



## *Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

**The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.**

NARA plans to post your 2022 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 on our website.

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Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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](mailto:rmsselfassessment@nara.gov). Include the words “SAORM 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

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 provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.*

**U.S. International Trade Commission**

**2. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

- Yes
- No
- Not applicable, no adaptations were needed
- Do not know

*Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)*

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- Use of Teams as the internal messaging tool with policy that categorized Teams chat messages as transitory records with a retention of 30 days.
  - Movement of email system (Outlook) to the cloud
  - Use of SharePoint as a document management tool
  - Standard operating procedures created and maintained that improves the management of records in information systems

3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

Yes

No

Do not know

*Please explain your response with specific actions taken, challenges and results.*

**USITC manages and preserves all permanent records in an electronic format with the appropriate metadata. Permanent records that have met retention in accordance with the applicable USITC records disposition schedule are packaged and accessioned into the National Archives. There are no challenges identified.**

4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

Yes

No

Do not know

*Please explain your response with specific actions taken, challenges and results.*

**USITC manages and preserves all temporary records in an electronic format. Temporary records that have met retention in accordance with the applicable NARA General Records Schedules (GRS) or the USITC records disposition schedules are disposed of appropriately. There are no challenges identified.**

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?

Yes

No

Not applicable, all records are in electronic format

Do not know

*Please explain your response with specific actions taken, challenges and results.*

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USITC uses a commercial records storage facility to store temporary hard copy records until retention is met in accordance with the applicable NARA GRS or the USITC records disposition schedules. Once retention is met, these temporary analog records are disposed of appropriately.

6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)

*Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).*

Yes

No

Do not know

*Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.*

**Standard operating procedures and policies are created and maintained that improves the management of records and data in information systems.**

**A variety of internal working groups ensures that records management is integrated with USITC information lines of business. Along with these working groups, the Records Officer builds and maintains a fruitful and positive working relationship with the CIO/SAORM, Security, the Privacy Officer, and the FOIA Office.**

7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

*Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))*

Yes

No

Do not know

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*Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.*

**USITC manages and preserves all email in the cloud. Users, especially Capstone officials, are instructed to delete personal emails and non-record emails. Departing users are contacted by the Records Officer and reminded of their records management responsibilities with regards to their email.**

**Email records of Capstone officials are preserved offline and retained in the Commission for 15 years in accordance with the NARA GRS. After retention is met, email records are packaged and accessioned into the National Archives.**

**Teams chat messages are categorized as transitory records with a retention of 30 days. Users are reminded of their responsibility to use Teams chat for messages that can be categorized as transitory records. When chat transitions from transitory record topic to non-transitory record topic, users are instructed to move the chat to email where the records are captured and preserved in accordance with the applicable NARA guidance.**

**8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

*Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.*

**Yes**

No

Do not know

*Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)*

**The Agency Records Officer is exploring technologies that identifies records and distinguishes between temporary and permanent retention. These technologies include e-Discovery tools and artificial intelligence tools that could automate the records management process and remove this burden from users.**

**9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

**Yes**

No

Do not know

*Please explain your response including what specific measures you have incorporated into the SAORM role.*

**The USITC records management program includes constant evaluation of its effectiveness through monitoring for compliance with NARA-approved records disposition schedules throughout the records lifecycle by the Agency Records Officer and records liaisons. Evaluation findings are reported to senior management to include**

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the Chairman of the USITC and the SAORM. The program also utilizes the services of records management staff and the Office of the General Counsel to ensure compliance with all statutes and regulations. The status of these services is reported in the Statement of Assurance reporting.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

- Yes
- No
- Do not know

*Please explain your response and include any comments on existing, pending, and future topics.*

**The level of support and guidance is sufficient.**

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

- Yes
- No
- Do not know

*Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.*

**The level of engagement is sufficient.**