



Senior Agency Official for Records Management 2020 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.

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 January 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2020 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):

- Name of SAORM: Francisco Reinoso
- Position title: Associate Director of Management
- Address: 1275 First Street, NE Washington, DC 20506

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

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

Peace Corps

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

Yes

No – all agency records are managed regardless of location or environment. Extra notice was sent out periodically to remind staff to keep notes/minutes for video conferencing that took the place of in-person meetings.

Do not know

Please explain your response (include details of specific challenges, if applicable):

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

Yes

No – Some connections exist and others are being developed. RM has a network of records liaisons in every HQ office and Post around the world that attend mandatory trainings once every quarter on records management

Do not know

Please provide details on what support is needed:

4. 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)

Yes – Most records are created electronically, and with COVID-19 and remote work, extra attention has gone into managing records electronically, both temporary and permanent.

- No
- Do not know

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

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

x Yes - Most records are created electronically, and with COVID-19 and remote work, extra attention has gone into managing records electronically, both temporary and permanent.

- No
- Do not know

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

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

x Yes – RM is working with CIO to continue work in existing managed folders in every HQ office and all Posts. Also working with CIO to develop / obtain module for managing records stored in SharePoint. On track to work with CIO to implement RM in MS 365 before deployment late in 2021 or early 2022.

- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes

X No – not applicable, we do not operate an agency-operated records storage center. We have traditionally used the WNRC.

- Do not know

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

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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 – Our agency Policy on RM requires an in-briefing and out-briefing for Capstone Senior level officials. We have produced a brochure to give to Capstone Senior level officials of their responsibilities regarding records management and the capture of their email. Processes are in place to automatically capture all Capstone Senior level email without user input.

No

Do not know

Please explain your response (include specific details of policies and procedures):

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

X Yes – The Peace Corps will not be fully electronic by the deadline and is in the process of requesting an exception from NARA. The Peace Corps maintains Posts across 60 countries around the world. Those Posts still operate in a paper-centric world and will not be compliant with electronic only records any time in the near future. Additionally, the approved disposition authorities for those Posts state that the permanent records from Posts are to be transferred to NARA after the Post closes – since many of the Posts were established in the 1960's and are still going strong, there will be a large collection of paper records coming to NARA for permanent retention once those Posts actually close at an unknown point in the future. Additionally, the temporary records that have not met their retention when those Posts close will need to be stored until the retention is fully met. The Peace Corps has now contracted with a private storage vendor for paper temporary records to meet this need since the federal records centers will no longer accept paper after December 2022.

No

Do not know

Please explain your response (include details of specific challenges, if applicable):

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):