The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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 20005-3550

- Office telephone number   202-521-2632

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

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2.   Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

■Yes
☐No

If No, please list and explain which part of your agency or components did not meet the deadline? (Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

3.   Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

☐Yes
■No

MCC submitted a SF-115 (Disposition of Federal Records) in compliance with the December 31, 2016 deadline. In FY17 we identified that our NA-1005 was never received by NARA. Therefore, we are reviewing our capstone approach for email with the goal of re-submitting the NA-1005 by year end.

4.   Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

■Yes
☐No

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.

MCC completed a self-assessment of the Records Management Program (RMP) and has developed a plan of action to address findings. Records Management action plan will be initiated across MCC's Compact Operations and Threshold divisions and will serve as a blueprint to improve scheduling of existing paper and non-electronic records. The lessons learned during the implementation within these divisions will serve as roadmap to guide total time/man-hours to implement across the entire agency. The implementation phase is led by our Records Management Officer Frederick Costales.

MCC continues to reduce paper records through the physical limitations of the recent headquarters relocation, which has less storage space for filing paper records which will help enforce the use of electronic records. We continue to promote initiatives and procedural changes that encourage users to store all 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.

5.   **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

■Yes
☐No

As part of MCC's office move in December of 2015, the agency made a comprehensive push to digitize permanent records and to move 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. MCC continues to strengthen our records management training program. All new employees go through records training as part of the agency's onboarding process and all staff receive annual training.

All departing senior officials were briefed on records responsibilities as part of their exit process and acting senior officials were provided training on managing records generated in their acting capacity.

One of the challenges resulting from this directive is a lack of sufficient 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 to inform our records program. 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.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

■Yes
☐No

MCC's Records Management Program is integrated into technology, business process and knowledge management initiatives across the agency. The RMP has been reorganized under the Administrative Services Division with matrixed support from the Office of the CIO.