



Senior Agency Official for Records Management 2019 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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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 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.

Please provide list: Bureaus covered by this report: Departmental Offices (DO), Treasury Inspector General for Tax Administration (TIGTA), Special Inspector General for the Troubled Asset Relief Program (SIGTARP), Office of the Inspector General (OIG), Community Development Financial Institutions Fund (CDFI), and Financial Crimes Enforcement Network (FinCEN).

Bureaus which will be reporting separately: Office of the Comptroller of the Currency (OCC), Bureau of the Fiscal Service (BFS), Internal Revenue Service (IRS), U.S. Mint, Bureau of Engraving and Printing (BEP), and Alcohol and Tobacco Tax and Trade Bureau (TTB).

2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)

- Yes
 No

Please explain your response: The Department of the Treasury made some progress towards this goal in fiscal year 2019. The Office of Foreign Assets Control (OFAC) has been managing its permanent records in their original format in an electronic database. FinCEN, SIGTARP, and TIGTA's permanent records are now electronic. At CDFI, all permanent records have been scanned and are in hard-copy and digital format.

However, DO has begun to manage its permanent electronic records, but its records control schedules need to be updated before it begins to accession inactive permanent electronic records to the National Archives. Additionally, OIG is still evaluating the use of SharePoint Records management system for its permanent records.

3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No

Please explain your response (include specific goals and example metrics): The Department of the Treasury has begun working towards this goal by utilizing technology which will create, capture, and maintain appropriate metadata. Its current strategic goals include procuring and deploying technology which will manage metadata for both permanent and temporary records by 2022. Currently, bureaus either utilize technology which creates appropriate metadata for records or are in the process of procuring technology for this goal.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

Please explain your response (include specific goals and example metrics): The Department of the Treasury has begun working towards this goal by utilizing technology which will create, capture, and maintain appropriate metadata. Its current strategic goals include procuring and deploying technology which will manage metadata for both permanent and temporary records by 2022. Currently, bureaus either utilize technology which creates appropriate metadata for records or are in the process of procuring technology for this goal.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

Please explain your response (include specific goals and example metrics): In December 2019, DO published its updated RIM Strategic Plan. The RIM Strategic Plan covers four major performance areas of records management, and includes measurable goals based upon the requirements of the Federal Records Act and other pertinent records management regulations. OFAC, SIGTARP, and FinCEN have

developed their own strategic plans which have been adapted to the needs of their organizations.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

Please explain your response (include specific goals and example metrics): The Department of the Treasury plans to submit an exemption request once the National Archives has established a formal process for exemptions. FinCEN has 353 cubic feet of boxes which are being evaluated for destruction or transfer.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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 (include specific details of procedures): For the past several years, the Department of the Treasury has maintained exit processes to ensure that senior officials understand their responsibilities for records management and that their records are captured prior to departure. All bureaus included in this report conduct exit interviews, require senior officials to complete a removal of information form prior to departure, and capture emails in an electronic system using Capstone.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

- Yes
 No

Please explain your response (include details of specific challenges, if applicable): At the Department of the Treasury, some bureaus have challenges with meeting this goal.

DO does not have the resources to implement fully-electronic recordkeeping. OFAC sees challenges in updating the electronic records databases to manage metadata inputs, storage capacity, and disposition schedule requirements. At both OIG and FinCEN, securing funding for new information technology to support recordkeeping requirements is an ongoing challenge.

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

Yes

No

Please provide details on what support is needed: Some bureaus within the Department of the Treasury need additional support. DO does not have the resources to fully implement fully-electronic recordkeeping. It would be helpful if the National Archives could reduce the amount of burden the agency faces when accessioning permanent records. The current levels of work required for accessioning often cost the agency more than simply keeping records in the agency's legal custody. Additionally, the Department would appreciate more guidance on updating existing records control schedules and obtaining storage exceptions. FinCEN needs additional support for education and program development aid. They are creating aspects of our records program from scratch and having templates and examples would be helpful. As the National Archives continues to develop more training, there are still knowledge area gaps. OIG would like recommendations or options of approved electronic records management systems.

TIGTA and OFAC do not require additional support for this transition.