NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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 <u>January 13, 2020</u>, with reports due back to NARA no later than <u>March 13, 2020</u>.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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):

- Clark Presnell
- Acting Associate Director, Management
- 1275 First Street, NE Washington, DC 20526

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.**

   Please provide list:
   Peace Corps Headquarters
   Peace Corps Regional Offices
   Peace Corps Posts

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   ☐ Yes
   X No

   Please explain your response:
   Where possible, Peace Corps (PC) is managing permanent records electronically. We have offices all around the world and those outlying offices are still heavily dependent on paper.

3. **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)**

   X Yes
   ☐ No

   Please explain your response (include specific goals and example metrics):
   All special media requires metadata. Records stored in our SharePoint system have metadata. Other electronic records such as MS Word and Excel have the basic system metadata included.

4. **Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

X Yes
☐ N o

Please explain your response (include specific goals and example metrics):
PC adopted a block numeric electronic foldering system in 2018 to manage all PC electronic records.
A number of PC Posts have rolled out a similar electronic file structure to manage all electronic records. There is a plan in place to roll that electronic file structure to all remaining Posts starting in 2020.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

X Yes
☐ N o

Please explain your response (include specific goals and example metrics):
The SAORM has issued memorandums to the entire agency in this last year regarding:
- Rules for digitizing temporary records
- Rules for digitizing Permanent records
- Records clean-up processes according to approved disposition authorities
- Headquarters-wide, annual, formal evaluations of records management compliance

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

☐ Y es
X No

Please explain your response (include specific goals and example metrics):
Not applicable – we do not operate our own records center

7. **Does your agency have procedures that include documentation to ensure records of 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.

X Yes
☐ N o

Please explain your response (include specific details of procedures):
- PC has in-briefing and exit briefing for all Capstone officials
- Formal evaluations at the office level across HQ for records management compliance

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

X Yes
☐ N o

Please explain your response (include details of specific challenges, if applicable):
- Posts are still heavily dependent on paper
- The Five-year Rule disrupts continuity and makes it hard to plan and carry through long-term projects (committing to a shared drive or SharePoint instead of both)
- Budget issues

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

X Yes
☐ N o

Please provide details on what support is needed:
- Peace Corps has a large number of older schedules that are not media neutral and that legally require the agency to transfer the records in paper format. Is NARA planning to do anything to facilitate transfer of these records without the time-consuming process of identifying and rescheduling older Disposition Authorities?