



Senior Agency Official for Records Management 2022 Annual Report

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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 rmsselfassessment@nara.gov. Include the words “SAORM 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

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

Millennium Challenge Corporation (entire agency)

2. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?

- Yes
- No
- Not applicable, no adaptations were needed
- Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

A number of business processes to include MCC's contract files / invoice approval processes have moved to an online process and electronic recordkeeping.

3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

- Yes
 No
 Do not know

Please explain your response with specific actions taken, challenges and results.

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. Agency-wide policies and training modules have been published to affirm records management requirements and provide additional guidance.

4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

- Yes
 No
 Do not know

Please explain your response with specific actions taken, challenges and results.

MCC has made significant progress toward retaining all temporary records in electronic format by adopting new technology platforms that 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.

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?

- Yes
 No
 Not applicable, all records are in electronic format

Do not know

Please explain your response with specific actions taken, challenges and results.

The Agency operated records storage facility is a minimal footprint and the Agency is actively working to transfer any remaining records to an FRC or commercial storage facility by June 30, 2024.

6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)

Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).

Yes

No

Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

At MCC the SAORM sits within the Department of Administration and Finance and has direct responsibility for records and information management. In FY22 MCC consolidated the functions of records, information, and knowledge management into a single program area. Effective FY23 the function was rebranded as the Records and Information Management Program (RIMP).

The SAORM serves as a consultant to the agency's Information Technology Investment Review Board (IT IRB) which is chaired by the CIO who 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) and the Chief Privacy Officer fall within the Office of the CIO while the agency Security Officer reports directly to the Vice President of Administration and Finance. The SAORM serves as a consultant to the agency's Information Technology Investment Review Board (IT IRB) to ensure electronic records management is addressed.

7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages

that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))

Yes

No

Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

The SAORM serves as a consultant to the agency's Information Technology Investment Review Board (IT IRB) to ensure electronic records management is addressed. This provides visibility into any commissioning or decommissioning of IT systems that house agency records.

As needed RIMP team members collaborate directly with business and system owners to ensure that records are captured and retained when hardware is decommissioned or software is upgraded.

8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

Yes

No

Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

MCC is exploring supervised machine learning, standard artificial intelligence, auto-classification technologies to support identification and management of temporary and permanent records.

9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?

Yes

No

Do not know

Please explain your response including what specific measures you have incorporated into the SAORM role.

AS SAORM I have daily oversight of the activities of the RIMP. I meet with the ARO and broader RIMP team on a weekly basis to review progress of the program against our established goals, set priorities, and review ongoing efforts to ensure compliance with statutes and regulations. In FY22 we focused on automating several manual process to provide greater insight into our training programs, records disposition, and employee exit processes.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

- Yes
 No
 Do not know

Please explain your response and include any comments on existing, pending, and future topics.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

- Yes
 No
 Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.