NATIONAL
ARCHIVES

OFFICE *of the*
CHIEF RECORDS
OFFICER

Senior Agency Official for Records Management
FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.

- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.

- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words "SAO Annual Report" and your agency's 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 SAO: Matthew L. Bohn
Position title: Vice President and Chief Financial Officer
Address: 1099 14th Street NW Washington DC 20005 - Franklin Court
Office telephone number: 202-521-7268

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

> *Please list them below:*
> **Millennium Challenge Corporation**

2. Is your agency going to meet the *Directive* goal to manage all <u>email</u> records in an accessible electronic format by December 31, 2016? *[(Directive Goal 1.2](...) - By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format)*

<div align="center">

⊠ Yes   ☐ No

</div>

> 2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your <u>progress</u> regarding:*
>
> - *establishing formally approved email policies,*
> - *use of any automated systems for capturing email,*
> - *providing access / retrievability of your email,*
> - *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
> - *possible implementation of the Capstone approach for applicable agency email.*

- Updating email records policy to include the Capstone approach.
- Implemented automatic disposition practices for non-Capstone agency email accounts.
- Organized internal shared drives to provide access and retrievability of Capstone email accounts.
- Policies and procedures include disposition practices.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- In 2016 MCC will finalize a revised MCC Records Management Policy, which will incorporate the existing Electronic Mail Records Management Policy (AF-2007-7.2), as well as, include language to implement Capstone, address other social media record content types, and expand the policy to include all media types.
- MCC will finalize procedures to improve on the current process of capturing Capstone email accounts by relocating storage from local shared drives to the online Microsoft Office 365 email system. These procedures will provide efficiencies in backup and retrieval systems. In addition, they will enable efficiencies in other regulatory requirements (e.g., Freedom of Information Act retrieval).
- MCC has established disposition practices for email accounts for Capstone Senior and Non-senior staff users. MCC's MCCNet Policy provides role-based guidance to destroy Temporary email user accounts and maintain Permanent Senior Official accounts in PST files until they are mature enough to transfer to NARA. MCC just reached its 10th anniversary and will send the first batch of Capstone records in FY 2017.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

☒ Yes ☐ No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

MCC's policies and procedures do not allow for the use of non-official accounts for official business. In addition management has taken action to ensure that all staff are aware of the policy. The new employee on-boarding training, as well as the annual records refresher training specifically state that employees should only use official MCC accounts to conduct agency business.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

MCC depends on the internal controls provided by information security services that provide monitoring, auditing, and backup and recovery services. The other internal controls for managing electronic messages of the agency head and other senior officials come from the on-boarding training, RMO's Senior Official records management briefing, annual records refresher training,

and the exit briefing. These activities describe how Senior Officials should manage their agency email accounts.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? *(Directive Goal 2.5)*

☒ Yes   ☐ No

5a) *Provide a list of the actions your agency, components, or bureaus <u>have taken</u> to meet this goal.*

During FY 15, MCC conducted an agency-wide inventory of records and other information that identified the different types of information categories that MCC employees create. MCC used the inventory to validate compliance.

5b) *Provide a list of the actions your agency, components, or bureaus <u>plan to take</u> in the future to meet this goal.*

The records team will continue to work and communicate closely with the Division Records Managers (DRMs) in order to ensure that no new record content has been created, as well as conducting smaller inventories periodically to ensure that if and when new content is created the records team knows about it and can prepare and submit a new records schedule to NARA.

6. Is your agency going to meet the *Directive* goal to manage all <u>permanent</u> electronic records in an electronic format by December 31, 2019? *(Directive Goal 1.1)*

☒ Yes   ☐ No

6a)   *Provide a list of the actions your agency, components, or bureaus <u>have taken</u> to meet this goal. Include specific information on your <u>progress</u> regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

MCC has worked diligently to encourage employees to store their records and information on MCC's designed electronic recordkeeping application, through procedures, updates to the policy,

and training. MCC has also established automated disposition practices for most records stored in the electronic recordkeeping application.

6b)   *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

MCC will expand the use of the record keeping application to encompass important programmatic records. MCC will continue to reduce paper records through the physical limitations of a recent headquarters relocation, which has less storage space for filing paper records which will help enforce the use of electronic records. Additionally there have been initiatives and other procedural changes that encourage users to store all their permanent records electronically. For example, teams use the intranet site, which is records compliant, to store documents in a central location; thereby, reducing the risk of having multiple documents of the same source in scattered locations.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

In an effort to increase transparency, efficiency, and accountability MCC moved appropriate information to a collaboration space where all staff can access it as needed. This resulted in information being much easier and quicker for employees to find information.

MCC's designation of an SAO has meant that the agency has put more of a focus on records management and is working to ensure that all records are managed properly. One such result of more focus on records management is the strengthened training program. All new employees go through an onboarding training, as well as an annual training. Additionally the records team is able to conduct ad hoc training as needed.

One of the challenges resulting from this directive include a lack of resources to ensure quick and smooth transition to a digital government. While there is a bolstered focus on records management, as a small agency MCC relies heavily on best practices and the experience of other, larger agencies in order to best utilize limited resources. Another challenge is a lack of comprehensive employee buy-in. Employees must help and make the decision to store their electronic information in the correct location as well as tag it with the correct metadata and it can be difficult to emphasize the benefits of proper electronic records management.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

☒ Yes ☐ No

8a)   *Provide a list of the actions your agency, components, or bureaus <u>have taken</u> to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The Ethics Team briefs all newly arriving Senior Officials and provides exit briefings and clearance to all departing officials. One of OGC's departmental goals for 2016 is to conduct training on Information Law, including records management, which will be done in conjunction with the Records Officer.

8b)   *Provide a list of the actions your agency, components, or bureaus <u>plan to take</u> in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

The Records Officer briefs all newly arriving Senior Officials to describe the federal records program and ensure they understand the elements and management requirements of federal records. In addition, the Records Officer debriefs Senior Officials when exiting the agency. The entry and exit briefs describe and reinforce agency policies and procedures for federal record keeping.