

## *Senior Agency Official for Records Management 2016 Annual Report*



The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

### Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 [PRMD@nara.gov](mailto:PRMD@nara.gov). Include the words "SAORM annual report" 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: Kody Kinsley
- Position title: Assistant Secretary for Management
- Address: 1500 Pennsylvania Avenue, Washington, D.C. 20220
- Office telephone number: (202) 622-7736

**1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

This report includes the responses from the Departmental Offices of the Treasury Department as well as the following bureaus:

1. Office of Inspector General (OIG)
2. Financial Crimes Enforcement Network (FinCEN)
3. Treasury Inspection for Tax Administration (TIGTA)
4. Internal Revenue Service (IRS)
5. Bureau of Engraving and Printing (BEP)
6. U.S. Mint
7. Office of the Special Inspector General for Troubled Asset Relief Program

Please note that the following Treasury Bureaus will report separately for this year:

- Alcohol Tobacco Tax and Trade Bureau (TTB)
- Office of the Comptroller of the Currency
- Bureau of the Fiscal Service (FS)
- Community Development Financial Institutions Fund (CDFI)

**2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

- Yes – in process  
 No

If No, please list and explain which part of your agency or components did not meet the deadline?

The Department is in the process of obtaining NARA approval to adopt records schedules to implement the Capstone approach. Departmental Offices and Treasury bureaus have submitted requests to NARA to adopt either General Records Schedule 6.1 or a bureau-specific record schedule. In January 2017, the Department issued guidance, in the form of a new Treasury Directive, establishing roles and responsibilities under the Capstone approach. The Department also, at the Departmental Offices level, developed IT rules on applying litigation and other administrative “holds” to email records; established HR processes to identify new and legacy Capstone employees; and developed Capstone training and awareness to educate senior leadership and employees.

The Department has taken steps to implement the Capstone approach at the component level, as part of either existing (component-level) email systems or broader upgrades to such email systems. Continued implementation efforts, including the issuance of IT policies governing Capstone and non-Capstone accounts and implementation of automated email retention polices, will be finalized following NARA approval of the records schedules discussed above.

Please note that additional actions taken by the Bureaus include:

*Internal Revenue Service:*

The Service is currently planning for executive-level email accounts to be compliant with M-12-18 by May 2017. All other employee accounts are expected to be compliant by September 30, 2017. Implementation timelines in 2016 were affected by procurement, IT architecture, and related schedule changes.

*Bureau of Engraving and Printing (BEP):*

BEP is finalizing a bureau-specific Capstone policy and completed testing of the Capstone approach in test email environment, pending NARA approval of its adoption of GRS 6.1. BEP is exploring the acquisition of an automated application/tool to accelerate management of email records in accordance with the Capstone approach.

**3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

Yes

No

If Yes, please describe this progress.

The Department has taken the following actions within Departmental Offices and supported the Treasury Bureaus in adopting these or taking similar actions:

The Department continues to champion the adoption of electronic content management platforms – such as SharePoint in the case of Departmental Offices – that facilitate the application of automated records management. The Department continues to work with IT and other information management programs to enhance internal records management controls on Treasury electronic information systems. The Department continues to provide training to enhance understanding of electronic records management responsibilities, as well as best practices for managing electronically created documents.

Please note that additional actions taken by the Bureaus include:

*Internal Revenue Service:*

The IRS records management program office is updating bureau-level policies on electronic records management, including email managed under the Capstone approach; other electronic messages (including instant messages and texts); unstructured and structured recordkeeping systems; and inclusion of records management in electronic information systems design, development, and policies.

IRS is also updating its SharePoint environment, leveraging its records management functions to apply appropriate retentions to, and carry out disposition schedules for unstructured data, including permanent records.

*Bureau of Engraving and Printing:*

BEP is in the process of moving its electronic information to the SharePoint environment and establishing a records center location/site for each program office. BEP will manage these locations through a combination of automated records rules and manual records management processes.

*Office of the Inspector General (OIG):*

OIG is in the process of researching applications to manage records electronically.

**5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

- Yes  
 No

Please describe your specific plans or actions.

The Department will explore the digitization of permanent records that were originally created in analog formats once the Capstone approach has been fully implemented.

**6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

- Yes  
 No

If Yes, please describe what steps have been taken.

The Department is incorporating records management and recordkeeping requirements into its information resources management (IRM) strategic planning, in accordance with OMB Circular A-130, as well as Recommendation 1.1 of the Department's Plan of Corrective Action (issued by NARA on May 18, 2016 pursuant to its inspection of the Departmental records management program). Efforts to date include strengthening the involvement of the Departmental records management program in compliance processes involving federal privacy law, IT governance and information security (such as cybersecurity), and procurement.

The Departmental records management program is also working with the Office of the Chief Information Officer to fully incorporate records management requirements in future revisions to the Departmental IRM strategic plan.