NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: Francisco Reinoso
- Position title: Associate Director for Management
- Address: 1275 1st 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 provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.

   Peace Corps

2. **In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

   ☐ Yes
   X No
   ☐ Not applicable, no adaptations were needed
   ☐ Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

The Peace Corps had already started transitioning to primarily electronic records management prior to Covid-19. Most records needed to conduct agency business are available to staff electronically

3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

X Yes
☐ No
☐ Do not know

Please explain your response with specific actions taken, challenges and results.

The Records Management Office (RMO) has been integrated into the following teams in order to maximize records management in all aspects of agency business processes:

1. Peace Corps has created the "Office 365 IPT Team" for developing RM Guidance in the future, full rollout of Office 365. The Agency Records Officer is part of that team and will be working to include RM policies and procedures through the RM Compliance portal in Office 365. This team will be meeting over the next year to customize Office 365 to meet both regulatory and agency needs.
2. Enterprise Architecture Working Group – reviews all requests for new or updates to software and hardware for all offices and Posts
3. Data Governance Council – reviews and sets policy for all data use according to E.O. and federal regulations
4. ARO added to the Office 365 early adoption team to ensure RM is part of the development and release
5. ARO added to the Office 365 'Champion' team to ensure that all staff are aware of RM requirements when using the system after rollout

4. Has your agency taken action to meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

X Yes
☐ No
☐ Do not know

Please explain your response with specific actions taken, challenges and results.

Most records at the Peace Corps are already created or received in electronic format. ARO is working with CIO to improve retention practices across the agency, particularly when Office 365 rolls out in 2024.
The Peace Corps, on 6/9/2021, sent NARA an exemption request for temporary paper records that are created or received at our Posts. In February 2023, NARA responded that the exemption request was denied. Since COVID, most Posts have transitioned from mostly paper invoices and receipts to scanned versions of those documents, according to NARA guidelines, in order to complete the payment process at Posts. The Peace Corps will continue to have all offices and Posts utilize electronic versions of records as the official record copy as much as possible and as resources and circumstances allow.

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

X Yes
☐ No
☐ Not applicable, all records are in electronic format
☐ Do not know

Please explain your response with specific actions taken, challenges and results.

Peace Corps has never had its own agency-operated records storage facility. The Peace Corps has in the past used the Federal Records Center, specifically the WNRC and St. Louis but in 2022 our agency completed a contract with a commercial records storage facility to store temporary analog records. Almost all temporary analog records were moved from the FRC to Iron Mountain in 2022. The WNRC continues to hold permanent analogy records belonging to the Peace Corps; and several long-term temporary records are housed at the St. Louis FRC. No additional temporary records will be sent to any FRC. Permanent analog records will be sent to the WNRC up until the new June 2024 deadline.

6. **Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

Note: The incorporation of records management into information governance is part of the framework covered by OMB Federal Data Strategy - A Framework for Consistency (M-19-18) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in OMB Circular A-130, Managing Information as a Strategic Resource.

X Yes
☐ No
☐ Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

Enterprise Architecture Working Group meets weekly and includes the Enterprise Architect, solution engineers, Privacy/FOIA officer, Information Security staff, and Agency Records Officer (ARO). The Chief Data Officer's has recently joined the team as well. Information Security also includes Privacy/FOIA and records in their standard contract language.

The Peace Corps is also progressing with the Chief Data Officer (CDO) and the ARO is part of that team to ensure that data / records are identified, cataloged, and are scheduled. This process will also help ensure that those assets are maintained according to approved retentions.

7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: Email Management and CFR 1236: Electronic Records Management)

X Yes
☐ No
☐ Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

PC has a mature process in place to capture and manage all email. This process is done behind the scenes by the CIO without requiring the user to micro manage email.

PC has recently moved to MS 365. Email and messaging (Chat and Teams) and the CIO enabled processes that captures those communications via a procedure that manages the records in place. When an upgrade occurs, all active and inactive records are in place and upgraded with the messaging system.

Additionally, the Peace Corps will be updating the agency Capstone schedule to include electronic messaging so that email and messages for all staff will be scheduled and the agency will be taking steps to address all electronic messages, their capture, and retention.

8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

☐ Yes
X No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

Agency is not actively exploring AI or other cognitive technologies at this time.

9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?

X Yes
☐ No
☐ Do not know

Please explain your response including what specific measures you have incorporated into the SAORM role.

Agency Records Officer (ARO) reports on all records management activities to me on a bi-weekly basis. I implemented metrics reporting for all offices in the Office of Management and the ARO now produces a metrics report on a quarterly basis or ad hoc as needed.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

☐ Yes
X No
☐ Do not know

Please explain your response and include any comments on existing, pending, and future topics.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
X No
☐ Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.