

*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 rmsselfassessment@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: David F. Eisner
- Position title: Assistant Secretary for Management
- Address: 1500 Pennsylvania Ave NW, Washington DC

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.

Bureaus covered by this report include the Departmental Offices (DO), Treasury Inspector General for Tax Administration (TIGTA), Financial Crimes Enforcement Network (FinCEN), and the Bureau of Engraving and Printing (BEP). This report also includes information for the Special Inspector General for the Troubled Assets Relief Program (SIGTARP), the Treasury Office of Inspector General (OIG), the Bureau of Fiscal Service (FS), and the Community Development Financial Institutions Fund (CDFI).

Bureaus that are not covered in this report include the Office of the Comptroller of the Currency (OCC), the Internal Revenue Service (IRS), the United States Mint (Mint), and the Alcohol and Tobacco Tax and Trade Bureau (TTB). These bureaus will submit reports directly to NARA.

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: In fiscal year 2019, Treasury worked to improve its electronic disposition processes. DO led a Treasury-wide SharePoint upgrade, which included automating records dispositions and applying retentions in SharePoint Records Center. Treasury regularly instructs employees and contractor personnel on managing permanent electronic records in an electronic format. Additionally, Treasury continues to deploy Capstone to ensure that permanent email messages are captured. Treasury is still in the process of deploying Capstone to manage the permanent emails of current employees.

BEP and FinCEN are currently engaged in the inventory of all information created and receive to identify at a bureau level all records and non-records. Their inventories will be used to develop file plans and new records schedules to allow for eventual electronic accessioning.

Over the past several years, Treasury has worked to digitize many of its permanent records, and continues to make progress on this initiative.

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: Departmental Offices has incorporated the four high level requirements of the *Criteria for Successfully Managing Permanent Electronic Records* into Departmental Office's Records Management Strategic Plan.

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): DO is inventorying its permanent and unscheduled records in fiscal year (FY) 2019. In FY 2020, Departmental Offices will perform a "cleanup" to ensure that any remaining permanent paper records are transferred to the Federal Records Center (FRC) ahead of the 2022 deadline. Additionally in FY 2020, if any unscheduled paper records are deemed to be permanent, DO will draft and submit records control schedules to NARA. In FY 2020-2021, DO will explore the feasibility of using contracted storage for temporary paper records.

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: Treasury has considered using Schedule 36 for other records management services, however, such services were not deemed necessary during FY 2018.

- 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: Treasury began briefing all senior officials in prior fiscal years and continues to brief all incoming and outgoing senior officials on their records management responsibilities.

- 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:

Treasury has established a five-year strategic plan for records management to guide records goals and requirements within DO and Treasury bureaus. Treasury bureaus use this guidance to make their own resource determinations for bureau records management programs.

- 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: Treasury did not allocate funding in FY 2018 to develop separate role-based training; however, Treasury plans to develop role-based training as part of efforts to support the transition to a fully electronic records management environment. BEP has developed role based training for certain recordkeeping responsibilities, including dedicated records liaison training.

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: Treasury regularly conducts ad hoc evaluations of its records management programs, and makes changes to these programs as needed.

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

- Yes
- No

Please explain your response: Treasury currently maintains permanent electronic records within the agency's established electronic storage systems. Treasury has experienced challenges transferring electronic permanent records, primarily to the manual nature of the electronic transfers and the volume of records that need to be transferred. These challenges could be overcome if NARA developed the infrastructure for large scale file transfer protocol (FTP) for permanent records which are eligible for retirement to the archives. Additionally, it would be helpful for NARA to publish end-user friendly guidance that agencies could provide to employees, contractors, senior executives, and appointees as part of an overall effort to transition to electronic recordkeeping.