



Senior Agency Official for Records Management 2020 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: Emily W. Streett
- 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

Alcohol & Tobacco Tax & Trade Bureau (TTB)

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

Yes

No

Do not know

Please explain your response (include details of specific challenges, if applicable):

TTB allows for the electronic submission of the vast majority of its required filings and was thus well positioned to continue operations during the COVID-19 pandemic. For limited cases where routine electronic filing is not yet fully operational, TTB has authorized filing flexibilities to the maximum extent possible during the pandemic. For example, TTB developed online solutions to enable the electronic filing of tax claims, which helped get refunds back in the hand of taxpayers when they needed it the most.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

Yes

No

Do not know

Please provide details on what support is needed:

The SAORM and RM staff maintain relationships with the CIO and other managers of TTB data and information to ensure that records are maintained consistent with records management requirements.

4. 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
- Do not know

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

RM staff continue to coordinate with TTB offices that maintain permanent records to ensure all such records will be maintained in an electronic format by December 31, 2022. TTB believes most categories of permanent records are currently maintained in an electronic format, and TTB is making progress toward solutions for the remaining records that are not currently maintained in electronic format.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

RM staff continue to coordinate with TTB offices to ensure that all temporary records will be maintained in an electronic format by December 31, 2022. Based on work conducted to date, TTB believes most categories of temporary records are currently maintained in an electronic format, and TTB is making progress toward solutions for remaining records that are not currently maintained in electronic format.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
- No

Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

One of TTB's key strategic objectives is to optimize its electronic systems. TTB has deployed system enhancements to its online systems for processing label and formula applications, and TTB has redesigned its online permit system to make electronic permit filing easier. Going forward, TTB intends to implement phased releases to its tax system, including developing a custom external interface for electronic tax filings. These improvements support records management processes since these systems are the primary means through which electronic records are created and maintained.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

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

8. **Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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

Do not know

Please explain your response (include specific details of policies and procedures):

TTB requires that departing employees complete a form to ensure that no records are improperly removed. Departing employees also review informational materials as part of this process to ensure that remaining records are properly captured and/or processed. RM staff meet with newly appointed senior officials on an individual basis to inform them of records management requirements, and RM staff ensure that Capstone requirements for such newly appointed officials are applied as soon as possible upon appointment to ensure appropriate retention of email records.

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

- Yes
- No
- Do not know

Please explain your response (include details of specific challenges, if applicable):

TTB sees some remaining challenges in meeting the goal of fully-electronic recordkeeping. Although TTB has transitioned many of its processes to an electronic environment, TTB is still working on transitioning some remaining processes. For example, TTB made progress this past year in converting the printing and signing of some paper documents to electronic processes, but some work remains to be done in this area.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):