



*Senior Agency Official for Records Management  
2018 Annual Report*

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 [rmselfassessment@nara.gov](mailto:rmselfassessment@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: Daniel Riordan
- Position title: Assistant Administrator, Headquarters Operations
- Address: Alcohol & Tobacco Tax & Trade Bureau (TTB)  
Department of the Treasury  
1310 G Street, NW  
Washington, DC 20005

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

*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 implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes  
 No

*Please explain your response:*

- **High-Level View:** TTB maintains policies and systems for the management of electronic permanent records, including policies and systems that provide for proper access and disposition of such records. For example, TTB has an approved directive governing the management of permanent electronic mail records.
- **Operational Activities:** TTB has allocated resources and staff for the management of permanent electronic records. Records management staff consult with stakeholders and review records schedules pertaining to permanent electronic records to ensure that the schedules account for such records and are otherwise up to date. Records management staff evaluate records disposition and transfer processes to identify issues and make improvements if necessary.

- Universal ERM Requirements: TTB manages permanent electronic records in accordance with NARA's policy on Universal ERM Requirements.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

*The Reform Plan states:*

*Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

- Yes  
 No

*Please explain your response (include specific goals and example metrics):*

TTB has developed a preliminary plan to comply with NARA's December 31, 2022 deadline. Elements of this plan include identifying non-electronic permanent records that TTB currently creates and determining whether to maintain those records in, or convert them to, electronic format.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes  
 No

*Please explain your response:*

At this time, TTB's current products and services satisfy our electronic records management needs.

**6. Have you, as the SAORM, established or improved your agency procedures that ensure 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
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- 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. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- 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.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees?** (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes  
 No

*Please explain your response:*

TTB provides role-based records management training to staff on an as-needed basis. Role-based training includes training presentations to new employees and other presentations tailored to specific audiences on specific topics (e.g., training for senior officials on the Capstone approach to email management).

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes  
 No

*Please explain your response:*

TTB's Records Officer (who has responsibility for ensuring proper implementation of TTB's records management directives, policies, procedures, and retention schedules) maintains direct contact with the SAORM on matters that require the SAORM's direction and support.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes  
 No

*Please explain your response:*

No immediate assistance is required.