



## *Senior Agency Official for Records Management 2020 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 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words "SAORM 2020 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 Service
- Address: 1099 14<sup>th</sup> 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 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 changed any policies or practices related to records management at your agency?**

Yes

No

Do not know

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

With the agency's staff on maximum telework, the COVID-19 pandemic has sped up the adoption of fully-electronic records management, precipitated the use of new electronic tools (particularly Microsoft Teams), and spurred innovative records management training and outreach strategies. We've adopted new self-service/online annual training, an online information inventory tool, and improved entrance and exit processes to support remote onboarding and offboarding. The pandemic has slowed the disposition and transfer process for hard copy documents stored on site as Federal Records Centers are not accepting transfers. However, we are progressing on planning the decommissioning of agency file rooms holding temporary files that are meeting disposition.

**3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

Yes

No

Do not know

*Please provide details on what support is needed:*

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 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. 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)**

Yes

No

Do not know

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

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 continue to be problematic.

**5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

*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 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. Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

Yes

No

Do not know

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

The agency has acquired new IT systems to better facilitate the capture, management, and metadata management of records as well as software to properly migrate records to these systems. Furthermore, we are in the process of procuring enhanced records management compliance capabilities that will allow us to automate many aspects of our records identification, retention, and disposition processes. The agency has also been supportive of efforts to train staff in the use of this technology.

**7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

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

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

**8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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.

Yes

No

Do not know

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

All senior officials are personally briefed on their record management responsibilities when they onboard. Specialized records management training courses are conducted to explain their responsibilities as senior officials and Capstone account holders (this is also taken annually). An agency Records Management Entrance Tutorial explaining how to properly manage records in agency systems is provided and senior officials are required to acknowledge their Capstone status. On departure, senior agency officials complete a Records Management Exit tutorial and attest that they have handed over all applicable documents or stored them in appropriate systems. This attestation is then verified by their manager to ensure their records will not be improperly removed, modified, or destroyed 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.

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

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.

**10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

Yes

No

Do not know

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