

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. 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 Theresa McCarthy
- Position title Assistant Administrator, Headquarters Operations
- Address Alcohol & Tobacco Tax & Trade Bureau (TTB)
Department of the Treasury
1310 G Street, NW,
Washington, DC 20005
- Office telephone (202) 453-2062
- Email

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

Alcohol & Tobacco Tax & Trade Bureau (TTB)

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

No

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

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#))

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.

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

TTB's electronic permanent records are maintained in that medium to facilitate transfer to NARA at the prescribed time.

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.

TTB is currently evaluating the feasibility of digitizing permanent records created in hard copy or other analog formats.

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 following describes steps TTB has taken to include records management as an integral function of TTB's information resource management strategy in accordance with the revised OMB Circular A-130:

Establishing records management policies that govern the documentation of TTB's records, regardless of form or medium, through their lifecycles to ensure continuity of essential activities, protect sensitive proprietary information, maintain electronic permanent records to safeguard against unauthorized alteration, removal, or loss of records, and streamline file management standards and procedures for maintaining records in a manner that facilitates ease of use, access, and disposition;

Mandating annual Records Management training for all TTB employees and contractors, ensuring employees and contractors are aware that all Bureau records and non-record materials and information created or received pursuant to conducting government business are the property of the government, ensuring departing employees are briefed that they are prohibited from removing official government information from TTB's control, and providing guidance on electronic records management;

Collaborating with the Chief Information Officer to ensure the authenticity and integrity of electronic record systems to support legal and ongoing business needs, as well as permitting access to the systems by authorized personnel with appropriate encrypted credentials; and

Performing continued review of approved TTB schedules to assist in identifying unscheduled records, as well as to ensure agency records are retained and properly disposed as authorized by the Archivist of the United States.