

# **GARP® Maturity Model Is Your Organization Ready?**

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- Dear Manager (HR),
- Bob Smith, my assistant programmer, can always be found hard at work in his cubicle. Bob works independently, without wasting company time talking to colleagues. Bob never thinks twice about assisting fellow employees, and he always finishes given assignments on time. Often Bob takes extended measures to complete his work, sometimes skipping coffee breaks. Bob is a dedicated individual who has absolutely no vanity in spite of his high accomplishments and profound knowledge in his field. I firmly believe that Bob can be classed as a high-caliber employee, the type which cannot be dispensed with. Consequently, I duly recommend that Bob be promoted to executive management, and a proposal will be sent away as soon as possible.
- *Signed - Project Leader*

# San Antonio 2006



# Talladega 2009



# Personal Background

- 1976 – Joined ARMA and AIIM – Active at Chapter-Level – Houston
- 1981 – Houston AIIM Chapter President
- 1983 – 1986 – AIIM Board of Directors
- 1989 – Chair of ARMA Legislative and Regulatory Affairs
- 1991 – ARMA International Board – Region VP (Southwest)
- 2006 – Elected to Board of Directors
- 2008 – Elected as President Elect
- 2009 – GARP Introduced in concept
- 2010 – GARP Maturity Model



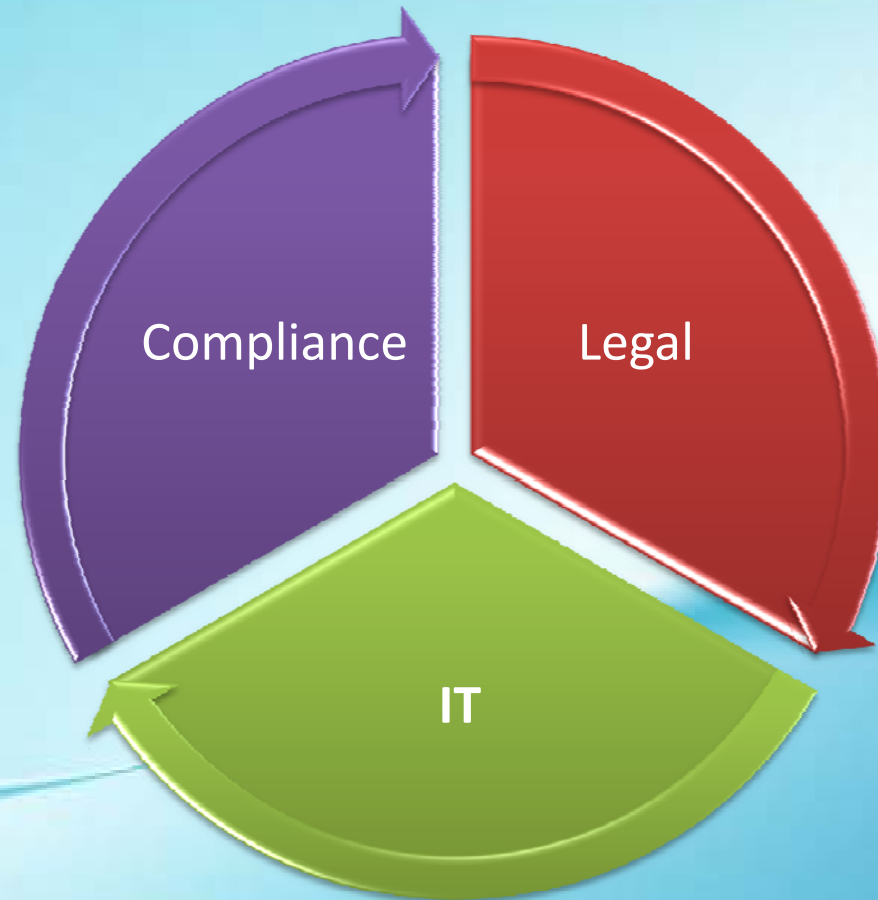
# Learning Objectives



- Describe the purpose of the Generally Accepted Recordkeeping Principles
- Explain the intent of the GARP® maturity model and various levels
- Identify the process to measure the maturity level of an organization
- Provide some insight to the future of GARP®



# Information Management Partnership



# What Is ARMA?

[ARMA International](#) is a not-for-profit professional association and the authority on managing records and information – paper and electronic.

- Standards development and best practices
- Educational development and offerings
- Leg/Reg influence and awareness
- Collab and networking in the RIM space

# What Is ARMA?

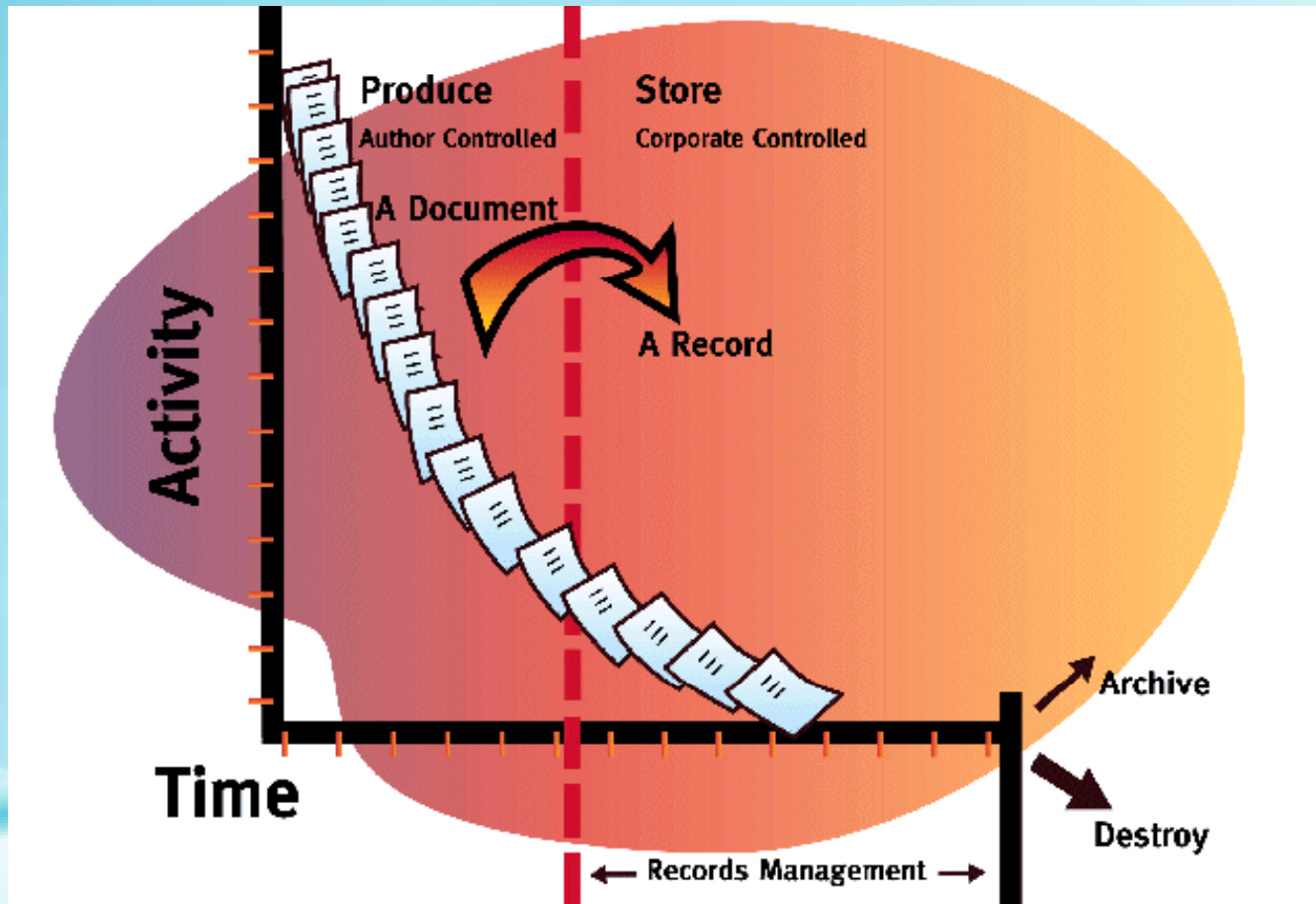
- The **vision** is that “ARMA is recognized as the leading worldwide authority and advocate on managing records and information, and a vital resource for records and information management professionals.”
- The **mission** of ARMA International is to educate, advocate, and provide resources that enable professionals to manage information as a critical element of organizational operations and governance.

# Why ARMA?

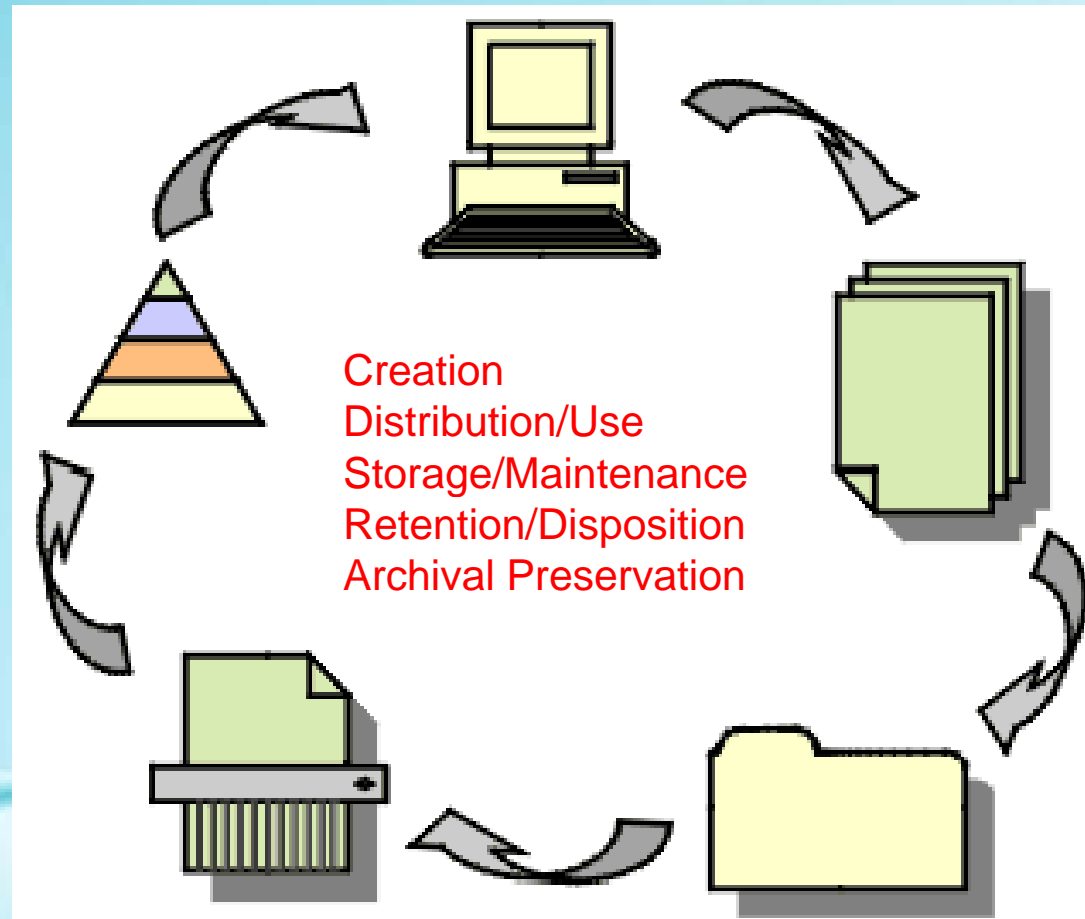
- Proactive v. Reactive
- Strong professional affiliation is imperative
- Benefit from ARMA's products and services
- Improved delivery times to standards, best practices, and critical positions
- Increased participation will bolster State Farm's affiliation with ARMA



# Document Life Cycle



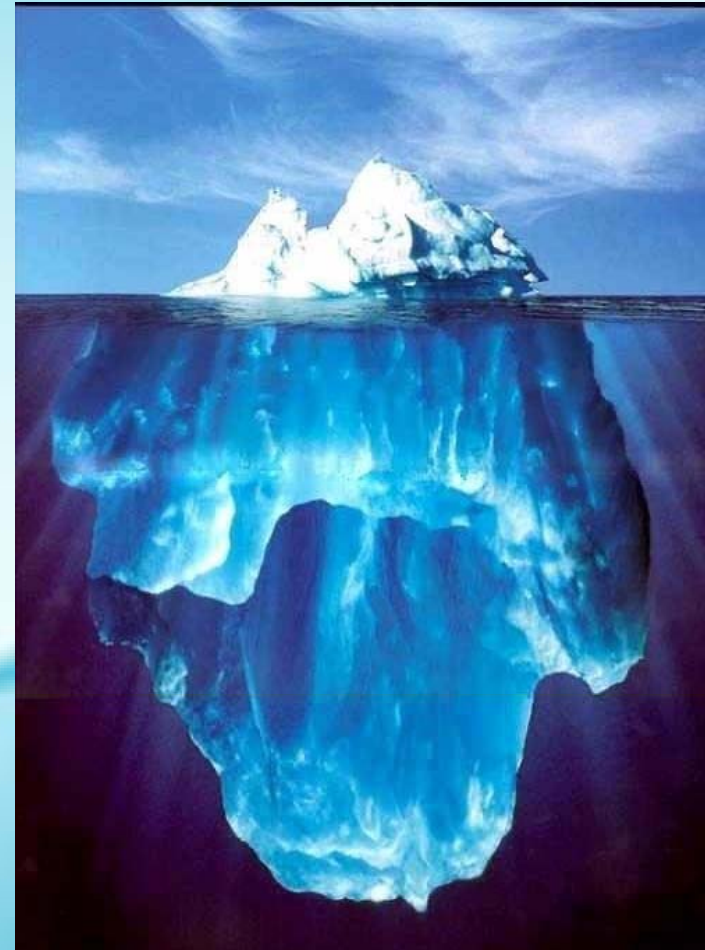
# Information Life Cycle



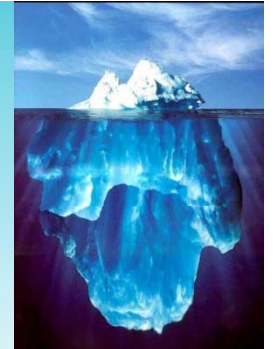
# Information Governance

RIM Principles +  
Information Life Cycle +  
Professional Demand +  
Technology +  
Distributed Computing =

**Information Governance**  
(RIM/Compliance/Audit/Policy)



# 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.



# Principles Underlying GARP®

Principle of Accountability

Principle of Transparency

Principle of Integrity

Principle of Protection

Principle of Compliance

Principle of Availability

Principle of Retention

Principle of Disposition

# Principles Underlying GARP®



**A**ccountability

**T**ransparency

**I**ntegrity

**P**rotection

**C**ompliance

**A**vailability

**R**etention

**D**isposition



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

# GARP® Framework and Ethics

- Establish policies/practices to ensure transparency AND appropriate confidentiality
- Conduct records retention and disposition in compliance with laws and regulations
- Integrate the organization's code of ethics into recordkeeping practices
- Audit and measure organizational recordkeeping practices; correct non-compliance



# Why GARP®? Why Now?

- FOIA & Patriot Act – Availability
- Enron/Anderson – Transparency & Audit
- GLB - Privacy
- HIPAA – Security/Privacy of Data
- Zubulake v. UBS Warburg - Preservation
- FRCP Revision 12/1/2006 – ESI & eDisc
- Change in Administration in DC



# 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](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 and information 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

# **GARP® – Compliance**

## **Principle and Maturity Level Definitions**

### **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.

# GARP® – Compliance

## Principle and Maturity Level Definitions

Level	Qualifications
<b>1</b> Sub-standard	<ul style="list-style-type: none"><li>▪ There is no clear definition of the records that the organization is obligated to keep.</li><li>▪ Records and other business documentation are not systematically managed according records management principles.</li><li>▪ Various groups of the organization define this to the best of their ability based on their interpretation of rules and regulations</li><li>▪ There is no central oversight and/or consistently defensible position</li><li>▪ There is no defined or understood process for imposing “holds”.</li></ul>

# GARP® – Compliance

## Principle and Maturity Level Definitions

Level	Qualifications
2 In Development	<ul style="list-style-type: none"><li data-bbox="495 529 1665 646">▪ The organization has identified the rules and regulations that govern its business.</li><li data-bbox="495 670 1822 787">▪ The organization has introduced some compliance policies and recordkeeping practices around them.</li><li data-bbox="495 812 1247 862">▪ The policies are not complete.</li><li data-bbox="495 886 1724 1003">▪ There is no apparent or well defined accountability for compliance.</li><li data-bbox="495 1027 1934 1144">▪ There is a hold process, but it is not well-integrated with the organization's information and discovery processes.</li></ul>

# GARP® – Compliance

## Principle and Maturity Level Definitions

Level	Qualifications
<b>3</b> Essential	<ul style="list-style-type: none"><li>▪ The organization has identified all relevant compliance laws and regulations.</li><li>▪ Record creation and capture are systematically carried out in accordance with record management principles.</li><li>▪ The organization has a strong code of business conduct which is integrated into its overall information governance structure and recordkeeping policies.</li><li>▪ Compliance and the records that demonstrate it are highly valued and measurable.</li><li>▪ The hold process is integrated into the organization's information management and discovery processes for the "most critical" systems.</li><li>▪ The organization has defined specific goals related to compliance.</li></ul>

# GARP® – Compliance

## Principle and Maturity Level Definitions

Level	Qualifications
4 Proactive	<ul style="list-style-type: none"><li data-bbox="436 532 1850 646">▪ The organization has implemented systems to capture and protect records.</li><li data-bbox="436 672 1850 786">▪ Records are linked with the metadata used to demonstrate and measure compliance.</li><li data-bbox="436 812 1944 925">▪ Employees are trained appropriately and audits are conducted regularly.</li><li data-bbox="436 951 1843 1000">▪ Records of the audits and training are available for review.</li><li data-bbox="436 1026 1850 1140">▪ Lack of compliance is remedied through implementation of defined corrective actions.</li><li data-bbox="436 1166 1864 1344">▪ The hold process is well-managed with defined roles and a repeatable process that is integrated into the organization's information management and discovery processes.</li></ul>

# GARP® – Compliance

## Principle and Maturity Level Definitions

Level	Qualifications
5 Transformational	<ul style="list-style-type: none"><li>▪ <b>The importance of compliance and the role of records and information in it are clearly recognized at the senior management and board levels.</b></li><li>▪ Auditing and continuous improvement processes are well-established and monitored by senior management.</li><li>▪ The roles and processes for information management and discovery are integrated.</li><li>▪ The organization's stated goals related to compliance have been met.</li><li>▪ The organization suffers few or no adverse consequences based on information governance and compliance failures.</li></ul>

# Free Your Mind

"This is your last chance. After this, there is no turning back.

You take the blue pill, the story ends. You wake up and believe...whatever you want to believe.

You take the red pill, you stay in wonderland and I show you just how deep the rabbit hole goes."

*Morpheus, The Matrix*

# GARP® Future – Talking Points

- Measurement
- Information Governance and RIM
- Certification and Auditors
- What about the ICRM?



# GARP® - Measurement

- Maturity Model released January, 2010
- Task Force defining measurement behind the Maturity Model to aid organizations
- Metrics/measurements are key to our Leg/Reg agenda.
  - *“What gets measured gets done!”*



# GARP® – Info Governance & RIM

- Gartner describes GARP® as an accountability framework that *“includes the processes, roles, standards, and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals.”*



# GARP® – Certification & Auditors

- Training and Educational Opportunities
- Drive Employment – Specialized Skills
- Certification at Two Levels:
  - GARP® Recognized Professionals (GRP)
  - Registered/Licensed GARP® Auditor
- Still Evolving in the Business Plan



# GARP® – What About ICRM?

- Information Governance certification goes beyond RIM, but RIM is the foundation of good Information Governance
- **CRM compliments, not competes with GRP certification**
- ARMA continues to value our partners and allied organizations
- ICRM included in task forces

# What Does This Mean To Me?

- Capitol Hill – Direct feed to Leg/Reg
- ECM is touched by many of these principles
- Insight – What to look for
- Call for Volunteers
  - SMEs in various fields
  - Need to be in position with approval
  - Contact me with questions or suggestions



# Feedback

- How many view GARP® as a significant positive advancement for ARMA?
- How many plan to incorporate GARP® into your organization's Information Governance program(s)?
- What is the most significant value in GARP® to you or your organization?



# GARP®

## Questions & Discussion

