management Core Competencies
http://www.arma.org/competencies/document.cfm

ARMA Resources

- ✓ The Generally Accepted Recordkeeping Principles®
- ✓ http://www.arma.org/garp/index.cfm

- ✓ ARMA International Maturity Model for Information Governance
- ✓ http://www.arma.org/garp/metrics.cfm

- ✓ The Generally Accepted Recordkeeping Principles® Health Checkup
  http://www.arma.org/garp/health.cfm

ARMA Resources

- ✓ The Generally Accepted Recordkeeping Principles® Education
  (some have a fee discount and some are free for ARMA members)

  http://www.arma.org/garp/EDmenu.cfm

Questions?

Comments