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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.

The reporting period begins on <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 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):

Tina Neumann
Managing Director, Administrative Services Division
1099 Fourteenth Street NW, Suite 700, 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 also indicate any that are new or have been changed due to reorganization or other circumstances.**

   AGENCY: Millennium Challenge Corporation

   SAORM: Tina Neumann, Managing Director of Administrative Services Division in Department of Administration and Finance

   REPORTING SEPARATELY: n/a

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   Yes – MCC is preparing to transfer hardcopy records to WNRC in advance of the deadline for acceptance, creation of new hardcopy records is being reduced, and planning for digitization of remaining hardcopy permanent records is underway. We are also in the process of consolidating files from shared drive to a central digital archive utilizing SharePoint Services. Under goal 1.2, MCC is updating existing Email records capture procedures for "Capstone" and "Non-Capstone" staff.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its** *Criteria for Successfully Managing Permanent Electronic Records* **(March 2018)?**

   Yes

   1. **MCC is addressing the four key aspects outlined in the High Level View.** As SAORM for the agency I have responsibility for the Information, Records and Knowledge Management. As such we are actively updating our policies to address management of permanent electronic records, we are working actively with the agency CIO to implement updates to our systems to enhance our ability to store, access, track and disposition agency records and the SAORM is an active participant in the agency's IT Investment Review Board.
   2. **Operational Activities:**
      - Prioritize and allocate resources – MCC leadership supported the addition of two contract support staff to enhance the Records and Information Management (RIM) Program to address the digitization of agency records

and to enhance the incorporation of RM requirements in all MCC projects and programs.

- Train Records management staff – During 2018 MCC focused on bolstering the structure of the RIM Program resulting in the appointment of a new ARO. MCC's ARO attended the NARA KMs for certification and the team added staff with federal RM. The identification and training liaisons and custodians is underway and continues into 2019. Completed annual CY18 refreshers and agency is pursuing ongoing training opportunities RIM and agency staff.
- Review records schedules – Met with NARA Appraisal Archivists and updates to records schedules are in progress.
- Consult stakeholders – Conducted meetings across the agency with stakeholders to include CIO, Human Resources, Office of the General Counsel, and Senior Leadership.
- Maintain systems – MCC regularly reviews all systems to ensure permanent electronic records are maintained for the duration of their retention period. As part of the agency's Knowledge Management initiative, we are refining our information architecture, updating our supporting IT systems, and enhancing records/information governance to assure alignment to the universal ERM requirements issued by NARA.
- Prepare for transfer – Agency records management staff are aware of transfer requirements and are working with IT staff to prepare permanent records for transfer. ERA access and staff training is in progress.
- Execute transfer - n/a during 2018.
- Institute policies – Reviewed and updated MCC policies for submission to policy clearance process. MCC will release updated procedures upon approval of the policies. RM requirements are integrated into agency SDLC and CPIC processes and into the design and development of IT systems.
- Evaluate program and processes – MCC expanded support for the RIM program to ensure the agency has a strong RM foundation designed to address electronic records management requirements, leverage emerging technology, and to improve the management of information.

3. Universal ERM Requirements: Based on the Criteria outlined, MCC is a level 3 for its Electronic Records Management policies.

4. **As included in the Administration's *[Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](June 2018),* NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:
Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This*

would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

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

> MCC is including the 2022 initiative in its Information Management Strategic Plan. In 2018, MCC began market research on contract support for digitization assistance, undertook revision to the records and systems inventory process, initiated a dialog with agency personnel to identify stakeholders and develop the project plan.

5. **Is your agency utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?**

> MCC is using Schedule 36 to procure its RIM needs both current and future.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

> *****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.

> Enhancements to the RIM Program in 2018 ensure that all incoming/outgoing senior officials receive one-on-one briefings as part of their onboarding and exiting requirements. The briefings cover their records management responsibilities.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)**

> Successfully expanded the funding and staffing level for the RIM Program and improved alignment with other agency programs including knowledge management, workforce management, information technology, and risk management.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01:** *Agency Records Management Training Requirements*)

> Enhanced and delivered role based RIM training in 2018 to include Capstone, Agency-wide Annual RIM Training, and liaison/custodian. Specialized RIM Training for IT System Developers and project team lead scheduled for development and deliver in 2019.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

> Yes, this was the first priority of the new RIM team.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

> Not at this time.