The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive* transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 PRMD@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   **Acting Chief Information Officer**
- Address   **500 E Street SW Washington, DC 20436**
- Office telephone number   **202-205-2026**

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

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:
- **Revised records disposition schedule for permanent records to make them media-neutral (current records disposition schedules are paper-based)**
- **Provided guidance in the agency records management handbook on how to manage and maintain records electronically**
- **Digitizing hard copy records and making the electronic copy the recordkeeping copy**

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

☐Yes
☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

USITC is digitizing its paper records and categorizing the electronic copy as the recordkeeping copy after the appropriate verification process. This process is the same for both permanent and temporary records. USITC is also producing permanent records electronically; these are the recordkeeping copies. All other copies, whether paper or in any other format, are identified as reference or convenience copies in the office file plan.

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

In the event of a re-organization, USITC has plans to ensure the records of an office or a function that may be eliminated is accounted for. This involves ensuring the records in shared drives as well as in the agency's email system are completely backed up to include its applicable metadata. Any records that the agency needs for business use will be accessible to staff. Any paper records no longer required for business use will be stored in the agency's records storage facility. Electronic records and email records no longer required for business use will be archived in the agency's archiving system. If needed, both paper records and electronic records that are archived are readily available to staff until they are disposed of.

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

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 Agency Records Officer, under instructions from the SAORM, meets with senior officials and their staff to ensure the proper management of agency records.

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 USITC Strategic Plan includes the records management program and related 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)

More guidance and support from NARA on records management in cloud computing. NARA issued bulletin 2010-05, Guidance on Managing Records in Cloud Computing Environments. Because more and more agencies are migrating their records to the cloud, it would be beneficial for all if NARA provided updated guidance that would be applicable to all types of records and to all agencies.