



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: Gail Davis
- Position title: Acting Assistant Administrator,
Headquarters Operations
- Address: Alcohol and Tobacco Tax and 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 also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list:

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:

TTB's permanent electronic records are maintained in their electronic medium to preserve their authenticity and facilitate ease of transfer to NARA at the prescribed time.

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):

During FY 2019, records management staff met with TTB offices that maintain permanent records to conduct a survey of their current recordkeeping practices and to provide options to those offices for transitioning to all-electronic recordkeeping. Records management staff are continuing this work in FY 2020. In addition, TTB has completed a migration of records and information to SharePoint 2013, which supports the maintenance of electronic records and appropriate metadata.

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):

As part of the FY 2019 meetings discussed in the previous question, records management staff have conducted preliminary work to identify temporary records that are not maintained in electronic format and to develop plans for a transition to electronic format. TTB is continuing those efforts in FY 2020.

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):

TTB's compliance with the Federal Records Act is supported by the following:

- TTB has a dedicated Records Officer responsible for coordinating and overseeing TTB's records management program;
- TTB has established policies and procedures for file management to ensure that TTB records are maintained in a manner that facilitates ease of use, access, adequate security, and disposition;

- TTB maintains a network of Records Liaisons within each program and administrative area who are assigned records management responsibilities;
- TTB ensures that record schedules are updated as necessary to reflect transitions to electronic recordkeeping environments; and
- TTB requires annual records management training for all employees and contractors, and ensures that new and departing employees receive other appropriate training and briefing so they are aware of their records management responsibilities.

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):

Not applicable. TTB does not maintain an agency-operated records center.

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):

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. These materials also emphasize that:

- Criminal penalties may apply for the unlawful removal or destruction of Federal records;
- It is prohibited to destroy information subject to litigation hold; and
- It is prohibited to initiate a records archive outside of TTB's control.

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):

TTB sees some challenges in meeting the goal of fully-electronic recordkeeping. Although TTB has transitioned many of its processes to an electronic environment, some processes are not yet fully electronic due to various factors. For example, some processes still require physical printing and signing of documents, and work remains to be done to transition such processes to an electronic environment. In addition, TTB maintains some permanent records in non-electronic format that are not due to be transferred to NARA prior to 2023, and TTB needs to determine how it will transfer such materials consistent with NARA's recent directives.

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: