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 rmselfassessment@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 **Keith Vaughn**
- Position title **Chief Information Officer**
- Address **500 E St. 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.**

   U.S. International Trade Commission

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   ☑**Yes**
   ☐ N o

   Please explain your response:
   - Permanent records are created electronically and are stored in either EDIS or in the Shared Drive. The Records Officer 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.
   - When these records meet retention, they will be packaged and transferred to the National Archives in accordance with the appropriate USITC records disposition schedule.

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**
   ☐ N o

   Please explain your response (include specific goals and example metrics):
   - Permanent records are created electronically and are stored in either EDIS or in the Shared Drive. The Records Officer 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.

- When these records meet retention, they will be packaged and transferred to the National Archives in accordance with the appropriate USITC records disposition schedule.

4. **Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

   ☑ **Yes**
   ☐ N o

   Please explain your response (include specific goals and example metrics):
   Temporary records are created electronically and stored in either SharePoint for collaboration purposes or in the Shared Drive. The Records Officer works with offices to manage the temporary records electronically throughout their lifecycle.

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**
   ☐ N o

   Please explain your response (include specific goals and example metrics):
   USITC has a robust records management program. The Records Officer holds the NARA Certificate of Federal Records Management training and is aware of NARA's Agency Records Officer Credential Training and Renewal Policy. Agency personnel are annually informed of their records management responsibilities via an online records management training course. In the future, records management training will be online and classroom. All USITC records either have an existing NARA-approved records schedule that covers their disposition or a records schedule that is in development.

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)**

   ☐ Y es
   ☐ N o

   Please explain your response (include specific goals and example metrics):
   Not applicable. USITC does not operate its own 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**
   ☐ N o

   Please explain your response (include specific details of procedures):
   The Agency Records Officer and the Office Records Liaisons use a hands-on approach when senior officials leave the agency. All of their records (electronic and in some cases, paper) are captured and disposed of appropriately.

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

   ☐ Y es
   ☑ **No**

   Please explain your response (include details of specific challenges, if applicable):
   The USITC has solutions in place to meet the goal of fully electronic recordkeeping.

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

   ☐ Y es
   ☑ **No**

   Please provide details on what support is needed:
   No need for NARA's assistance. Solutions for transitioning to fully electronic recordkeeping are already in place.