



Consumer Financial  
Protection Bureau

1700 G Street, N.W., Washington, DC 20552

March 15, 2018

The Honorable David S. Ferriero  
Archivist of the United States of America  
National Archives and Records Administration  
700 Pennsylvania Avenue, NW  
Washington, DC 20408

RE: Senior Agency Official Annual Report

Dear Mr. Ferriero:

In accordance with part 1, goal 1.1 and 1.2, and part 3, A4 of the August 24, 2012, Office of Management and Budget (OMB) / National Archives and Records Administration (NARA) Managing Government Records Directive (M-12-18), the Consumer Financial Protection Bureau (the Bureau) conducted an evaluation of its records management program and has developed this Senior Agency Official (SAO) Annual Report. This SAO Annual Report documents the Bureau's continuous progress toward the successful implementation of the OMB/NARA Managing Government Record Directive (M-12-18).

*Name of SAORM: Mr. Sartaj Alag*  
*Position Title: Chief Operating Officer*  
*Address: Consumer Financial Protection Bureau*  
*1700 G Street, NW Washington, DC 20552*  
*Office Telephone Number: 202-435-7505*

1. What are the agencies, components, or bureaus covered by this report and your position as SAORM?
  - The Consumer Financial Protection Bureau
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

*Please explain your response:*

The Bureau continues to make progress in selecting an effective system that will manage all permanent electronic records in electronic format. The progress this year will include the following actions:

- i. Completing User Testing Design;
- ii. Developing Technical Evaluation Requirements for Procurement;

- iii. Completing an Acquisition Package;
- iv. Releasing RFP;
- v. Conducting User Testing; and
- vi. Awarding a Contract.

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, and analog audio)? (M-12-18 Goal 1.1)

- Yes  No

*Please describe your specific plans or actions:*

The Records Management Office annually digitizes all permanent hard copy Federal records as a part of its standard operating procedures.

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

*Please explain your response:*

The Records Management Office developed and implemented a uniform records management file code system that links the Bureau's records disposition schedules to a numerical labeling scheme that tracks records regardless of its originating office. This system mitigates the risk of unauthorized removal of records during elimination of offices and/or functions and re-organizing.

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

*Please explain your response:*

The Records Management Office is strategically located in the Bureau's Operations Division, and the Records Officer plays an important role in communicating resource needs to senior leadership, and promotes effective records management best practices and requirements across the Bureau.

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

*Please explain your response:*

The Records Management Office completes the following actions to ensure that incoming and outgoing senior officials receive informational briefings and training on their specific records management responsibilities. This includes documenting their public services, use of personal email, and other recordkeeping requirements.

- i. Conducts a records management briefing as part of their orientation;
- ii. Conducts groups and in person records management briefings;
- iii. Conducts web-based records management training annually;
- iv. Publishes Email, Text and Instant messaging guidance bi-annually; and
- v. Conducts records management departure briefings.

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 Records Management Office plays a significant role in ensuring that the Bureau's information management resources that manage or store Federal records migrated those records prior to system termination, and that new systems operate to support records management requirements.

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 National Archives and Records Administration's development of Universal-Electronic Records Management requirements will prove to be extremely helpful with transitioning to electronic recordkeeping.

Contact information:

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Sincerely,

  
Sartaj Alag  
Chief Operating Officer