



Senior Agency Official for Records Management 2023 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2023 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: Anna Canfield Roth
- Position title: Assistant Secretary for Management

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM, and which will be reporting separately?

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), Special Inspector General for Pandemic Recovery (SIGPR), Office of the Inspector General (OIG), Community Development Financial Institutions Fund (CDFI), and Office of Foreign Assets Control (OFAC).

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), Alcohol and Tobacco Tax and Trade Bureau (TTB), and Financial Crimes Enforcement Network (FINCEN).

2. Will your agency meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

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- Yes
 No
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

3. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

- Yes
 No
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

4. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities by June 30, 2024? (Choose all that apply)

- Yes
 No
 Not applicable, my agency does not have agency-operated records storage facilities
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

- Yes, we will transfer to the FRC
 Yes, we will transfer to commercial storage facilities
 No
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)

- Yes
 No

Treasury has an established a Data Governance Board that serves as a vital link among Treasury-wide management functions and provides coordinated leadership, direction, and guidance on matters related to the gathering, analysis, sharing, use, and dissemination of data and information. The Board's members include Treasury's Chief Data Officer, the Deputy Chief Financial Officer, the Chief Information Officer, the Deputy Assistant Secretary for Privacy, Transparency, and Records1, the Chief Evaluation Officer and Deputy Performance Improvement Officer, and the Chief Statistical Official.

In addition to the Data Governance Board, the Office of Privacy, Transparency, and Records works closely with the Office of the Chief Information Officer and Treasury program offices in the development and implementation of Treasury systems, records retention policies, as well as policies, procedures, and processes for new and modified information systems.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?

- Yes
 No
 Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

Our SAORM meets regularly with the Deputy Assistant Secretary for Privacy, Transparency and Records (DASPTR) to discuss current records management initiatives and requirements, such as M-23-07 and DO's implementation of new records management policies and procedures, electronic records management, and Capstone approach to email management.

8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

- Yes
 No
 Not applicable, my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

Treasury DO is actively working to finalize the Digitization policy and procedures to meet NARA's minimum digitization requirements for permanent and temporary records. We plan to incorporate the digitization standards into our IRM in FY 2024

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

Yes

No

Treasury Directive Publication 80-05- Records and Information Management outlines the requirements that bureaus must meet with regard to capturing and maintaining records within social media platforms. Treasury DO is currently drafting internal policy and procedures for social media use, as well as drafting a new record schedule for Treasury DO social media accounts

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

Yes

No

Please explain your response and include any comments on existing, pending, and future topics.