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The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within Federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting:

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM 2019 Annual Report - [Agency Name] in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While

NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM: Tina Neumann
- Position title: Managing Director Administrative Services
- Address: 1099 14th Street NW, Washington, DC 20005

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

   Please provide list: Millennium Challenge Corporation - All

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   X Yes
   ☐ No

   Please explain your response:

   To the extent possible all permanent electronic records are captured in or converted to electronic format. While the records are captured in electronic format the ongoing lifecycle management for some systems is highly manual in nature. However, significant progress toward automation in management of permanent electronic records has occurred. For example, email accounts of Capstone officials are being configured to automatically capture and retain records for the required amount of time before their final disposition. MCC is currently testing new features that will facilitate the tagging of electronic records corresponding to specific schedule items and the automation of retention periods. New agency-wide policies are being written to affirm records management requirements and provide additional guidance.

3. **Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

   X Yes
   ☐ No

   Please explain your response (include specific goals and example metrics):

MCC has made significant progress in moving our permanent records to a new technology platform that will leverage the agency's taxonomy to ensure appropriate metadata is assigned to all permanent records. New policies and tools for the capture of required metadata are making progress. Email accounts of both Capstone officials and other staff are approaching the point where they can be automatically captured and retained for the designated amount of time before their final disposition. We are also exploring options for the digitization and validation of older, analog permanent records so that they may be maintained electronically. This effort is scheduled for completion by December 2022.

4. **Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

X Yes
☐ No

Please explain your response (include specific goals and example metrics):

MCC has made significant progress toward retaining all temporary records in electronic format by adopting a new technology platform that will leverage the agency's taxonomy to ensure appropriate metadata is assigned to all electronic records. Where temporary records are not currently in electronic format, we are piloting a digitization plan. Furthermore, we are in discussions to develop a validation process for the digitization of these records that will allow us to dispose of the original hard copy sources, and manage the digitized version as the copy of record. Agency policies are forthcoming mandating that all MCC records be managed electronically and providing guidance on records creation, proper location for records storage, and the capture/assignment of metadata.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

X Yes
☐ No

Please explain your response (include specific goals and example metrics):

Strategic steps taken to ensure MCC's compliance with the Federal Records Act and all applicable regulations include the issuance of agency-wide records management policies and guidance, records management training that must be taken annually and is also required of new employees, and exit interviews that must be completed by each employee to ensure that the agency retains the records of departing staff. The SAORM, ARO, and all staff with records management duties are made thoroughly

familiar with applicable federal laws and NARA guidance and are instructed to abide by them. Records management requirements and goals appear in agency planning documents, departmental plans and objectives, and departmental performance goals.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

X Yes
☐ No

Please explain your response (include specific goals and example metrics):

MCC does not operate any external records centers.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

X Yes
☐ No

Please explain your response (include specific details of procedures):

All senior officials are briefed on their record management responsibilities when they onboard. We are currently in the process of developing improved records management training for senior agency officials. When senior agency officials leave MCC, a Records Management Exit Interview is conducted to ensure their records will not be improperly removed, modified, or destroyed and a Records Management Exit Checklist is completed to verify that records have been captured in official agency recordkeeping systems for subsequent preservation. Furthermore, systems are in place to ensure email accounts of senior agency officials (Capstone officials) are automatically captured and retained until they can be sent to NARA. MCC-issued devices are collected from them at departure to help ensure the retention of any records stored on them.

8. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

X Yes

☐ No

Please explain your response (include details of specific challenges, if applicable):

MCC's goal of achieving fully-electronic recordkeeping is hampered by a number of factors including: budget constraints limiting ability to deploy robust records management solutions that allow for intuitive tagging and automated retention of agency records, a reliance on electronic messaging applications for file storage and management by many of our overseas staff, the rapid pace of technology, and the resistance of some personnel to adopt recommended records management tools and strategies.

9. **Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?**

X Yes

☐ No

Please provide details on what support is needed:

MCC's electronic recordkeeping endeavors would be greatly aided by the issuance of additional NARA guidance and recommendations for specific records management resources and best practices. Particularly useful would be clearer guidance on required standards for electronic messages and messaging systems, the showcasing of agencies where records management is being done well, and supplemental training that specifically targets senior officials. Furthermore, we are still waiting on requirements for the digitization of permanent records.