



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: Theresa M. McCarthy

Position title: Assistant Administrator, Headquarters Operations

Address: 1310 G Street, NW, Suite 400, Washington, DC 20220

Office telephone number: (202) 453-2062

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

Please list them below:

Alcohol and Tobacco Tax and Trade Bureau, Department of the Treasury

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

- *establishing formally approved email policies,*
The Bureau's directive TTB O 7230.1C, "Digital Communications Policy for Messaging Systems," outlines the Bureau's email policy. Further planning includes the establishment of the Capstone Email approach for email records management at the Bureau.
- *use of any automated systems for capturing email,*
The Bureau utilizes the Symantec Enterprise Vault product as an automated system for capturing email.
- *providing access / retrievability of your email,*
Email is accessible and retrievable through the use of Microsoft Exchange as a calendaring and mail server. The Bureau users have the Microsoft Outlook product installed on their desktop which serves as a personal information manager and is used to access mail stored within the Microsoft Exchange server. When authorized, the Bureau's system administrators are also able to access and retrieve email stored within the Symantec Enterprise Vault product.

- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*

The Bureau is developing a policy to establish a disposition practice for agency email and is planning to adopt the Capstone Email records management approach which will include disposition practices.

- *possible implementation of the Capstone approach for applicable agency email.*

The Bureau is planning to implement the Capstone approach for email records management which will include the formal designation of Capstone officials, retention and disposition schedules for Capstone and Non-capstone users, and related end user outreach communications.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- (1) Implement the Capstone approach for the positions/billets identified for Capstone, and enforce the GRS standard for all other non-Capstone Bureau staff members.
- (2) Identify Capstone officials and submit completed NA-1005 to NARA.
- (3) Incorporate Capstone officials in Bureau Missions and Organization Directive.
- (4) Implement Capstone user training and communicate changes associated with Capstone e-mail management.

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.

Per the Federal Records Act, language such as, “Federal records must be transferred from personal (non-official) accounts to official accounts within 20 days.” will be inserted in the revised RM Directive and included in prescribed training.

Important note: The Bureau’s policy (TTB O 7230.1C) dictates that Bureau employees and contractors shall not use text or Instant Messaging (IM), for official communication/information that would be considered a record. All official communications are required to be conducted via their official government e-mail account.

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 position regarding official electronic message is to maintain all such communication until the appropriate classification (capstone/non-capstone) is determined.

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.*

- (1) Complete inventory of the Bureau's records was conducted in 2012.
- (2) 147 approved dispositions.
- (3) On-going review of the Bureau's records disposition.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- (1) Continued regular review of the Bureau's records dispositions.

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:*

Permanent electronic records are maintained in that medium to facilitate transfer to NARA at the prescribed time.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

No further action required.

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.

Records at the Bureau, to the greatest extent, are created, routed, signed (digital where authorized), maintained and disposed electronically. The future challenge is incorporating file subject series and the disposition into the automated process.

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 Executive Staff is not governed by periodic Presidential appointment, therefore the Bureau is not directly affected by the upcoming change in the Presidential administration landscape.

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.*

No action required.