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NEW IMAGES

Ten Years After: RIM Standards Evolve Slowly

By: [Gordon E.J. Hoke, CRM](#)

Ten years ago, the tech world was still exhaling in relief and self-congratulations on dodging the Y2K bullet. Leading-edge records managers joined the techies, smiling that their fledgling stock of electronic records was largely intact; disaster recovery tactics went unused.

In this heady environment, a group of records and information management (RIM) luminaries adapted Australia's Design and Implementation of Recordkeeping Systems, better known to most as DIRKS, to worldwide applicability. In 2001, the International Organization for Standardization (ISO) published the international records management standard, ISO 15489-1 Information and Documentation – Records Management: Part I: General, and its complementary technical report, ISO 15489-2 Information and Documentation – Records Management – Part II: Guidelines, that remain an important reference and guide for measuring RIM success today.

Eight years later, ARMA International published its Generally Accepted Recordkeeping Principles® (GARP®), which owes much to ISO 15489. To call it derivative is not quite accurate. Think of it more as a re-interpretation that reflects the changes, the evolution of RIM over a 10-year period.

That GARP® and 15489 have much in common is not surprising. The discipline of records management dates back, at least, to 4th Century BCE, and it evolved slowly,

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Metro Maryland November Meeting

Thursday, November 18, 2010

Time: Networking 6:00 PM; Dinner 6:30 PM; Program 7:30 PM

Location: Far East Restaurant
5055 Nicholson Lane,
Rockville, Md 20852
301-881-5552

befitting its heritage and longevity. Unlike practices based on ephemeral developments, RIM wears technology like a runway model at a fashion show: She shows dress after dress, but the walk never changes. Records' value is in the content, not the visible format or medium. The best practices of records management evolve with the needs of the records users, and those practices morph slowly over the years. Records managers rarely say, "Gee whiz!" to mercurial novelty.

(It is possible that the current buzz words, such as cloud computing, Web 2.0, and others that rapidly multiply the entry-points and touch-points for records, may accelerate the evolution of RIM, but that is prognostication.)

Ten years offer only a narrow perspective of changes in RIM practices. Nonetheless, there is value in comparing ISO 15489 and GARP®. The differences help us see how the role of the records management professional has changed.

There is considerable, basic congruence between ARMA International's GARP® and ISO's 15489. Six fundamental areas overlap: availability, retention, disposition, protection, compliance, and integrity. While the wording varies a bit, ARMA International and ISO agree on these, basically.

Both encourage improvement, not perfection. Each records program, no matter how good or bad, can get better. Improvement, however, can be subjective and ill-defined without measurements. These standards provide benchmarks for realizing RIM programs' growth. The GARP® Maturity Model is a facilitating measurement tool.

As for differences, ISO 15489 lacks GARP's® first two principles. Accountability and transparency describe RIM's governance and explicitly stated organization, policies, and strategies. This is analogous to metadata. It is not about the mechanics of keeping records, but, rather, the structure, politics, budget, and administration of organizing and sustaining records' usefulness within an organization.

GARP's® addition of accountability and transparency to the canon reflects the different roles records management filled in organizations in 2000 (when 15489 coalesced) and GARP's® natal year, 2009. At the millennium, records management was a disciplined service. It was largely paper-based, and its roots in library science were apparent. By 2009, it was RIM, a technology-infused hybrid striving for recognition as a full-fledged corporate component, parallel to legal and finance.

While GARP® presents two unique principles, ISO 15489 offers guidance in two areas that GARP® largely ignores.

First, ISO 15489 addresses risk management, articulating the use of records management to measure and reduce

Program: Records Management, Transparency, and Open Government: An Update from the National Archives"

The Archivist of the United States, David Ferriero, has been quoted as saying that "records management is the backbone of open government." In this talk, Arian Ravanbakhsh from the Office of Modern Records Programs at the National Archives and Records Administration will discuss what that means for Federal agency record management programs. In addition, he will discuss two recently issued NARA Bulletins, one on Records Management Implications of Cloud Computing and another on Managing Records in Web 2.0/Social Media platforms. Finally, he will provide some background on how NARA is implementing the President's Open Government Directive and highlight NARA's emerging presence on social media.

Speaker: Arian D. Ravanbakhsh is an Electronic Records Policy Analyst in the office of Modern Records Programs at the National Archives and Records Administration. Since 2006, he has worked on the Electronic Records Management/e-Gov Policy Team. Previously, he served as a NARA appraisal archivist working with the records of several agencies

organization's risks. GARP®, and its derivative Maturity Model, imply that as recordkeeping practices grow in scope and sophistication, organizations will inherently lower their records risk. However, it offers no guidance for the kinds of decisions that records managers make regularly, balancing needs and costs to find an acceptable level of risk.

Similarly, ISO 15489 gives considerable attention to records management's role in organizations' operations. It requires records programs to continually contribute to the improvement of business processes. This tends to cost-justify a records program based on improved efficiency. GARP® alludes to improved operations in its principle of availability, but the Maturity Model mentions return-on-investment only at the highest, or transformational, level. Making the case that implementing GARP® makes good economic sense requires help from 15489.

In a decade, the discipline of records management "rose from the basement to boardroom," to quote ARMA workshops. While still a business service, today's records leaders carry consultative and strategic responsibilities as well. Part of GARP's® raison d'être is to give chief records officers a tool, language, and model easily understood by other management professionals. Intentionally, GARP® was modeled after the financial world's Generally Accepted Accounting Principles. It is both content and packaging. In 2000, such a need was only a glimmer.

ISO 15489 and GARP® are complementary – different, but without contradiction. Both serve records managers well. In 2010, records programs need to meet internationally accepted standards more than ever. Simultaneously, records managers strive to make their programs, as GARP® puts it, transformational. The RIM program that subscribes to both GARP® and ISO 15489 will be full-featured and effective.

ISO 15489

ISO 15489 Information and Documentation – Records Management is about the methodology, processes, and the resulting data storage or electronic records management system. Badly managed records and information have an impact across an organization on a number of levels, and whilst periodic assessment of data storage might not be number one on a list of fun things to do, its benefits can make a huge difference in a competitive market. The guidance contained within ISO 15489 bears this premise at its core.

Companies achieving ISO 15489 compliance will be able to demonstrate an approach to file management that's recognized internationally as being at the forefront of best practice.

including the U.S. Navy and the Nuclear Regulatory Commission. He is also active in the training program at NARA having taught dozens of courses and serving as a subject matter expert on NARA's Risk Management and the Advanced Electronic Records Management courses. Prior to coming to NARA in 2000, Mr. Ravanbakhsh worked for ten years at the Maryland State Archives, eventually becoming the Director of Geographic Services. He is a member of several professional organizations, including ARMA International, the Society of American Archivists, and the Mid-Atlantic Regional Archives Conference.

Menu: Lazy Susan buffet style with Steamed Vegetable Dumplings, Steak on Stick, Shrimp toast, Sesame Jumbo Shrimp, Asparagus Chicken, Beef/Ginger Scallion, Fish fillet/Spinach, Vegetable Delight, Toffee Pineapple Dessert, Tea, and Coffee. Cash Bar will be available.

Cost: Online registration with credit card, \$35.00 @

www.armamar.org/gmd; payment at door is cash or check only, \$30.00 for members, \$35.00 non-members, \$15 students (ID required). **No walk-ins please!**

Reservations Required: Please RSVP by 5 PM Monday, November 15, by responding to your E-

The documents that comprise the ISO 15489 are split into two sections:

- Part 1 takes a general overview of records and information management and examines the principles and methodology behind its adoption.
- Part 2 is more involved with the practicalities of moving towards records management compliance. It provides an in-depth, often step-by-step approach to implementing electronic records and information management.

ISO 15489 states that records management includes:

- Setting policies and standards
- Assigning responsibilities and authorities
- Establishing and promulgating procedures and [guidelines](#)
- Providing a range of services relating to the management and use of records
- Designing, implementing, and [administering](#) specialized systems for managing records
- Integrating records management into business systems and processes.

GARP ®

It has not always been easy to describe what "good recordkeeping" looks like. Yet, this question gains in importance as regulators, shareholders, and customers are increasingly concerned about the business practices of organizations.

ARMA International recognized that a clear statement of "Generally Accepted Recordkeeping Principles®" (GARP®) would guide:

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

The GARP® principles identify the critical hallmarks of information governance, which Gartner describes 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." As such, they apply to all sizes of organizations, in all types of industries, and in both the private and public sectors. Multi-national organizations can also use GARP® to establish consistent practices across a variety of business units.

vite invitation or by sending an e-mail to gburgarma@yahoo.com. No shows and cancellations after Monday, November 15, 5:00 PM will be billed.

Directions: Take Rockville Pike (Wisconsin Avenue extension from DC) to Nicholson Lane just above the White Flint Mall. Turn East onto Nicholson Lane and go down the hill and then up the hill about a third of a mile. The Far East is just past Nebel Street on the left at the top of the hill.

Metro Directions: The Far East is about a third of a mile southeast from the White Flint Metro stop. Walk east on Marinelli Road, then right onto Nebel Street, and then left onto Nicholson Lane and go to the top of the hill. The restaurant will be on the left.

ARMA Metropolitan Maryland Chapter is preparing a series of meetings, panel discussions, and seminars focusing on the theme "Transparency, Accountability, Privacy and the Role of RIM."

Contributions or gifts to ARMA International Inc. are not deductible as

Read more on GARP® and the Maturity Model for Information Governance at www.arma.org/garp/index.cfm.

Gordon E.J. Hoke, CRM, is an independent consultant, practitioner, and journalist. A self-described recovering content manager, Hoke brings a business perspective to his convert's zeal for RIM. Hoke has spoken at ARMA International events and published numerous articles. He contributes blogs to <http://PositivelyRIM.blogspot.com>. Hoke can be contacted at ghoke@mindspring.com or <http://gejhoke.googlepages.com>.

[Link to Article](#)

Chapter Leadership

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charitable contributions for federal income tax purposes.

Member News

Attendees at the September 15, 2010 Chapter Meeting held at the Sheraton Rockville, featuring speaker Catherine Teti, Managing Director for Knowledge Services, Chief Agency Privacy Officer, US Government Accountability Office (GAO):

- Carol Agayoff
- Carol Bickford
- Susan Brown
- Kathy Calvo
- Beth Canter
- Tod Chernikoff
- Peter Chiomenti
- Betsy Christie
- Nyja DeFrank
- John Delarria
- Jean Eisenhour
- Dan Elam
- Rebecca Fitzgerald
- Tracy Glenn
- Rick Greenfield
- Courtney Hanson
- John Milligan
- Al Minnick
- Angela Minturn
- Lyn Munday
- Frederic Paul
- Arian Ravanbakhsh
- Alan Remson
- Cheryl Smith
- Richard Thomas

John Milligan won the 50/50 drawing, and donated his winnings back to the chapter.

Attendees at the October 14, 2010 Chapter Meeting held at Amalfi Ristorante Italiano, featuring



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From the Pen, By Peter Chiomenti, Chapter President

Good morning (or whatever time it is when you read this),

I am sitting here on the edge of Lake Superior and it really feels like the edge of the world. The sky is a leaden low deck, but according to the wind whipping through the shredded windsack on the water company building across

speakers Dave C. Mills, Esq., James Bailey and James Eniola of Armedia LLC:

Carol Agayoff
Debbie Armentrout
Carol Bickford
Kathy Calvo
Beth Canter
Tod Chernikoff
Peter Chiomenti
Betsy Christie
Eboni Cooper
Rebecca Fitzgerald
John Gross
Courtney Hanson
Dan Hurd
Margie Janney
John Milligan
Al Minnick
Frederic Paul
Nasra Sakran
Peggy Sanders
Tonia Schneider
Cheryl Smith
Richard Thomas
Chanin Wisler

Tonia Schneider was the lucky winner of the evening's 50/50 drawing.

Payments for Meetings

Payment for meetings by credit card is now available to both members and non-members at a cost of \$35. To use this payment option, visit

www.armamar.org/gmd.

We have also introduced a special student rate for meetings. With a valid student ID, students may attend the monthly dinner meetings at a reduced rate of \$15. For more information, visit ARMA Metro Maryland's membership page.

the road, the line of clouds out over the lake should be crossing the beach in another 30 to 40 minutes and the sun will return. I am anticipating breakfast and I check my new smart phone for messages. The phone reminds me that I am in one of those corners of America that still does not get cell service . . . well unless you count the faint signals that float across the lake from Canada at night, when my phone offers me a peek at my messages if I am willing to pay international roaming charges. I am not that desperate or I am too cheap to check -- take your pick.

As I scan the sky for the eagle that sometimes hunts along this stretch of beach, my dogs remind me that they are still waiting for their favorite 40 minutes of the day – their daily jaunt from one end of the nearby park to the other and back again. Even at this time of year the park is filled with olfactory information about people, food, other dogs, seagulls and a host of other smells waiting to be sniffed and added to. And I mustn't disappoint!

Back from the walk, I am wondering (as you must be) what any of this has to do with records. Well, in an earlier time nothing, really. However, in this time of media neutral information sharing, when thousands of terabytes of information are floating over networks at any given moment, any information, your information, this information can and will become a record often without your knowledge or permission. If you have "tweeted" in the past several years, your tweets are now in the Library of Congress.

When George Orwell wrote his classic 1984 the world was concerned with Communism and aside from science fiction the world was little concerned with the use and even abuse of records and information. Now it is not uncommon for top novel writers to have plots that voice concerns over the ease of collection, distribution, and use of information. One such novel, *The Broken Window*, by Jeffery Deaver even lists [Electronic Privacy Information Center](#), [The Privacy Coalition](#), and [Privacy.org](#), among others in its author's notes.

Please join us in our chapter meetings this year as we deal with the issues of privacy and compliance in our chosen profession. We have already had two excellent meetings this year and the meeting for November 18 promises to be excellent as well. In the meantime, see you in San Francisco at the ARMA Conference.

Oh, yeah, I will be home by the time you read this. :)

Vendor Sponsorship Opportunities

The Metro MD chapter offers a variety of opportunities for vendors to become more involved in chapter activities and to spread the word about their products and services. Sponsorship levels include Featured Vendor, Dessert Sponsor, Meeting Sponsor, On-Site Sponsor and Door Prize/Raffle. Points toward the Vendor of the Year Contest may be earned for each of these sponsorship levels. For more information on the various levels of sponsorship, or if your company is interested in becoming a sponsor, please visit www.armamar.org/gmd or contact a Metro MD board member.

2010-2011 Vendor of the Year Contest

The 2010-2011 contest is underway! The winner will be determined based on scores as of April 1, 2011, and will be announced at the Chapter Banquet in June 2011. Vendors who sponsored booths at our recent seminar got a head start on the competition. Get a piece of the action by advertising in the online chapter newsletter, *New Images*, sponsoring a meeting, or participating on the Executive Board of the chapter. There will be plenty of additional opportunities this year for your company to show its support and earn vendor points. Visit



www.armamar.org/gmd
further information on the Vendor or the Year Program.

Current 2010-2011 Vendor of the Year Standings
(as of 10/25/2010)

ECS Inc.: 5
Feith Systems & Software: 5
GRM Information Services: 5
Infolinx: 5
Kruysman-Redweld: 8
NARA/Federal Records Centers: 5
NetSmith: 8
Open Text: 5
QualityFirst Imaging: 5
Safeguard Shredding: 5
USIS/Labat: 5

The 2010-2011 contest is underway. Get involved in the chapter and give your company an advantage over the competition!

New Chapter Address

To go along with our new name, the chapter now has a new mailing address. Effective immediately, our new mailing address is:

Metropolitan MD ARMA Chapter
P.O. Box 8043
Gaithersburg, MD 20898

No Shows Cost the Chapter Money!

Please remember that if you sign up for a meeting but then find out later that you are unable to attend, we ask that you find a substitute to take your place, or notify us at gburgarma@yahoo.com that you will not be at the meeting. Each meeting invitation includes contact information and a deadline for reservation cancellations. Please be aware that no-shows who have not cancelled by the deadline will be billed. This action is necessary to ensure that we do not need to dip into our



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Sites to Surf

["The Enlightened Legal Hold" by Brad Harris and Craig Ball](#)

[Is 'Private' Data on Social Networks Discoverable?](#)

[Privacy Policies in the Electronic Workplace](#)

[Futurewatch by Steve Bailey](#): Looking ahead at the future of records management

[David S. Ferriero: NARA is open to change](#)

The ABCs of Electronic Storage: Archives v. Backup Tapes in the Courtroom: [E-Discovery Bytes](#)

treasury to pay for those who commit to attend, and then do not. We thank you for your cooperation as we strive to keep our costs reasonable.

Welcome New Members

The Metro MD chapter welcomes the following new members:

Sabrina Lozano, Freddie Mac
Alan Remson, Vistrionix, Inc.

ARMA International Conferences

It's never too early to start planning for next year's annual ARMA Conference and Expo. Below are the dates for the next three years:

November 7-10, 2010
San Francisco, CA

October 16-19, 2011
Washington, DC

September 23-26, 2012
Chicago, IL

New Images is the newsletter of the Metropolitan Maryland Chapter of ARMA International. Questions or comments should be directed to Newsletter Editor Courtney Hanson, 202-512-4442, hansonc@gao.gov.

[NARA's Guidance](#) on Managing Records in Cloud Computing Environments

[NARA rapped for weak document security](#) and related GAO reports about NARA:

[Information Security: National Archives and Records Administration Needs to Implement Key Program Elements and Controls](#)

[National Archives and Records Administration: Oversight and Management Improvements Initiated, but More Action Needed](#)

[The Importance of Managing Unstructured Data](#)

[Digitization 101: Report](#): Expert Meeting: Price Tags of Digital Preservation Policy Choices

[YouTube Video Depicts E-Discovery Explosion](#)

[Federal E-Discovery Rules: A Work in Progress](#)

[Tales from the Grimm Teacher: Discovery Misconduct Can Land You in the Dungeon](#)

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Educational Opportunities

MarkLogic Government Summit

When: November 17, 2010

Where: Ritz Carlton, Tysons Corner, VA

The explosive growth of unstructured information has created challenges that cannot be easily solved using traditional relational databases. Register now for the MarkLogic Government Summit on November 17, where we will tackle this issue head on. Join us at the Ritz-Carlton, Tysons Corner to hear from industry thought-leaders who will shine a light on how to leverage unstructured information to improve information sharing, transparency, collaboration and more.

Webinar: Solving the Cloud Puzzle: Knowing What You Need and How to Get It

When: November 9, 2:00pm EST

Cloud Computing has become a major buzz word in the public sector. While many agencies are familiar with the mandates to move to the cloud, the challenge now is figuring out what cloud solution is best for your agency and how to implement it.

There are many common misconceptions about the cloud, open standards and information control. Learn about the important stages to building a solid cloud plan and bridging the wide gap between public and private clouds.

Join us for a one-hour webcast, where you will learn how to determine what your specific cloud computing needs are, and the industry solutions that are available for you to choose. There may not be one "cloud-in-a-box" solution, but it is important to be equipped with the knowledge to start selecting from the menu of available options without compromising your agency needs.

Government Customer Service Conference and Expo

When: December 2, 2010

Where: Ronald Reagan Building, Washington, DC

DGI's 9th Annual Government Customer Service Conference -- which is free for government professionals -- will explore lessons learned from emerging technologies and best practices for conventional communication methods.

Speakers will share practical, actionable information on successful programs, obstacles overcome, future plans and recommendations to boost your agency customer service programs.

Open Text Content World 2010

When: November 7-12, 2010

Where: Gaylord National Hotel, Washington, DC

At Content World, you'll find a packed agenda that gives you plenty of opportunities to network with fellow users, Open Text business partners, and Open Text technical experts, product managers, customer support specialists and executives. Learn technical tips and business how-to's, and discover Open Text's long-term product strategy and vision with the Content World 2010 [program](#). Plus, our [training](#) workshops and courses can help you increase your value to your organization.

IAPP Practical Privacy Series

When: December 7-9, 2010

Where: Washington Plaza Hotel

The Practical Privacy Series returns to Washington, DC this year with more programming than ever before. On December 7 -8, we are dedicating **two full days** to the Federal Trade Commission and consumer privacy. With enormous change on the horizon at the FTC, including the creation of the Consumer Financial Protection Bureau (CFPB), a report on online privacy due to be released this fall, and a number of competing privacy bills in Congress, this event will offer a unique insiders' view of the implications for privacy professionals.

Then on December 9, we will hold an intensive workshop for government privacy professionals, with a special focus on privacy and transparency.

Both events offer the opportunity to engage with public and private sector privacy experts, dive into operational challenges and understand the contours of the new regulatory approaches and new laws that will affect your work in the field of privacy.

FIRM Council Fall Forum: Professional Development for the Modern Records Officer

When: November 18, 2010

Where: Overseas Private Investment Corporation (OPIC)

Metropolitan Maryland Chapter of ARMA • P.O. Box 8043 • Gaithersburg, MD 20898

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