

*Treasury Senior Agency Official for Records Management  
2017 Annual Report*

Provide the following information (required):

- J. Trevor Norris
- Assistant Secretary for Management (acting)
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**1. What agencies, bureaus, components, or offices are covered by this report and your position as SAO?**

This report includes the responses from Treasury Departmental Offices as well as the following Treasury bureaus:

- Bureau of Engraving and Printing
- Office of the Inspector General
- Special Inspector General for the Troubled Asset Relief Program
- Community Development Financial Institution
- Treasury Inspector General for Tax Administration

Please note that the following Treasury bureaus will report separately this year:

- Bureau of the Fiscal Service
- Office of the Comptroller of the Currency
- Internal Revenue Service
- Alcohol and Tobacco Tax and Trade Bureau
- U.S. Mint

**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

The Department of the Treasury has taken the following actions within Departmental Offices and supported the Treasury bureaus in adopting these or taking similar actions:

The Department continues to champion the adoption of electronic content management platforms –SharePoint in the case of Departmental Offices – to manage permanent electronic records. In addition, Departmental Offices is establishing processes to centrally track and coordinate the management of permanent electronic records, enhance internal records management controls on Treasury electronic information systems, and provide training to enhance understanding of electronic records management responsibilities.

**3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

- Yes  
 No

The Department will explore the digitization of permanent analog records once the actions identified in item 2 above have been fully implemented.

**4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

- Yes  
 No

The Department has established a formal process to facilitate the orderly winding down of offices within Departmental Offices, which includes the preservation or disposition of records, as appropriate, and compliance with other information management requirements, and has supported the Treasury bureaus establishing similar processes.

**5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?**

(See: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

- Yes  
 No

The Department has established a five-year strategic plan for records management to guide records goals and requirements within Departmental Offices and Treasury bureaus.

6. **Have you, as the SAORM, ensured that 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

No

The Department has established processes within Departmental Offices to brief all incoming and outgoing senior officials on their records management responsibilities, and has supported the Treasury bureaus in establishing similar processes.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

Yes

No

Please explain your response:

The Department is incorporating records management and recordkeeping requirements in its next Information Resource Management (IRM) plan, and continuing efforts to strengthen the involvement of the Departmental records management program in compliance processes involving federal privacy law, IT governance and information security, and procurement. The Departmental records management program continues to work with the Office of the Chief Information Officer to fully incorporate records management requirements in future revisions to the Departmental IRM plan.

**8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

The Department recommends that NARA develop policies, guidance, and IT mechanisms to support the direct, electronic transfer of permanent and temporary records to NARA.