



United States Department of State

Washington, D.C. 20520

March 28, 2018

Dear Mr. Ferriero:

The Department of State is pleased to provide the Senior Agency Official for Records Management 2017 Annual Report.

The Department reaffirms its enduring commitment to preserving and managing its federal records. We recognize the correlation between a robust records management program and managing information as a strategic resource.

We have made noteworthy progress over the past year toward meeting the goals outlined in the Managing Government Records Directive (M-12-18). We implemented a solution that meets NARA success criteria for M-12-18 Goal 1.2. Our progress in managing information as a strategic resource as well as our plans to meet the (M-12-18) Goal 1.1 are described in our report.

We look forward to continuing our close collaboration with you and your staff on the implementation of these important initiatives. My point of contact for this effort is Eric F. Stein, Director, Office of Information Programs and Services. He may be reached at 202-663-2190 or at SteinEF@state.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "William E. Todd".

Ambassador William E. Todd
Deputy Under Secretary for Management

Enclosure:

As stated.

The Honorable

David S. Ferriero,

Archivist of the United States



*Senior Agency Official for Records Management
2017 Annual Report*

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: William E. Todd
- Position title: Deputy Under Secretary for Management
- Address: 2201 C Street, NW #6254
Washington, DC 20002
- Office telephone number: 202-647-5942
- Email: [REDACTED]

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

The Department of State

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

The State Department continues to make progress towards meeting Goal 1.1 of M-12-18. Over the course of Calendar Year (CY) 2017, the Department began drafting updated records retention policies to accurately reflect the electronic workflow processes that dominate the Department's business methods. This effort will provide an up-to-date inventory of all Federal records produced within the Department and will eliminate the need for paper-based recordkeeping, except in the limited circumstances it is required, and this effort will also increase the Department's compliance with M-12-18, Goal 1.1.

The Department also began phasing in the migration to the Office 365 (O365) and the Azure cloud environment, which provides the Department with increased electronic records management functionality. The Department's Electronic Records Management Working Group (ERMWG), the intra-agency body overseeing the implementation of this mandate, established a sub-working group to identify how it may leverage these capabilities to meet Goal 1.1 through the use of O365 Security and Compliance Center tools and other Azure functionality.

The Department continues to enhance the functionality of its DoD 5015.2-compliant archiving application known as the Electronic Records Service Center (eRSC). The eRSC electronically manages the Department's inactive permanent electronic records. The eRSC allows posts and domestic offices to retire permanent electronic records to the Office of Information Programs and Services for preservation, search, retrieval, declassification review, and eventual transfer to NARA.

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

The Department recognizes that digitizing all permanent paper and other permanent analog records as an agency-wide practice may not always be feasible and can impose increased lifecycle costs. The Department allows the custodians of permanent paper and other permanent analog records to evaluate and implement the digitization of these records based on their specific mission needs. Pursuant to an internal directive, it is required that those seeking to implement digitization projects contact the Office of Information Programs and Services for customized guidance to ensure compliance with the Federal Records Act, federal regulations, NARA bulletins, and the records disposition schedules.

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

The Department is currently updating its retention policies and generating an up-to-date records inventory through a data call process, and on-site records appraisals of all Department offices. Department bureaus and offices will verify the accuracy of the office-level records inventory with the Agency Records Officer and address any re-organizations or changes in office functions as they occur to ensure record keeping requirements and other records management needs are met.

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

The Department underwent a Redesign effort in CY2017 that was a joint State Department-USAID initiative which examined our processes, our workforce, and our technology. The goal of the Redesign was to find ways to make our agencies more effective and identify obstacles that prevented us from most effectively accomplishing our mission. Consequently, the implementation of plans generated during the 2017 Redesign for modernizing elements of the State Department

and for strengthening our leadership training and development are currently underway. There are specific goals of this effort that will have a positive impact on the Department's records management program. Additionally, the Electronic Records Management Working Group (ERMWG) is a Department-wide working group to leverage resources and support from all levels of the Department to meet the specific records management goals such as those within OMB Directive M-12-18.

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

The most senior officials within the Department, to include the Secretary of State, Deputy Secretary, Undersecretaries, Coordinators, and Special Envoys, receive a custom briefing from the Agency Records Officer and/or the Executive Secretariat on their records management responsibilities. Additionally, records management responsibilities for all Department personnel, including senior officials, are communicated in a publication by the Office of Information Programs and Services entitled, "*Government Records Briefing Book for All Department of State Employees.*" Currently under development is a mandatory, web-based records management training which will be required to be taken annually for all Department personnel, including senior officials. This training will meet all requirements pursuant to NARA bulletin 2017-01.

Furthermore, through the use of Department-wide internal communications such as Department Notices and ALDAC's (All Diplomatic and Consular Posts), the SAORM and the Records Management Program Office regularly remind senior officials and all Department personnel of their records management responsibilities.

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

The Department has included records management as a key component of its information resource management strategy and will continue to expand the critical role of records management within the broader context of information management. The Electronic Records Management Working Group (ERMWG) has been at the forefront of the Department's information resource management strategy since its creation in 2013. In October 2015, the Department developed the Cloud Computing Governance Board (CCGB). The Office of Information Programs and Services, the delegated office with program authority for records management, is a sitting member of the CCGB. The CCGB consists of experts in records management, data security, privacy, procurement and acquisitions, and the law. The CCGB provides Department-wide direction, policy, and governance requirements for cloud adoption.

The Department's IT Strategic Plan has a monitored goal to define and implement standard policies, procedures, formats, and tools for managing all permanent electronic records electronically by December 2019. The Department is focusing its efforts on identifying all systems that contain or may potentially contain permanent electronic records, establishing records management standards for new Department systems, reducing the quantity of stove piped systems, and enhancing interoperability between electronic content management systems to improve all phases of records lifecycle management.

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 Department is a proponent of moving toward full electronic records management, and digitization, however, we have some serious concerns with the following:

NARA Strategic Goal 2.4 states: "By FY 2020, NARA will have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping...that NARA will offer digitization guidance and success criteria."

The goal does not state if NARA will provide services or encumber the cost burden of large scale efforts associated with the digitization efforts reflected, for example, in the following excerpt of a goal within the same strategic plan.

NARA Strategic Goal 3.2 states: "By December 31, 2022, NARA will, to the fullest extent possible, no longer accept transfers of permanent or temporary records in analog formats and will accept records only in electronic format and with appropriate metadata"

The Department recommends that NARA explicitly define the media types that are considered "analog format." We recommend that NARA conduct a cost benefit analysis that accounts for the budget impacts this policy will have on all federal agencies prior to establishing the timeline outlined in NARA Strategic Plan Goal 3.2 and revise Strategic Plan Goal 2.4 to assist federal agencies in encumbering that cost burden.

Additionally, it is recommended that NARA evaluates the downstream effects that this policy can have on declassification programs, interagency agreements with the Federal Record Centers, and its impact on public access and research communities. NARA Goal 3.2 will create a hazard in the sense that federal agencies may have to delay the transfer of permanent historically valuable information to NARA because that information is encapsulated in an analog format that was previously approved by the Archivist via the SF-115 Request for Records Disposition Authority which NARA is now positioned no longer to accept after December 31, 2022. Furthermore, Federal agencies may not have the funding to digitize their analog holdings that NARA once considered (and still considers) the official record copy in a timely fashion. Consequently, this may impact NARA's mission "to provide public access to Federal Government records in our custody and control" if federal agencies are incapable of transferring those most historically valuable federal records due to this policy adjustment.