



## GARP® Principle of Compliance in Records Management Programs

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**Speaker:** Maura Dunn, CRM, PMP, of Duff & Phelps

**Presentation:** GARP® Principle of Compliance in Records Management Programs

**Date:** Tuesday, January 18, 2011

**Time:** 8:00 AM Breakfast Meeting/Seminar

**Location:** Christiana Hilton  
100 Continental Drive  
Newark, Delaware

**Cost:** \$20.00

**Reservations:** Please RSVP via e-mail by January 14, 2011

To:

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or

At the Diamond State Chapter website at  
<http://www.armamar.org/DS/meetingregistrationsdsc.html>

### About Our Speaker

Maura Dunn is a Director in Duff & Phelps, LLC's Legal Management Consulting Group. She leads the Enterprise Information Management/Records Strategies practice for Duff & Phelps, counting among her clients worldwide leaders in media/internet advertising and content, entertainment, luxury goods, and professional services firms. Her experience spans the full lifecycle of records management program implementations including assessment, strategy, policy development, technology implementations, training and operations.

## President's Message

Valerie L. Singler



### Happy “Compliant” New Year!

First and foremost, I'd like to wish you Happy New Year. I hope you and yours had a great holiday season and wish you all the best for 2011!

This month, we'll continue exploring GARP® and how these principles will influence our RIM programs and how business will do “business,” by looking at the Principle of Compliance.

There are plenty of applicable laws and regulations that need to be adhered to, from HIPAA to HITECH; CFR, GAAP, SOX, and GLB; Federal, State and City legislation and Industry regulations. If you work at a global company,

you know that the number of applicable laws and regulations with which an organization needs to comply goes up exponentially.

On **Tuesday, January 18, 2011** at 8:00 a.m. at the Christiana Hilton, Maura Dunn, CRM, PMP, a consultant with Duff & Phelps in Bethesda MD helps the ARMA Diamond State Chapter kick off the New Year with a presentation on the GARP® Principle of Compliance in Records Management Programs at our January breakfast meeting. Maura is a Director in Duff & Phelps, LLC's Legal Management Consulting Group. She leads the Enterprise Information Management/Records Strategies practice for Duff & Phelps, counted among her clients are worldwide leaders in media/internet advertising and content, entertainment, luxury goods, and professional services firms.

Now for something completely different . . . over the holidays, the Food Bank of Delaware (FBD) provided help to many families and now they need help restocking their shelves. To help with this effort, the Chapter will be running a "**Help Restock the Pantry**" canned goods campaign at our January meeting. Please consider bringing a donation (goods or monetary) to the January meeting and we will make sure they are delivered to one of the FBD's local warehouses. If you'd like more information about the Food Bank of Delaware and/or a shopping list of the most urgently needed items, please visit their website at <http://www.fbd.org>

Finally, please mark this date in your calendar – **March 16, 2011** – and plan to join us for our annual seminar at the Christiana Hilton when we'll be (as Hutch Johnson, our seminar chair put it) “bringing a bit of the 2010 ARMA Conference in San Francisco home.” Gordon E. J. Hoke, who spoke on the recordkeeping challenges for small to medium-size organizations, and our own John C. Montaña will address the recordkeeping challenges faced by organizations of every size – S, M, L, XL – and how GARP® can be utilized to meet these challenges. Information about the program and registration will be coming in the next few weeks.

***“ It is the duty of every organization to comply with applicable laws, including those for maintaining records. An organization's credibility and legal standing rest upon its ability to demonstrate that it conducts its activities in a lawful manner”*** (ARMA International GARP®, Principle of Compliance).

## Board Report – November 2010



Board meeting notes from November 16, 2010

- Val Singler and Hutch Johnson attended the ARMA International conference in San Francisco. The Chapter donated a piece of Eldreth Pottery for the ARMA Foundation silent auction.
- The treasurer reported that as of October 29, 2010 the account balances were \$5,689.36 in checking; \$4,134.54 in the money market fund.
- Plans continue for the annual seminar in March.
- Discussion about canned food and Toys for Tots donations at the January meeting.

## Generally Accepted Recordkeeping Principles®

### GARP® PRINCIPLE OF COMPLIANCE

*Wendy Sapp, CRM*

January's topic is Compliance and features Maura Dunn, CRM, PMP, a Director in the consulting firm of Duff & Phelps.

Maura's firm and those we work for are all in the same boat when it comes to compliance with laws in the workplace. It doesn't matter what we do or make, our employers and we employees have laws and rules we must know and demonstrate that we know.

In the GARP world records managers must know the rules that govern the records systems we create and maintain or at least have someone we can turn to help us find out about the ones that affect our organization.

In general, compliance requirements can originate from specific federal or state retention laws, requirements from federal and state rules of civil procedure, but they may also come from internal management rules and processes.

The duty of compliance affects your RIM systems in two ways:

- The system must contain information showing the organization conducts business in a lawful manner
- The system is subject to legal requirements to maintain certain records

Further, it follows that:

- Records entered in an organization's records system must demonstrate the "lawfulness" of its activities
- Applicable information must be entered into the systems as prescribed by the law
- The entered information must be maintained in the manner and for the time prescribed by the law

The following are recommended components of a RIM program which help assure compliance:

- a records retention policy
- a records retention schedule
- a legal hold policy
- records retention procedures
- program training
- program audits
- use of appropriate software and tools

As with all GARP principles you should strive for level 5 on the GARP maturity model. By reaching this level, your organization demonstrates not only that it has identified all the applicable recordkeeping laws and regulations, but that all employees at all levels have embraced and put into practice the procedures to meet those regulations.

The reward to the organization is that it is unlikely to suffer adverse consequences (fines, loss of revenue, loss of credibility) as a result of compliance issues.

## Library Corner: GARP®, Principle of Integrity

Lynn Catanese



### GARP®, Principle of Integrity

At the November breakfast meeting, Val Singler, of Computer Services Corporation (CSC), gave a presentation on the GARP® Principle of Integrity, and how CSC applies it in their records management program. For additional information about the Principle of Integrity, see the following:

ARMA International

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

ARMA International Maturity Model for Information Governance

<http://www.arma.org/garp/metrics-integrity.cfm>

“The Legal Records and Information Management World According to GARP®,” *Vendor Direct Solutions*

<http://tiny.cc/xhjbk>

“GARP®, Mapping a Route for Compliance,” *The Free Library of Fairfax*

<http://tiny.cc/963u0>

John Montana, “GARP, Mapping a Route for Compliance,” *ARMA*, September 2009

<http://tiny.cc/39x22>

“FAQ: GARP and how it helps you achieve better information governance,” SearchCompliance.com

<http://tiny.cc/l0m79>

## Mark Your Calendar

Unless noted otherwise, meetings are scheduled for breakfast on the third Tuesday of each month at:

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*The Christiana Hilton  
100 Continental Drive  
Newark, Delaware*

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### **January 18, 2011**

8:00 a.m. Breakfast Meeting

Speaker and Topic: Maura Dunn, Consultant of Duff & Phelps will discuss the GARP® Principle of Compliance

### **February 15, 2011**

8:00 a.m. Breakfast Meeting

Speaker and Topic: To Be Determined



## Diamond State Chapter Leadership 2010 – 2011

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