



## *Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 [rmselfassessment@nara.gov](mailto:rmselfassessment@nara.gov). Include the words "SAORM 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 **Keith Vaughn**
- Position title **Chief Information Officer**
- Address **500 E Street SW Washington, DC 20436**

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: U.S. International Trade Commission*

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:*

*- Permanent records are created electronically and are stored in either EDIS or in the Shared Network. The RO works with the offices to retain these permanent records (and their metadata) electronically.*

*-Email records of Capstone officials are maintained and retained electronically in the cloud.*

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes**
- No**

*Please explain your response:*

*Records schedules in place for permanent records. Procedures are in progress. Only certain offices in the Commission create permanent records so procedures are tailored to these offices' needs.*

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will**

**no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

*The Reform Plan states:*

*Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

**Yes**

No

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

*Most of the agency's records are created and stored electronically. Any existing permanent records in paper format will be transferred to the Federal Records Centers before 2022.*

**5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

Yes

**No**

*Please explain your response:*

*Solutions for transitioning to an electronic environment are already in place.*

**6. Have you, as the SAORM, established or improved your agency procedures that ensure 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

**Changes were unnecessary ([click here](#) for your agency's 2017 report)**

- No, changes are being considered but have not been made
- No

*Please explain your response:*

*USITC has agency procedures that ensure 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 in place. These procedures were reviewed and no changes were deemed necessary.*

7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

*The SAORM supports the records officer and provides the appropriate resources in order to manage the agency's records effectively.*

8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
- No

*Please explain your response:*

*The SAORM ensured that records management training is mandatory for all staff. The records management program is also included in the USITC Strategic Plan.*

9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
- No

*Please explain your response:*

*Part of the records officer's performance plan is to audit and evaluate records management processes in offices.*

**10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

*Please explain your response:*

***No need for NARA's assistance. Solutions for transitioning to fully electronic recordkeeping are already in place.***