



Consumer Financial
Protection Bureau

1700 G Street, N.W., Washington, DC 20552

January 22, 2016

The Honorable David S. Ferriero
Archivist of the United States of America
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, DC 20408

RE: Senior Agency Official Annual Report

Dear Mr. Ferriero:

In accordance with part 1, goal 1.1 and 1.2, and part 3, A4 of the August 24, 2012, Office of Management and Budget (OMB) / National Archives and Records Administration (NARA) Managing Government Records Directive (M-12-18), the Consumer Financial Protection Bureau (CFPB or the Bureau) conducted an evaluation of its records management program and has developed this Senior Agency Official (SAO) Annual Report. This SAO Annual Report documents the Bureau's continuous progress toward the successful implementation of the OMB/NARA Managing Government Record Directive (M-12-18).

Name of SAO: Mr. Sartaj Alag
Position Title: Chief Operating Officer
Address: Consumer Financial Protection Bureau
1700 G Street, NW Washington, DC 20552
Office Telephone Number: 202-435-7505

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

- The Consumer Financial Protection Bureau

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

- i. Developed a comprehensive "Capstone Approach" Project Plan;
- ii. Conducted over twenty "Capstone Approach" awareness and research meetings;
- iii. Established a "Capstone Approach" Working Group;

- iv. Identified the Bureau Tier 1 - Capstone Officials' accounts to be scheduled as permanent for transfer to the NARA after 15 years;
- v. Identified the bureau Tier 2 - Non-Capstone Officials' accounts to be scheduled as temporary for deletion at 15 years;
- vi. Identified accounts to be scheduled as temporary for deletion at 7 years;
- vii. Identified accounts to be scheduled as temporary for deletion at 3 years; and
- viii. Drafted a records schedule for Tier 2 - Non-Capstone Officials to be scheduled as temporary for deletion at 15 years.

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 Bureau's records management program incorporated the amendments to the Federal Records Act into records management web-based training, PowerPoint slides and handouts, and annual training conducted across the Bureau. In addition, records management policies and procedures are being revised to address the amendments. In addition, all senior officials have been briefed on these requirements.

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).

The Bureau's records management office and the technology and innovation office developed processes that identify and preserve senior executives' electronic messages indefinitely. Additionally, electronic messages are captured and stored annually, and when senior executives leave the Bureau.

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.*

The Bureau has identified and submitted media neutral records schedules for all paper and other non-electronic records.

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:*

- i. Conducted research on enterprise-wide document management systems (EDMS);
- ii. Developed Bureau requirements/goals;
- iii. Establish evaluation criteria, and
- iv. Selected an EDMS for a pilot.

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.

Implementing new records management goals are always challenging without first identifying the level of funding and staffing adjustments needed to develop and manage the requirements throughout their lifecycle. NARA could help by enhancing their training program to include best practices and indicators of success to meet the new records and information management challenges of the future.

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 Bureau does not anticipate that the upcoming change of Presidential administration will affect the Bureau because the Bureau has only one presidentially appointed, Senate confirmed official who serves a 5-year term and has no Schedule C appointees. The Bureau records management office takes the following actions to ensure that the records of all departing senior officials are managed properly:

- i. Contact the departing senior officials directly, and provide them with the records management departure procedures for senior officials;
- ii. Schedule and conduct senior official records management departing briefings;

- iii. Assist departing senior officials and staff with identifying permanent hard copy and electronic records;
- iv. Collect permanent hard copy records for digitization;
- v. Collect permanent electronic records for storage;
- vi. Collect non-record material for destruction;
- vii. Submit the permanent records hold service request to the technology and innovation team. The technology and innovation team secures the email account and electronic records, stores them on H-drives, and transfers the senior official laptop to the records management office, and
- viii. Transfer any permanent records from senior officials' laptops to storage.

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 Bureau's records management office will continue to develop, implement, and improve processes to ensure that departing senior official's records are captured and preserved, and safeguarded until they are transferred to NARA.

Contact information:

Name: Mr. Steven Coney
Title: Records Officer
Email: Steven.coney@cfpb.gov
Address: 1700 G Street N.W., Washington, DC 20552
Phone: (202) 435-7495

Sincerely,


Sartaj Alag
Chief Operating Officer