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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

**The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.**

NARA plans to post your 2021 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, 2021, and other aspects of agency records management programs.
- 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 2021 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 DIVISION
- Address: 1099 14$^{\text{TH}}$ STREET, NW, SUITE 700, WASHINGTON, DC 20005-3550

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?**

   *Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.*

   Millennium Challenge Corporation – All (unchanged from previous years)

2. **Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?**

   X Yes
   ☐ No
   ☐ Do not know

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

   With agency staff on maximum telework for a second year, the agency has accelerated the adoption of full electronic records management, precipitated the use of new electronic tools (particularly Microsoft Teams), and spurred innovative records management training and outreach strategies. We have worked with staff to clean-up, organize and dispose of electronic records; published guidance on storing records in approved records storage areas; collaboratively focused on the architecture of SharePoint sites with records management awareness and established processes for transferring electronic records to our RMP for proper disposition.  The pandemic has slowed the disposition and transfer process for hard copy documents stored on site. However, we have made progress on disposition of temporary hard copy records that have met their retention. We continue to move forward on planning the decommissioning of agency file rooms that hold both permanent and temporary files.

3. **Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

X Yes
☐ No
☐ Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

At MCC the SAORM sits within the Department of Administration and Finance and has direct responsibility for the Information Management (IM) Program which includes both Records Management and Knowledge Management. The SAORM serves as a consultant to the agency's Information Technology Investment Review Board (IT IRB) to ensure electronic records management is addressed.

The agency CIO has a direct reporting line to the CEO and an indirect reporting line to the Vice President of Administration and Finance. The Chief Data Officer (CDO) falls within the Office of the CIO.

The IM Program collaborates extensively with the Office of the CIO (OCIO) to align information technology priorities and resources.

4. **Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

☐ Yes
☐ No
X Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

To the extent possible all permanent electronic records are created or captured in electronic format. This includes Capstone emails, mission records, and final reports and publications. New agency-wide policies and training modules were published to affirm records management requirements and provide additional guidance. We look forward to the final publication of NARA's rules on the digitization of permanent records.

While records are captured in electronic format, the ongoing lifecycle management for some systems remains highly manual in nature. However, progress toward automation in management of permanent electronic records has occurred and new functionalities for automated retention and disposition are being explored.

As with all federal agencies, budgetary restraints and access to physical file rooms continues to be problematic. While the limited to no access of our physical file rooms and ability to transfer paper records to FRCs has hindered our records management program to meet the mandate, we are hopeful that our agency-wide clean-up in 2015 and early efforts to transfer the agency to

electronic records management we will be successful in the management and preservation of all permanent records in an electronic format with appropriate metadata by December 31, 2022.

5. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

   X Yes
   ☐ No
   ☐ Do not know

   *Please explain your response (include specific goals, example metrics, and/or challenges):*

   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 records were being maintained in paper copy, newly created records are being created and maintained electronically. New agency policies and tutorials provide guidance on records creation, proper location for records storage, and the capture/assignment of metadata.

6. **Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

   ☐ Yes
   ☐ No
   X Do not know

   *Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

   Since the agency has been focusing on electronic records management and providing guidance to our personnel to not create or maintain paper records, currently we do not anticipate asking for an exception. However, until we can fully assess the volume of paper records on-site that are or are not in our electronic records systems, we are not ruling out the option of requesting an exception.

7. **Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

   ☐ Yes
   X No
   ☐ Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

Due to budget constraints our agency is utilizing Microsoft 365 which is already in place. Our RMP team is collaboratively working with the agency CIO to set-up the Records Management Compliance Center component and participates in the NARA MS365 User Group. However, if we were not experiencing budgetary constraints, we would utilize the GSA Special Item 518210 ERM. As we move forward, and if we find a need for a provisioning tool to work with Compliance Center, we will utilize 518210 ERM.

8. **Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

☐ Yes
X No
☐ Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

MCC does not operate any external records centers and does not anticipate a need for external storage for paper records after December 31, 2022.

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

X Yes
☐ No
☐ Do not know

*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: extensive patchwork of existing systems in which records are stored, slow growth of traction on the acquisition of enhanced electronic management tools 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, budget constraints and the resistance of some personnel to adopt recommended records management tools and strategies.

Additionally, the agency needs to grant more insight and authority to the Records Management Program by elevating the SAORM from a consultant to a voting member of the agency's Information Technology Investment Review Board (IT IRB) to ensure electronic records management is addressed.

10. **NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

☐ Yes
X No
☐ Do not know

*Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):*