



## *Senior Agency Official for Records Management 2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 and on the website.

### Instructions for Reporting

- This template covers progress through December 31, 2017.
- 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 - [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.

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

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

*Please provide list*

Alcohol & Tobacco Tax & Trade Bureau (TTB)

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes  
 No

*Please explain your response:*

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

3. **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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.*

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

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes

No

*Please explain your response:*

At this time, TTB is not aware of reorganizations or the elimination of offices and/or functions that would necessitate taking such steps relating to records management.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

Yes

No

*Please explain your response*

The below list provides some active steps taken to facilitate a successful records management program at TTB:

- TTB has a dedicated Records Officer responsible for coordinating and overseeing TTB's records management program;
- TTB has established policies and procedures for file management to ensure that TTB records are maintained in a manner that facilitates ease of use, access, and disposition;
- TTB maintains a network of Records Liaisons within each program and administrative area who are assigned records management responsibilities;
- TTB has implemented the Capstone approach to email records management, including the establishment of policies to ensure that

appropriate senior officials are designated as Capstone officials and that permanent email records are properly maintained until they are to be transferred to NARA; and

- TTB holds mandatory annual records management training for all employees and contractors, and ensures that new and departing employees receive other appropriate training and briefing so they are aware of their records management responsibilities.

**6. Have you, as the SAORM, ensured that all incoming and outgoing senior officials\* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

\*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes  
 No

*Please explain your response:*

TTB maintains procedures to facilitate one-on-one records management training for senior officials, which includes information about:

- Conducting official business strictly on TTB's devices and systems;
- Refraining from comingling personal records with TTB's records;
- Storing and maintaining TTB's permanent electronic records in their electronic format; and
- What information such officials may remove when departing the agency.

**7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

- Yes  
 No

*Please explain your response:*

The steps taken to integrate records management into TTB's information resource management plan are:

- Establishing progressive 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 streamlining 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 that as an agency we 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.

**8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

No immediate assistance is required.