Implementing the Generally Accepted Recordkeeping Principles®

A Technical Report prepared by ARMA International and registered with ANSI
August 13, 2017
# Table of Contents

Foreword .......................................................................................................................... iv

Acknowledgements ........................................................................................................... v

1 Introduction ..................................................................................................................... 1

2 Definitions ....................................................................................................................... 2

3 A Generally Accepted Information Governance Standard ............................................. 6

4 A Model for Effective Information Governance ............................................................. 6

5 The Five Levels of the Maturity Model ......................................................................... 7

6 How to Use the Maturity Model ..................................................................................... 7

7 Understanding the Maturity Model in Relation to the Principles .................................... 8
  7.1 Principle of Accountability ......................................................................................... 8
  7.2 Principle of Transparency ......................................................................................... 9
  7.3 Principle of Integrity ............................................................................................... 10
  7.4 Principle of Protection ............................................................................................. 11
  7.5 Principle of Compliance ......................................................................................... 12
  7.6 Principle of Availability .......................................................................................... 14
  7.7 Principle of Retention ............................................................................................. 15
  7.8 Principle of Disposition ......................................................................................... 16

8 Conclusion ...................................................................................................................... 17

Appendix A – The ARMA International Generally Accepted Recordkeeping Principles® ..... 18
  Preamble ........................................................................................................................ 18
  The Principles Overview ................................................................................................. 18
    1 Principle of Accountability ....................................................................................... 19
    2 Principle of Transparency ...................................................................................... 20
    3 Principle of Integrity .............................................................................................. 20
    4 Principle of Protection ......................................................................................... 21
    5 Principle of Compliance ....................................................................................... 22
    6 Principle of Availability ......................................................................................... 23
    7 Principle of Retention ............................................................................................ 24
    8 Principle of Disposition ....................................................................................... 25

Appendix B – Information Governance Maturity Model .................................................... 26

Bibliography .................................................................................................................... 30

About ARMA International ............................................................................................... 37
Foreword

ARMA International’s relationship with the American National Standards Institute (ANSI) is long-standing, spanning three decades and embracing a comprehensive body of publications. In 1986, ARMA International was granted accreditation by ANSI as a standards developing organization, securing the right to develop and publish American National Standards. In 2002, ARMA International expanded its capabilities and received approval for the development and publication of ANSI-registered technical reports.

Rationale

Currently, ARMA International’s Standards Development Program activities include the development of systems, rules, reports, and/or procedures for information and records creation, structure, capture, organization/classification, search, access, retrieval, use, transmission, retention, storage, and disposition in paper and electronic formats. Topics related to archives/records and information management such as information governance, security, disaster recovery, legal/regulatory requirements, process quality improvement, and specific filing equipment, supplies, terminology, and applications/technologies are studied as well. Standards and technical reports may be developed in any of the aforementioned subject areas and may have broad, cross-industry applicability or unique, sector-specific relevance.


This technical report provides state-of-the-art information for organizations’ information governance needs. It complements the ARMA International Generally Accepted Recordkeeping Principles® and may be used in conjunction with ISO 15489-1: 2016 Information and documentation – Records management – Part 1 – Concepts and principles, as well as American National Standards and other international standards. It is for use by records and information management practitioners, information governance professionals, and educators. It may also be of interest to archivists, records management consultants, and legal and information technology professionals.

The publication of this technical report, which has been registered with ANSI, has been approved by ARMA International, 11880 College Boulevard, Suite 450, Overland Park, Kansas 66210. This document is registered as a technical report according to the Procedures for the Registration of Technical Reports with ANSI. This document is not an American National Standard, and the material contained herein is not normative in nature.

Comments on the content of this document should be sent by e-mail to standards@armaintl.org or by mail to:

ARMA International
11880 College Blvd., Ste. 450
Overland Park, KS 66210
Attn: Standards
Acknowledgments

ARMA International gratefully acknowledges the contributions of time and expertise made by the following individuals. Without their efforts, this publication would not have been possible. Affiliations listed are those on record with ARMA International at the time of printing.

Workgroup Leader:
G. Mark Walsh, CRM, CA, Old Dominion University, Norfolk, Va.

Workgroup Members:
Kurt Brenneman, North Carolina Department of Natural and Cultural Resources, Raleigh, N.C.
Stephanie Coy, City of New York Department of Records and Information Services, New York, N.Y.
Katalin Fur, CRM, BMO Financial Group, Toronto, Ontario, Canada.
Richard Gibbs, Albuquerque, N.M.
Richard G. King, University of Arizona, Tucson, Ariz.
Mary Laverdure, CRM, Wells Fargo International Group, Winston-Salem, N.C.
Judy Vasek Sitton, CRM, Kinder Morgan, Houston, Texas
Amy Van Artsdalen, IGP, CRM, Joe Hill Consulting Engineers, San Francisco, Calif.
Robin Woolen, IGP, The Records Guru®, Kansas City, Mo.
Trudi Wright, CRM, District School Board of Niagara, St. Catharines, Ontario, Canada.
Natasha Zwarich, Ph.D., Université du Québec à Montréal, Montréal, Québec, Canada.

Special Contributors:
Thank you to the ARMA International Standards Development Program consultant, Nancy D. Barnes, Ph.D., CRM, CA, who served as project manager for the development of this publication, and to Vicki Wiler, ARMA International editor-in-chief.
1 Introduction

Information is one of the most vital strategic assets organizations possess; it is used to develop products and services, make critical strategic decisions, protect property rights, propel marketing, manage projects, process transactions, serve customers, and generate revenues. In short, well-governed information is critical to every organization’s success.

Despite its importance, disagreement about what constitutes good information governance – which ARMA International defines as “A strategic, cross-disciplinary framework composed of standards, processes, roles, and metrics that...helps organizations achieve business objectives, facilitates compliance with external requirements, and minimizes risk posed by substandard information-handling practices” – abounds, and there is uncertainty as to how to achieve it.

Increasingly, this issue gains in importance as regulators, shareholders, courts, and constituents address organizations’ business practices and the records – which ARMA International defines as “any recorded information, regardless of medium or characteristics, made or received and retained by an organization in pursuance of legal obligations or in the transaction of business” – and other information assets that support and document those practices.

In addition, society is concerned about governmental and business transparency, as well as other information-related issues such as privacy and the security of personal information. These concerns are magnified by complex, ever-growing data volumes that demand increasingly sophisticated governance and management. To address these needs, ARMA International developed and promulgated the Generally Accepted Recordkeeping Principles® (Principles).

This technical report describes how organizations can implement the Principles for improved operational effectiveness and better information governance. It offers details for use of the Principles...
Implementing the Generally Accepted Recordkeeping Principles®

regardless of an organization’s size, type (e.g., for profit, government, nonprofit, not for profit), or industry sector. As a result, this publication can have wide-reaching applicability in globally dispersed business settings.

2 Definitions

This section contains only those definitions essential for clarification of this technical report. Unless noted otherwise, the ARMA International Glossary of Records Management and Information Governance Terms, 5th Ed. (ARMA International TR 22-2016) contains these definitions, as well as other terms applicable to records and information management (RIM).

accountability
The act of holding an individual or organization responsible for a set of activities, requiring them to ensure that the activities meet desired outcomes, and expecting them to explain any variances or non-conformances.

access control
The framework of policy, processes, and tools to control access to a resource or physical facility based on the permission level, role, and responsibilities assigned to the person requesting access.

access
The right, opportunity, or means of finding, viewing, using, or retrieving information.

administrative value
The usefulness of a record for conducting an organization’s support functions (e.g., budget, personnel, supply, audit, accounting).

appraisal
The evaluation of a records series or an individual record’s value for retention or archival purposes, based upon its current or predicted use(s) for administrative, legal, regulatory, fiscal, research, evidentiary, or historical purposes.

Also referred to as records appraisal.

archivist
An individual responsible for appraising, acquiring, arranging, describing, preserving, and providing access to records of enduring value, according to the principles of provenance, original order, and collective control to protect the materials’ authenticity and context.

Source: A Glossary of Archival and Records Terminology.

ARMA International Information Governance Maturity Model (IGMM)
A model providing metrics that organizations can use to develop an information governance program, benchmark an information governance program’s maturity, identify and analyze gaps in an information governance program, assess information-related risks, and develop plans for mitigating those risks.

audit
A review of information-related activities to ensure that sufficient policies, procedures, and controls are in place and complied with to meet all operational, legal, and regulatory obligations and to identify where and how improvements should be made.

authenticity
The sum of the qualities of a record that establishes the origin, reliability, trustworthiness, and correctness of its content.

availability
The characteristic of a program that ensures the ability to retrieve records in a timely, efficient, and accurate manner.