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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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):

>Jeffrey Harrington
>Associate Director, Management
>1111 20<sup>th</sup> Street, NW Washington, DC 20526
>202-692-1602

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

   Peace Corps

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)**

   **X** Yes
   ☐ No

   Where possible, electronic versions of permanent records are deemed the 'record copy.' Peace Corps has been working with their NARA appraisal archivist to create new, media neutral schedules to cover the transition from paper to electronic. Older schedules will be updated as needed.

3. **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)**

   **X** Yes
   ☐ No

   M-12-18 does not require agencies to retroactively scan older permanent records, however, the Peace Corps has digitized some permanent hard copy records. For other permanent hardcopy records, the Peace Corps is using a 'day forward' approach in that all future permanent records will be properly maintained and transferred in electronic format.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

   **X** Yes

☐ N o

Yes, the HQ Guide and file plans were updated to reflect the reorganization of offices. Additionally, all Peace Corps offices complete an annual records inventory and file plan that is submitted to the Agency Records Officer.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

> **X** Yes
> ☐No

Yes, as the Associate Director of Management, I advocated for the continued employment of 3 Program Specialists (Records), hiring a new Agency Records Officer, creating a comprehensive operations guide (the Transition Plan) that details the records office SOPs to provide continuity due to the frequent turn-over at Peace Corps due to the "5-year Rule."

6. **Have you, as the SAORM, ensured that 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.

> **X** Yes
> ☐No

Peace Corps policy requires that all senior officials receive an on-boarding and exit briefing about their records management responsibilities. RM created a "Capstone Officials Records Management" pamphlet to guide the on-boarding briefing and created the mandatory "Copies of Records Removal / Non-Removal Certification" (PC-2168) form. This form is required from all senior officials as part of the exit process and describes any records that departing staff request to take with them. The RM staff reviews the PC-2168 requests on a case by case basis. My office coordinated SOPs with the Peace Corps Human Resources office to create a communication process that notifies RM when a new Capstone official is scheduled for on-boarding and RM sets up a meeting for the 'in-briefing' and notifies IT to capture the email account. Additionally, all employees are required to take the "Records Management Training" every year.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

        ☐ Yes
        X No

The Office of the Chief Information Officer is new operational model will begin the process of bringing the Peace Corps into alignment with the OMB A-130 bulletin.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

- *Guidance on electronic records management systems to help agencies choose the best system to manage our temp and perm electronic records*
- *Work with GSA to help agencies get the best ERM system for agency size*
- *Issue guidance in conjunction with GSA about alternate storage options.*
- *Provide more detailed metadata guidance for permanent records.*
- *Guidance on how to implement ERM system once it is identified. The guidance should take into account the various size and capacity/capability federal agencies are dealing with. Peace Corps and State Department have a vast difference in the size of records they create and maintain and the budget they have to meet the goal of all records being kept electronically.*
- *Offer guidance on best way to preserve electronic records.*
- *The ability to transfer permanent records to NARA electronically. Currently cumbersome having to burn electronic records to cd, thumb drive or hard drive.*