



## *Senior Agency Official for Records Management 2018 Annual Report*

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 March 11, 2019 with reports due back to NARA no later than April 19, 2019.

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](mailto: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):

Jeffrey Harrington  
Associate Director, Management  
1111 20th Street, NW 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.**

All of 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)**

Yes  
 No

*Please explain your response:*

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 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  
 No

*Please explain your response:*

In 2018 Peace Corps adopted a block numeric file structure to identify and manage all records more easily.

- 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.*

- Yes  
 No

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

Where possible, Peace Corps will implement electronic record keeping for temporary (and permanent) records. However, NARA's plan to go paperless is not conducive to Peace Corps' worldwide operations. Peace Corps will be changing off-site storage vendors in 2020.

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

- Yes  
 No

*Please explain your response:*

Using GSA to find scanning vendors and to find an alternate off-site storage vendor.

**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.

- Yes  
 Changes were unnecessary (click [here](#) for your agency's 2017 report)  
 No, changes are being considered but have not been made  
 No

*Please explain your response:*

Policy and practice were already in place, no changes required from 2017.

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](#))**

Yes  
 No

*Please explain your response:*

As SAO and Associate Director of Management I advocated for an agency-wide records clean up event. This event help identify and dispose of records that met or exceeded their legal retention and were properly disposed of. Additionally, this event was the roll out for the block numeric electronic file structure that is mandatory for all HQ offices to use.

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](#))**

Yes  
 No

*Please explain your response:*

During 2018, the agency migrated to a new Learning Management System (LMS). All staff had been required to take the online Records Management training within 30 days of being hired and thereafter annually. Now new staff take the full length (30 minute) online training and older staff take a shorter, online records management 'refresher' quiz on an annual basis. Compliance is tracked electronically through the LMS.

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  
 No

*Please explain your response:*

Peace Corps conducts a mandatory annual File Plan Review for all offices both at HQ and overseas Posts.

This year, as Associate Director of Management I authorized the expansion of training for Records Management Liaisons (at least one per program office) from once a year to once a quarter in order to ensure adequate communication of records management policies and best practices.

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

Yes

No

*Please explain your response:*

- 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?