



Peace Corps

Senior Agency Official for Records Management

FY 2015 Annual Report

January 2015

Provide the following information (required):

Name of SAO: Alan Price

Position title: Associate Director, Office of Management

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1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

Peace Corps

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
 - *use of any automated systems for capturing email,*
 - *providing access / retrievability of your email,*
 - *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
 - *possible implementation of the Capstone approach for applicable agency email.*
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- Hired an Electronic Records Management (ERM) Program Manager
 - Program Manager hired a contractor to research and write requirements for this goal
 - Contractor drafted requirements for meeting this goal
 - Records Management Officer consulted with appraisal archivist regarding email records schedule

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- Records management team will meet with OCIO and collaborate to determine which of the “essential” and “optional” requirements can be implemented
- OCIO will implement requirements within the Peace Corps’ capabilities
- Explore further the use of the Capstone approach with Peace Corps (not GRS) retention periods.
- Peace Corps will revise its initial draft email schedule and resubmit to appraisal archivist

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

The Records Management Officer, General Counsel, and Chief Information Officer briefed the Peace Corps Director and Chief of Staff. The Records Management Officer and General Counsel collaborated to provide the Office of Safety and Security with written instructions for staff members working overseas who may need the occasional use of email accounts.

4. Describe your agency’s internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

Emails and associated records (Outlook calendars, Skype for Business chats, and instant messaging, though not phone texts) are captured for senior officials (those people who meet the definition of Capstone officials) when they depart the agency and saved for later legal transfer to the National Archives. [NOTE: The Peace Corps has a 5-year rule prohibiting all but a small number of staff members (15%) from working for the Agency for more than five years. The average length of time that staff members serve is 4.2 years]

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- In 2015, hired two records scheduling experts to conduct records inventory interviews, write records schedules, enter schedules into ERA, and aid in the appraisal process for the hundreds of unscheduled records at the Peace Corps.
- The records scheduling experts are making steady progress.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- The Peace Corps will continue to utilize the records scheduling experts until all records are scheduled (estimated 2018)

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*
- Hired an Electronic Records Management (ERM) Program Manager
- Program Manager hired a contractor to research and write requirements for this goal

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- Future actions are uncertain at this point. The ERM Program has been put on hold while determining if there are funds to continue. In the meantime:
 - The Electronic Records Management (ERM) Program Manager is phasing out of Records Management
 - The contractor hired to research and write requirements for this goal has been phased out.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

The Directive has spurred the Peace Corps to provide resources to hire expert records schedulers for the hundreds of unscheduled records series, many of which have been in existence for decades. Additionally, the Peace Corps is beginning to recognize the importance of records management for emails and for an email cloud solution. The biggest challenge remains: in a world of limited financial resources, federal records management requirements are not always a top priority and may lose out to competing agency projects.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- The Records Management Officer (or an Associate General Counsel) briefs each departing senior official and provides a checklist of records management requirements. [NOTE:
- After the senior official has departed, the Records Management Office asks the email administrator to save that official's emails and associated records for later transfer to the National Archives [NOTE: these emails are scheduled under an existing authority, but will be revised when the Peace Corps' email schedule is approved]

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

- The Records Management Office staff will work with senior officials and their assistants in the months prior to their departure to ensure that federal records are properly retained at the agency and not improperly removed.
- Peace Corps will revise its initial draft email schedule and resubmit to the appraisal archivist, so that senior officials' emails (and associated records) will be scheduled under the Capstone method, but with Peace Corps-unique retention periods
- The Records Management Officer (or an Associate General Counsel) will continue to brief each departing senior official
- After the senior official has departed, the Records Management Officer will continue to request that the email administrator saves that official's emails and associated records for later transfer to the National Archives