

WHITE PAPER

MODERNIZING GOVERNMENT RECORDS: A ROADMAP FOR NEXT GENERATION FEDERAL INFORMATION ASSET MANAGEMENT



IRON MOUNTAIN'S POINT OF VIEW

As a trusted government Records and Information Management (RIM) partner, Iron Mountain strongly believes that agencies need a clear roadmap to modernize RIM programs regardless of record format, location or an agency's starting position. For this reason, Iron Mountain has developed the Iron Mountain® Federal Information Asset Framework. This framework is designed with two overarching objectives:

- > **Organize records to meet modernization deadlines** enabling agencies to take control of past and present records now
- > **Strategically migrate to a digital state**, thereby optimizing records management for the future

Establishing a comprehensive RIM program demands an integrated approach to governing and harnessing the value of information in any format that it may reside in today, or in the future. When managed with a focus on optimizing Return on Information (ROI), agencies' RIM programs enable quick access to critical information and data analytics, while minimizing information governance risk. In turn, an ROI-focused RIM program empowers agencies to better serve constituents and achieve their core missions.

FEDERAL RECORDS AND INFORMATION MANAGEMENT TODAY

As the sheer volume and variety of information continue to grow, agency RIM programs must also evolve to keep up with the ever-changing information landscape. In addition to the inherent pressures of this increasingly complex environment, Federal agencies are also under pressure to meet various Federal modernization initiatives and deadlines.

Driven by the **Presidential Directive on Managing Government Records (M-12-18)** and other related federal mandates, memos and orders, agencies are being driven to accelerate the transition to

electronic records – all while simultaneously juggling ongoing challenges with constrained budgets and limited resources.

Current federal initiatives are focused on streamlining government, making it a priority for agencies to dispose of unneeded properties and make more efficient use of the government's real estate assets. For example, the Office of Management and Budget (OMB) launched the Federal Data Center Consolidation Initiative (FDCCI) in 2010, closing nearly 1,900 data centers since 2010. The **Data Center Optimization Initiative (DCOI)**, signed in August 2016, superseded the FDCCI and reaffirmed the commitment to continue reducing data center inventory and improving federal IT spend efficiency.

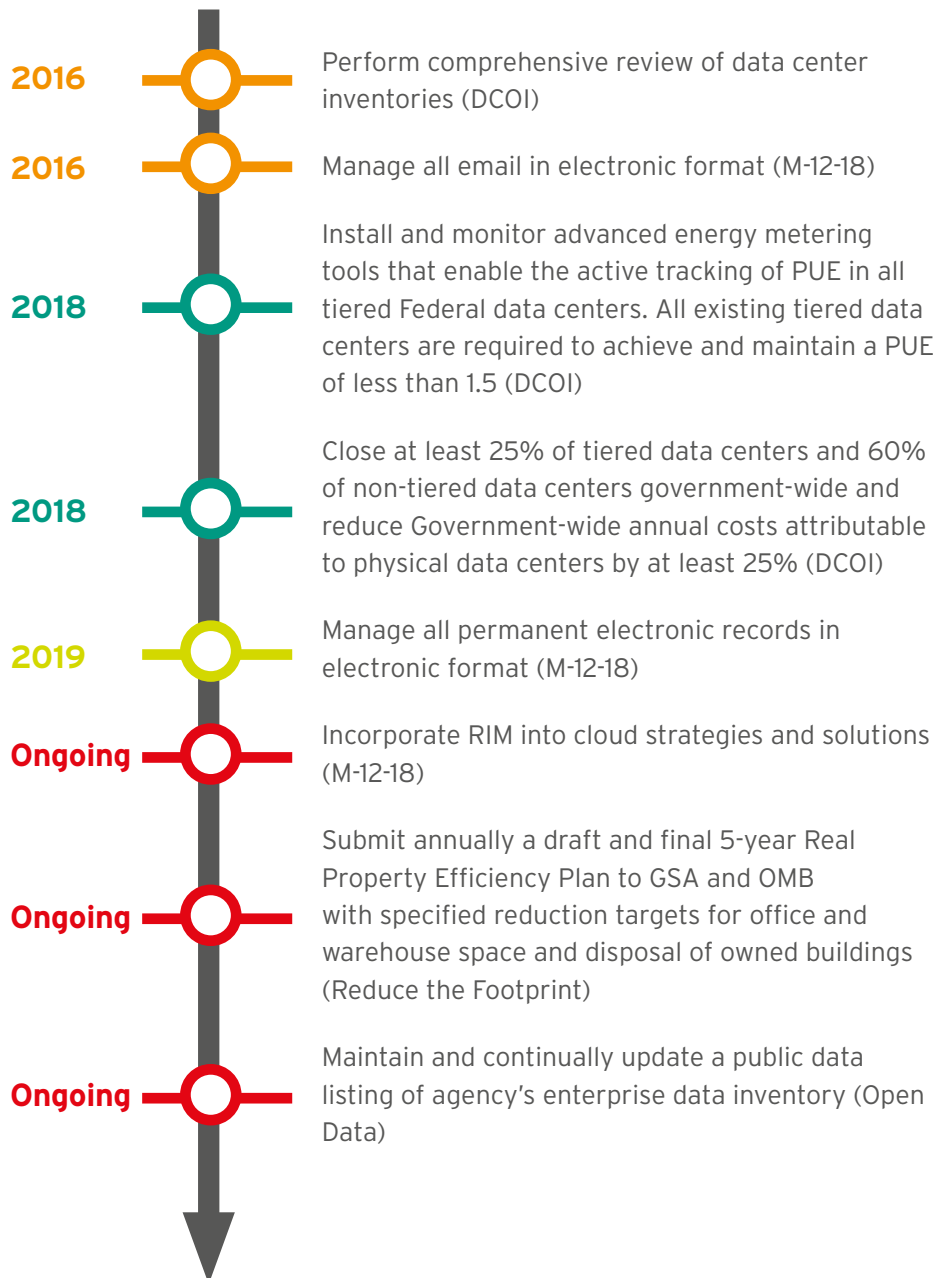
Separately, in March 2015, the OMB also issued guidance to **"Reduce the Footprint"** of federal agency real estate holdings, superseding the previous "Freeze the Footprint" mandate with more aggressive targets for disposing of surplus real property. Streamlining initiatives like DCOI and Reduce the Footprint require agencies to balance managing limited resources and scrutinized budgets, while simultaneously ramp up capabilities to meet increasing RIM demands.

Similar to the goals of the M-12-18 Directive, **Executive Order 13642 for Open Data** strives to support and promote a more open and transparent government through RIM modernization. Signed in May 2013, EO 13642 mandates government information resources be made open and machine-readable: "Government information shall be managed as an asset throughout its life cycle to promote interoperability and openness, and, wherever possible and legally permissible, to ensure that data are released to the public in ways that make the data easy to find, accessible, and usable."

In making openness the new default state, executive departments and agencies must also ensure they safeguard individual privacy, confidentiality and national security.

UPCOMING AGENCY DEADLINES

Federal agencies must meet several major goals over the next several years. Without the right tools and support, these deadlines may seem out of reach.



To show that agency RIM processes work, comply with critical policies and are consistently applied to meet upcoming deadlines, agencies need expert help, insights and a roadmap to achieve integrated Records and Information Management.

CHALLENGES AHEAD

Agencies are challenged to juggle multiple ongoing initiatives, each with their own distinct deadlines that require collaboration from various stakeholders at all levels of the organization. Moreover, agencies are also struggling to dedicate resources, secure scarce funding and gain the top management support needed due to competing priorities with other initiatives beyond RIM like like Reduce the Footprint and DCOI.

It is increasingly clear that the real transition will not be from paper to electronic records. What is required is a change in how people do their jobs – a formidable challenge.

THE CALL FOR HELP

Because the timeline for achieving compliance with the various Federal modernization initiatives features many milestones, agencies are increasingly seeking outside help. By now, most agencies realize that fully migrating to an automated, electronic RIM system is a challenging exercise that requires both technical expertise to execute the transition and soft skills to enable the necessary change management for sustained results. But agencies simultaneously face enormous budgetary pressures and ongoing cuts and budget reductions.

As the volume and complexity of records managed grows, so too does the burden of calculating costs and finding ways to shrink expenses. As such, agencies are looking to redefine processes and retool RIM efficiencies.

A recent survey of federal RIM managers shows potential gaps between the skills records management professionals currently have and what they believe they will need in the future. While nearly half (46%) of federal information management professionals cite managing all types of information assets, regardless of format, as a priority for their field, many feel unprepared to handle the future requirements of doing so. Additionally, NARA's annual Records Management Self Assessment (RMSA) reports reveal that agencies as a whole have continued to score poorly in the electronic records management reporting category. While individual agencies may be at varying stages of

progress, the majority repeatedly fall in the elevated risk categories year over year. In Iron Mountain's experience, common obstacles organizations face in modernizing their RIM programs include:

- **Mixed paper/digital environment.** Industry research indicates 55% of organizations are still mostly or fully paper-based in more than half of their processes.¹ As such, many agencies still operate in a hybrid or mixed environment which complicates the ability to implement standardized RIM programs that can be applied across all information types.
- **Runaway information growth.** It is estimated that 1.7MB of new information will be created for every human on the planet, every second of every day, by 2020.²
- **Lack Sufficient Dedicated Resources.** According to the 2014 RMSA report, only 50% of agency Records Officers are dedicated full-time to their RIM responsibilities. And of the other 50% who are part-time, 70% commit less than half their time to RIM.

To resolve ongoing government RIM challenges, RIM processes need to be retooled to encompass all types of information assets and records professionals must fine-tune their technical skills for effective management of both physical and digital information.

Also, given the history of government RIM until now, budget overruns will likely only get worse for agencies struggling to manage information on their own. Despite the elevation of records management reform across government, the directive remains an unfunded mandate that must compete with other priorities inside federal agencies today.

A FRAMEWORK TO ACHIEVE SUCCESS

To achieve compliance with the various modernization initiatives and agency RIM goals, Iron Mountain has developed the Iron Mountain® Federal Information Asset Framework. The framework delivers a clear roadmap to help agencies transform records management, regardless of a record's format, location or the current status of an agency's RIM efforts.

As stated previously, the Iron Mountain framework is closely aligned with the requirements of various modernization initiatives, and is structured to help agencies achieve two primary objectives:

- Organize records to meet modernization deadlines enabling agencies to take control of past and present records now
- Strategically migrate to a digital state, thereby optimizing records management for the future.

Iron Mountain uses specific federal deadlines to help agencies prioritize near-term versus long-term initiatives. A vast majority of federal agencies are in dire need of expert support and solutions to help resolve challenges inherent in unifying paper and electronic records, while working within current operational constraints. Using the framework, agencies can prioritize efforts to meet specific federal requirements to ultimately achieve the goal of managing all permanent electronic records in electronic formats by 2019 per M-12-18, while simultaneously making strides in meeting the Reduce the Footprint and DCOI mandates.

THE IRON MOUNTAIN® FEDERAL INFORMATION ASSET FRAMEWORK DELIVERS:

- A time-phased solution to unify paper and electronic records in a progressive fashion, prioritizing near-term and long-term goals
- An agency roadmap and support to achieve necessary digital migration, regardless of the current status of RIM within the agency today
- Access to best-in-class tools and services to meet specific agency requirements, from multiple industry-leading providers, balancing records unification and digitization with resource optimization

LEVERAGING THE IRON MOUNTAIN® FEDERAL INFORMATION ASSET FRAMEWORK ENABLES AGENCIES TO:

- Gain control over all permanent and temporary paper records, along with structured and unstructured electronic information
- Prioritize and systematically meet various federal requirements to set the agency on a path to meet the mandate, achieving migration to digitization goals
- Establish and maintain a strong RIM posture to keep pace with ever-evolving federal information management requirements as they arise

The Iron Mountain® Federal Information Asset Framework incorporates products and services that will not only meet federal requirements, but also establish and maintain a strong RIM foundation to support agencies in their missions.

MUCH TO BE GAINED

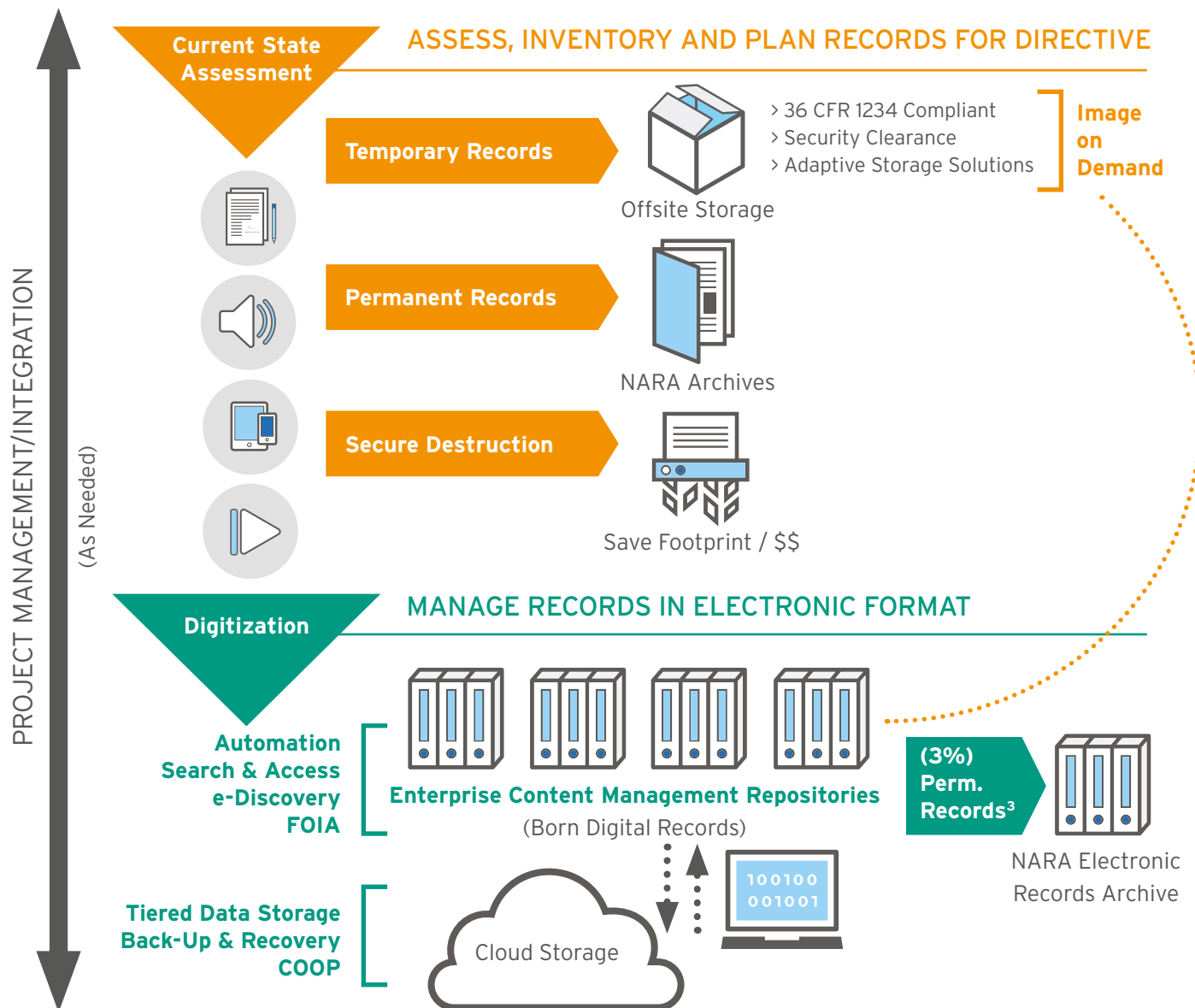
USING THE FRAMEWORK, ORGANIZATIONS GAIN:

- Access to all records through a secure, digital repository with advanced search capabilities to find information fast
- Confidence that processes comply with policy and are consistently applied
- Support and expert guidance to assist in achieving each organization's most pressing RIM goals
- Optimization of limited resources to meet reduced real property and data center targets

NARA ESTIMATES THAT ONLY 2 TO 3 PERCENT OF RECORDS ARE CONSIDERED PERMANENT. IRON MOUNTAIN CAN HELP AGENCIES NOT ONLY MANAGE THE NECESSARY DIGITIZATION OF THE 3 PERCENT OF PERMANENT RECORDS, BUT ALSO EFFECTIVELY MANAGE THE OTHER 97 PERCENT OF TEMPORARY RECORDS.

Source: September 2013 NARA Industry Day

THE IRON MOUNTAIN® FEDERAL INFORMATION ASSET FRAMEWORK



³Of the total number of federal records, NARA estimates that less than 3 percent are designated permanent. (<http://www.gao.gov/products/GAO-11-15>)

HOW IT WORKS

The Iron Mountain® Federal Information Asset Framework tackles the unification and digitization of records in incremental steps, integrating multiple products and services from a range of industry suppliers. The framework allows each agency's RIM evolution to keep pace with internal goals and various federal deadlines. Leveraging the expertise of multiple providers helps ensure agencies gain a comprehensive solution that includes:

- > Project Management and Integration
- > Current State Assessment

- > Planning Services
- > Digitization of Records
- > Enterprise Content Management
- > Cloud Services

PROJECT MANAGEMENT AND INTEGRATION

As needed, Iron Mountain and its partners will provide project management and integration services to ensure seamless and comprehensive delivery of each of the framework components. Agencies gain a network of partners to help them at every step of the journey.

CURRENT STATE ASSESSMENT

The first step of the framework involves an assessment of the agency's RIM program to identify areas where improvements are needed. The next crucial step is to identify, categorize and locate all information assets, regardless of format. Agencies must fully recognize and understand all components of their information inventory to develop and apply appropriate RIM policies. Iron Mountain employs sophisticated information mapping tools, and can assist in identifying and preparing permanent records for transfer to NARA. Once inventoried, retention policies must be set and applied for the storage of temporary records, which makes up the vast majority of agency records.

PLANNING SERVICES

Following the current state assessment is the development of an action plan, which defines the specific improvements that should be made over a time-phased horizon. The sequence is based on situational factors and agency dynamics that influence the shape of the solution and the pace at which it is developed. Critical to developing an action plan is conducting a thorough gap analysis of current vs. future state and building in targeted milestones and metrics to ensure implementation that successfully meets various federal deadlines. Iron Mountain and its partners will assist agencies in developing robust action plans that are tactical and measured so that improvements are made incrementally and at a pace the agency can successfully manage.

DIGITIZATION OF RECORDS

The crux of RIM modernization lies in building a comprehensive electronic records management program. A strong program requires agencies to gain control of electronic records, including those "born" in digital formats. A strong program also incorporates paper records that must be accounted for via imaging at creation – or as close to creation – as possible.

Iron Mountain offers a range of digitization solutions targeted to meet agency requirements that vary based on unique needs and budget considerations. Solutions include indexing records, intelligent scanning, imaging on demand, backfile conversion, day forward conversion and online repositories. With Iron Mountain, agencies can meet their record digitization requirements while also minimizing costs.

ENTERPRISE CONTENT MANAGEMENT

Centralizing information assets, born either digitally or on paper, into a single system that serves as a secure, accessible repository for managing each record throughout its lifecycle is an enormous challenge best addressed using enterprise content management. While until recently it was nearly impossible to apply records management principles with confidence across physical and electronic records, Iron Mountain has the expertise and partnerships that make this transformation realistic, attainable and economical. A robust ECM platform will deliver powerful and efficient search capabilities, which translates to better, faster eDiscovery and FOIA processes, plus other benefits including better informed end users, consistency in applying record policies, easier tracking and lifecycle management.

CLOUD SERVICES

Iron Mountain and its partners stand ready to assist agencies in gaining a greater understanding of the implications of using cloud services to store agency records, implement back-up and disaster recovery solutions, or enhance COOP capabilities.

FRAMEWORK SUMMARY

Using the framework, Iron Mountain can help agencies create a roadmap that allows for planned improvements to the management of all types of records, using a phased approach that balances agency requirements with budgetary and other resource constraints. At the same, Iron Mountain and its partners can also assist agencies with other records management goals, such as email, social media, eDiscovery and FOIA requests.

LOOKING AHEAD

In the upcoming years, federal agencies must make significant strides in meeting various modernization initiatives like M-12-18, Reduce the Footprint, DCOI and Open Data to enable a more open and efficient government. To get the job done, they need to start now. This is why Iron Mountain developed the Federal Information Asset Framework – a unified methodology that empowers federal agencies to streamline RIM systems and digitize records using a prudent conversion schedule. Agencies must also invest in employee communications and change management to secure agency-wide buy-in and support for planned program improvements.

By partnering with Iron Mountain, agencies gain the resources and expertise of the world's leading RIM provider. Iron Mountain can help set up and implement the procedures necessary to effectively

store records in secure, environmentally controlled, NARA-compliant facilities capable of protecting critical assets for any designated length of time. And should disaster strike, agencies working with Iron Mountain can rest assured they will be able to retrieve vital information and execute Continuity of Operations Plans (COOP), while continuing to serve constituents and meet mission objectives.

To achieve crucial RIM goals, think of Iron Mountain as a trusted adviser that stands ready to help. Iron Mountain regularly assists agencies in determining which records can be automated and which can be retained in paper format and simply digitized when needed. This type of partnership will transform government records management, empowering agencies to be more transparent and effective in supporting the needs of stakeholders and constituents alike.



800.899.IRON | IRONMOUNTAIN.COM

ABOUT IRON MOUNTAIN

Iron Mountain Incorporated (NYSE: IRM) provides information management services that help organizations lower the costs, risks and inefficiencies of managing their physical and digital data. Founded in 1951, Iron Mountain manages billions of information assets, including backup and archival data, electronic records, document imaging, business records, secure shredding, and more, for organizations around the world. Visit the company website at www.ironmountain.com for more information.

© 2016 Iron Mountain Incorporated. All rights reserved. Iron Mountain and the design of the mountain are registered trademarks of Iron Mountain Incorporated in the U.S. and other countries. All other trademarks are the property of their respective owners.

USFED-WP-081416A