

# The 2019 Mandate: What It Really Means



**T**he Managing Government Records Directive, enacted in 2011, will require government agencies to manage all permanent electronic records electronically by the end of 2019 to the greatest possible extent. The end result is eventual transfer to the National Archives and Records Administration (NARA) in

the reports, you can see that while they're taking significant action, agencies are at different stages. A lot of it depends on the culture, resources and executive support. We don't expect every agency will be fully compliant by 2019. And we realize implementation of all our requirements is a process that will continue beyond 2019.

**Q: What role can Capstone play in meeting the 2019 mandate?**

**A:** More than half of agencies are using Capstone to meet the 2016 goal. We expect some will also use it for the 2019 mandate. Capstone provides an automated approach to records management that creates more consistency and efficiency, but we consider it an interim approach. A lot of agencies using Capstone are moving from the print-and-file environment to an automated environment. Other

culture. Technologically, it will require an automated, electronic approach to capturing and managing an agency's permanent and temporary records. The cultural change is just as important. We have been working with senior officials within agencies to show the change is necessary. It's a more efficient way to manage the information, given the scale and volume of the records the government is creating. By working with senior officials, we're hoping the people driving the change within the agencies are conveying to their users that it's necessary and important.

**Q: What advice do you have for agencies to help them meet the 2019 mandate?**

**A:** To really be successful, agencies have to have several areas covered: they have to have the policies and systems in place, they have to be able to access records for

**"It's a more efficient way to manage the information, given the scale and volume of the records the government is creating." – Laurence Brewer, U.S. Chief Records Officer, NARA**

an electronic format. Laurence Brewer, U.S. Chief Records Officer at NARA explains what it will really take to meet this 2019 deadline.

**Q: How far along are most agencies in complying with the 2019 mandate?**

**A:** According to the most recent senior agency official reports, 92 percent expect to be able to meet this goal. It's still a few years away, and there is a lot of work to be done. When you drill down deeper into

agencies that already have electronic record-keeping systems may choose to use other tools. The objective isn't to use a particular approach or technology, but to ensure the agency's records, permanent and temporary, are being managed electronically.

**Q: How big of a change will the 2019 mandate be for most agencies?**

**A:** There is significant change in terms of both technology and agency

as long as necessary, and they have to be able to execute disposition in accordance with the records schedule. It helps to engage with communities of practice, such as our Federal Records Officer Network (FRON) and the Electronic Records Management (ERM) Automated Working Group. They should also read the senior agency reports on our web site to see what other agencies are doing. Then they can reach out to their records officer for help and advice.

Meeting the Government Records Directive 2019  
Mandate requires an enterprise approach

# Modernize Records Management

Taking an enterprise approach to records management is essential to meet the NARA mandate.

**A**t this point, most agencies are well on their way toward meeting the 2016 NARA mandate to electronically manage e-mail records. Now they're looking toward 2019—the deadline for electronically managing all records.

Unless agencies have fully transitioned to a records management system, however, they'll have trouble meeting the 2019 mandate. This is especially true for agencies that rely on tools like Office 365's Exchange and SharePoint Archiving. While these do have some rudimentary records management features, they're not true records management systems.

An agency may get a FOIA request to find out how much President Obama spent on wine for the last White House dinner," says Tara Combs, a records management solution specialist at Alfresco. "With the federated search capability in true records management systems, it's a simple matter of finding the information that may exist in multiple systems."

Ensuring agencies will meet the 2019 mandate requires timing, planning, and most importantly, taking an enterprise approach focusing squarely on modernizing the records management process. With an enterprise approach to managing information, everything is managed under one system. This eliminates duplication and creates one central repository.

An enterprise approach also supports the increasingly mobile government workforce. It lets people use mobile

devices, work remotely, and collaborate using the same central information repository.

Standardizing on a single solution within this enterprise approach can help agencies make e-records management a true mission-enabler. "What we're talking about is embedding the records management process into your applications so it becomes seamless," says James Bailey, president and CEO of Armedia.

Armedia provides ArkCase, a secure, workflow-driven, web-based enterprise case management system. ArkCase can help agencies manage records on the Alfresco platform, among others. Agencies can build specific rules into the system so it automatically categorizes appropriate items as records.

A full-featured records management solution on a standardized platform creates a truly workable approach to help meet the 2019 mandate. It also improves efficiency and reduces costs. For example, it helps both inter- and intra-agency collaboration for everything from case management to task tracking to investigations.

The ability to search across multiple systems, called Federated Search, is a critical capability. The federated search capability of a true records management solution will have customized filters to let agencies refine searches by various characteristics; and extract, index and search metadata from different types of records.

Federated Search is particularly useful

for large agencies with offices located throughout the country or even the world. "You may work for the State Department in Washington, but travel to other countries for work, so some e-mails you are creating will be located in the servers in those other countries," says Combs. "If you get a Congressional query about the results of your meeting in another country, the records manager of your department will have to be able to search across all of those servers to access the content you created regardless of where you were located at the time."

Security is also a critical aspect of records management. While legacy systems and workarounds generally have some level of security, a true records management system will provide security classifications or marks, as well as role-based access or permissions.

The permission layer ensures only personnel cleared to see specific information will be able to see it in the system. The second, more stringent layer adds security marks. With these marks, stakeholders can mark specific data as confidential. Only personnel with the same confidential marking will be able to see the information.

And unlike proprietary records management systems, newer records management systems are built on open standards and open source technology. This can further help meet NARA's requirements that electronic records always be accessible and readable, regardless of how much time passes or technology changes.

# Meeting the Challenge of the 2019 Records Management Mandate

Agencies face many technological challenges when it comes to fully meeting the 2019 mandate for managing electronic records. In this Q&A, experts from Alfresco and Armedia explain these challenges and offer solutions to help overcome them.

#### EXPERTS:

**MANNIX LITONJUA**, Chief Operating Officer, Armedia

**JAMES BAILEY**, Co-Founder, President and CEO, Armedia

**TARA COMBS**, Records Management Solution Specialist, Alfresco

**Q: What are the biggest technology challenges agencies may face in meeting the 2019 mandate?**

**A:** Most of the challenges deal with legacy systems and manual processes agencies still have in place. For example, many agencies still print and manually file all e-mails, or use e-mail archiving systems that save all e-mails even when it's not required. Other agencies use first-generation electronic

usually older, they often use proprietary technology, which means they don't integrate well or at all with each other.

**Q: Some agencies chose to meet the 2016 mandate with SharePoint Archive and Exchange. Why isn't that a good approach for meeting the 2019 mandate?**

**A:** While it will work to some extent to meet the 2016 mandate, it won't work for the 2019 mandate because it's not truly a records management system. For example, Office 365's built-in eDiscovery capability can only search a maximum of 10,000 mailboxes on a single search. It also has a maximum number of keywords, holds, and items displayed in preview. It can take up to an hour for legal hold to

**A:** The best way to meet the NARA mandates is by finding a way to capture and manage all records in a single records management repository. A single system consolidates all data sources into one searchable repository that includes all types of electronic content. If that is not an option, then you need a flexible records management system that can interoperate with other systems and act as the system of record.

**Q: How can agencies turn these challenges into opportunities?**

**A:** When you consolidate all your data sources into one records management solution, you're getting more than just compliance. You're getting a comprehensive

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records management systems that include multiple discrete solutions from different vendors. Although they meet the minimum needs for records management, they're expensive and complicated, and often can't handle unstructured data like social media posts, video or content from mobile devices. And because these multiple systems are

take effect. And keyword statistics don't appear for searches that include more than 100 mailboxes. So it's a quick fix for 2016, but it won't do the job for 2019.

**Q: How can agencies effectively manage records in a way that will fully satisfy the 2019 mandate?**

knowledge base that can facilitate big data analytics. You're also saving money and facilitating more efficient, smoother processes. Those types of benefits can help satisfy other agency requirements, such as managing FOIA requests or creating insightful ad-hoc reports, in terms of budget and faster response times.

# The Roadmap to E-Records

**A**t this point, just a few months shy of the end of year deadline to comply with NARA's 2016 mandate for ensuring all e-mail records are in an accessible electronic format, it may be tempting for agency leaders to take a breather before moving on to the 2019 mandate. The next NARA mandate requires managing all permanent records electronically. While that is a little more than three years away, it would be a mistake to wait.

The most important reasons have to do with timing and budget. If you don't develop a roadmap and do the work in stages, it will be a much more onerous process. The phased approach includes conducting an inventory of the type of data your agency collects and taking the "low hanging fruit" approach. Learn what works and what doesn't and bring those lessons forward to the next phase.

Budgeting is also a real concern. By waiting until 2018, for example, an agency would have to find enough money to make all changes, despite the fact the mandate is

technically unfunded. By taking a multiyear approach, agencies can budget for the project over three years. With enough time, agencies can also be smarter about how they budget for the required changes.

"Procuring a technology platform like Alfresco, for example, often comes out of a different budget than the solutions that would go on top of it, such as a records management solution," says Tara Combs, a records management solution specialist at Alfresco. "Often, the technology platform is harder to get budget for and solutions are easier, so it makes sense to think about how to most effectively budget for everything you need."

There are other ways agencies can ease the path toward meeting the 2019 mandate. One important step is to develop governance around information management. Often confused with records management, information governance is a set of broad, strategic initiatives that incorporate all electronic information.

Developing effective information governance requires thinking about the information within your agency, how it is defined, and where the information sources are located. Only then can your agency's records manager get down to the more granular records management level.

It's also important to look beyond the records management itself. By taking a broader

look, it's easy to see records management itself can be the first step toward more widespread agency operational improvements. A records management solution helps agencies add additional capabilities to create a more usable, economical, modern, open, full-featured system. This expanded system facilitates everything from collaboration with discussion threads to full mobility.

"If you take a step back, you can see this is an opportunity to create a modern enterprise system that replaces older, stovepiped systems," says Mannix Litonjua, Chief Operating Officer of Armedia, whose ArkCase case management system helps agencies manage records. "By consolidating and modernizing everything on one platform, you will have created a more efficient, cost-effective system that takes advantages of economies of scale."

Finally, don't view a records management solution or platform as a set it and forget it type of application. While it will help meet the 2019 mandate, it will also help create changes in the work environment you'll need to address to ensure the solution will be fully successful. "Change is hard," says Combs. "By providing the right training and showing employees that it improves their quality of work life, you'll succeed."



For more information, visit:  
[alfresco.com](http://alfresco.com) and [armedia.com](http://armedia.com)

