



VENDOR CHECKLIST

APPOINT A SINGLE RECORDS MANAGEMENT
SUPPLIER TO TAKE CONTROL OF
COMPLIANCE, COST AND RISK



Your external information management vendor can help you **build a comprehensive information management program; one that reduces the costs of storage, streamlines processes, supports policies and achieves compliance**. Using more than one vendor can lead to confusion, over spending, mixed service levels and even non-compliance as well as confusing processes for every part of your business.

SECURITY

- ✓ **Confidentiality agreements** - these must be in place before any negotiations begin.
- ✓ **Specified location** - there must be specified locations for all your records. If any of your records are moved, the supplier is obligated to notify you to request approval. This is especially important for cross-border privacy agreements.
- ✓ **Data protection clause** - your supplier should protect your data from third party access unless expressly allowed.
- ✓ **Insurance** - look at how your organization insures its information and what your supplier provides. Consider the cost of replacing lost or destroyed records.
- ✓ **Disaster Recovery Plan** - you should feel satisfied that the supplier has a clear, organized and well-communicated plan in place.
- ✓ **File Level vs Box** - file storage can give you access to information, but it can also involve greater risk. Look for assurances of a higher level of security for open shelves.

This checklist helps you assess and appoint a vendor that can work with you to achieve compliance and reduce the wider risks and costs connected to managing your information now and in the future. The right vendor can guide you through every stage of the information lifecycle, protect your business and help you extract value from your data.

PREMISES AND LOCATION

- ✓ **Facilities** - these should be located at sufficient distance from hazards including waterways, flood plains, airports, busy highways and hazardous businesses like oil refineries.
- ✓ **Purpose built** - the building should be clean, well-designed, weather proof and water proof.
- ✓ **Site security** - the loading dock and building should be ring fenced and gates also include protected access.
- ✓ **Access** - there should be security measures at all access points - look for swipe cards, etc.
- ✓ **Visitors** - they should be checked, documented and escorted at all times.
- ✓ **Surveillance** - CCTV cameras should be in operation.

CLIMATE CONTROL

- ✓ **Premises** - look for climate controls that regulate temperature and humidity to prevent mold, mildew, light and vermin.

QUALITY CONTROL

- ✓ **Vendor Assessments** - plan for yearly assessments so you can ensure your vendor stays up to date with new regulations and changes to compliance.

STANDARDS - LOOK FOR SPECIFIC ACCREDITATIONS INCLUDING

- ✓ **NAID** - look for this if you will require secure shredding for documents that have reached the end of their retention period.
- ✓ **SOC2** - important for reducing risk, SOC standards look at systems to assess and accredit security, availability, processing, integrity, confidentiality and privacy.
- ✓ **AUP** - ensure the Acceptable Use Policy supports a level of governance that matches your own.
- ✓ **PCI** - the Payment Card Industry data security standards are essential for a range of different businesses.
- ✓ **ISO 27000** - provides a structured Information Security Management System (ISMS) that covers structure, policies, planning, responsibilities and procedures.
- ✓ **Staff training** - look for written procedures and clear expectations.

STAFF

- ✓ **Staff, sub-contractors and temps** - should meet your security and quality standards. Ad hoc staff may be less qualified, experienced and trained than permanent team members.

INDEXING, INGESTING AND IMAGING AND RETRIEVAL

- ✓ **Costs** - agree the level and cost of any indexing and transactions you may require.
- ✓ **Agree** - how secure destruction will be managed.
- ✓ **Timings** - make sure timelines for business as usual and rush record retrievals are agreed.
- ✓ **Database and IT** - what systems will your supplier use to manage records for accessibility? How does it align with your own? Consider also how robust business continuity plans are.
- ✓ **Capture** - mechanism and procedures to capture metadata should be defined.
- ✓ **Processes** - documented handling of records will help avoid damage or loss.
- ✓ **Barcodes and RFID labels** - to ensure smooth and consistent transfer and access. Are they readable for your business?
- ✓ **Reporting** - how often and what will the supplier report on.
- ✓ **Auditable chain of custody** - this should be clearly agreed and include real-time tracking, receipts, reports, approved transport and transport agreements.

CONTRACTS AND ISSUE RESOLUTION

- ✓ **Advance agreement** - should be reached on how issues and accidents are managed and escalated.
- ✓ **Managing contract changes** - agree in advance controls for future transfers or relocations for bulk transfers or contract terminations.
- ✓ **Charges for contract changes** - determine what the scale and structure of payment is.

With the right vendor, you'll be able to reduce risk, achieve compliance and extract value from your information. You'll also be in a position to increase efficiency and avoid the trap of multiple suppliers and contracts.

Find out more about what Iron Mountain has to offer.

Whether your focus is legacy paper, Electronic Content Management or applying records retention policy more effectively, we can help you manage information at every stage in its lifecycle.

Call us now on 1.800.899.4766 (IRON)

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ABOUT IRON MOUNTAIN

Iron Mountain Incorporated (NYSE: IRM) provides information management services that help organisations 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 organisations around the world. Visit the company website at www.ironmountain.com for more information.

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