United States Department of State

Washington, D.C. 20520

The Honorable
David S. Ferriero
Archivist of the United States

Dear Mr. Ferriero:

The Department of State is pleased to provide the Senior Agency Official for Records Management 2018 Annual Report.

The Department has continued to make progress over the past year toward meeting the goals outlined in the Managing Government Records Directive (M-12-18). We implemented mandatory training for all Department personnel, launched a two-year development project to enhance our corporate archive, and commenced a project to revise our records disposition schedules. We are on target to meet Goal 1.1 of M-12-18 as 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,

William E. Todd
Deputy Under Secretary for Management

Enclosure:
    As stated.

Senior Agency Official for Records Management
2018 Annual Report

NATIONAL
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CHIEF RECORDS
OFFICER

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. 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 Todd
- Position title: Deputy Under Secretary for Management
- Address: 2201 C Street, NW #7207
  Washington, DC 20002
- Office telephone number ████████████
- Email ████████████

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:

   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)**

   X Yes
   ☐ No

   Please explain your response:

   The Department is on target to meet the December 2019 deadline. The Department continues to build on the successful implementation of eRecords by evaluating, testing, and expanding its technical capabilities which will allow the archive to become the repository for all permanent electronic records by the end of the calendar year. These electronic records will be managed in accordance with revised records disposition policies and in accordance with NARA's electronic records management success criteria. Furthermore, plans are underway to migrate disparate electronic archives and repositories into eRecords making it the Department's central archive for legacy permanent electronic records. Alongside this effort, the Department recognized that a key component to success in digital records management is to conduct a sweeping update to its records disposition schedules as there were over 6,700 records schedule items that pertained to legacy hardcopy holdings or did not recognize records in electronic format as the record keeping copy. The Department collaborated with NARA leadership and appraisal staff prior to launching a records disposition schedule revision project to ensure both agencies were in strategic alignment. The Department continues to collaborate with NARA and has to date implemented a 90 percent reduction of records schedule items. Our close collaboration with NARA ensures the Department is firmly aligned with M-12-18 success criteria and other Federal Records Act requirements.

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)?**

X Yes

☐ No

Please explain your response:

The Department's Electronic Records Management Working Group (ERMWG) continues to leverage resources and support from diverse program areas of the Department, including records management, information technology (IT), cyber security, budget planning, the historians, technical experts, and senior leadership, to meet the goals pursuant to M-12-18. The ERMWG continues to track, implement and provide senior level engagement on all milestones to meet all M-12-18 deadlines. Additionally, the Bureaus of Administration and Information Resource Management recently signed a joint Memorandum of Agreement (MOA) to develop, modernize and enhance the eRecords corporate archive. This MOA is the blueprint for all IT-related activities pursuant to M-12-18 Goal 1.1 success criteria.

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.

X Yes

No

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

The Department is on course to meet Goal 1.1 of the MGRD. All born-digital permanent electronic records will be managed electronically and will therefore be transferred to NARA electronically.

Up until the release of OMB Directive M-12-18 and the Department's initiative to become compliant, the Department followed both NARA's "Print and File" guidance and NARA-approved records disposition policies that mandated paper as the official recordkeeping medium of permanent records. In September 2014, NARA released

bulletin 2014-06 that noted "Print and File" was a problematic medium for preserving records. While the Department began transitioning to electronic records management in 2015, permanent paper records produced until this time continue to be the bulk of its permanent record holdings.

The Department conducted a Rough Order of Magnitude (ROM) estimate, which estimates the cost and required level of effort to complete such an extensive digitization project of its permanent hardcopy records that reach eligibility for transfer after December 31, 2022, and the figure exceeded $20 million. The Department's Federal Records Program is not currently funded to execute a project of this magnitude. Additionally, the Department holds many forms of physical records, some of which present unique obstacles because the hardcopy document is the record keeping medium such as original bound treaties. The Department recommends that NARA carefully consider the deeper resource, policy, cost and other administrative implications associated with this unfunded mandate. The Department requests that NARA factor in the digitization cost burden and assist agencies to digitize content it once required by policy to be retained in hardcopy format and establish a reasonable cutoff for no longer accepting paper records.

5. **Is your agency utilizing <u>General Service Administration's Schedule 36</u> to procure solutions to assist in transitioning to an Electronic Environment?**

    X Yes
      No

    Please explain your response:

    The Department leverages GSA's Schedule 36 to procure contracting staff to support the Bureau of Administration which is the bureau responsible for the Department's Federal Records Act program.

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.

    X Yes
    ☐ Changes were unnecessary (click <u>here</u> for your agency's 2017 report)
    ☐ No, changes are being considered but have not been made
    ☐ No

Please explain your response:

The Department released its mandatory, web-based training course "PK217 Records Management for Everyone" to help ensure that all Department personnel, including senior officials, receive training on their records management responsibilities. This course is based upon requirements set forth in NARA bulletin 2017-01. Department personnel are required to take the course annually, though the Department may deliver an analogous in-person training to certain senior level officials. Approximately 62,000 personnel have taken the course since launch in September 2018.

Additionally, the Executive Secretariat Staff and the Agency Records Officer provide in-person onboarding and departure briefings for the Department's most senior officials and their staff. These briefings advise the recipients of their record keeping requirements pursuant to the Federal Records Act and the Department's records disposition schedules.

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*)**

        X Yes
        ☐ No

Please explain your response:

The Department's records management program, in partnership with acquisitions, budget and planning, and information resource management, received increased central IT funding for eRecords development, modernization and enhancements. The increased funding supports increased capabilities to meet M-12-18 Goal 1.1 success criteria as well as the development of machine learning, natural language processing and other forms of artificial intelligence to increase Federal Records Act compliance.

The Department continues to prioritize the records management program via the ERMWG, which is crucial to increasing program success. Additionally, Department-wide records management collaboration continues to grow. This collaboration ensures a holistic approach to integrating Federal Records Act program requirements into the Department's business processes and IT initiatives.

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*)**

        X Yes
        ☐ No

Please explain your response:

The Department launched its mandatory web-based records management training course *Records Management for Everyone* (PK217) in September, 2018. All State Department personnel (Civil Service, Foreign Service, Locally Employed Staff), contractors (PSC and Third Party), and other agency personnel who have access to the Department's networks are required to complete the course once each calendar prescribed in the statutory requirements of the Federal Records Act and mandated by the U.S. National Archives and Records Administration (NARA) Bulletin 2017-01. As noted above, the Department may deliver an analogous in-person training to certain senior level officials. Approximately 62,000 personnel have taken the course since its launch in September 2018.

Consistent with years past, the Department continues to conduct role-based records management courses at the Foreign Service Institute for Information Management Officers and Office Management Specialists (Post Records Liaisons). Additionally, the Bureau of Administration hosts workshops for Bureau Records Coordinators (Domestic Records Liaisons) where records management policy, procedural updates, industry trends and other items that impact the Department's Federal Records Program are discussed.

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?**

      X Yes
      ☐ No

Please explain your response:

The SAORM delegated the records program authority to the Bureau of Administration's Office of Global Information Services (A/GIS) and to the ERMWG to conduct audits and evaluations of the records management program implementation. Additionally, the SAORM is the signing official on Department-wide internal communications for matters concerning the Federal Records Act Program.

A/GIS is responsible for the program implementation and monitoring of the Department's Federal Records Management program. A/GIS monitors the Department's compliance with records disposition policies by tracking permanent records transferred (retired) from all Department domestic bureaus and overseas posts. A records-retirement dashboard on the Department's intranet site provides bureaus and posts with a real-time snapshot of their records retirement compliance pursuant to their records disposition schedules. A/GIS routinely communicates with domestic bureaus and posts to ensure retention schedules are being implemented.

Compliance with the transfer of permanent records to NARA and enhancements to the eRecords archive are tracked as a part of the Bureau of Administration's Functional Bureau Strategy (FBS) with goals set every fiscal year. The FBS is reported to the

SAORM and is incorporated into the broader Department strategy. Additionally, A/GIS regularly destroys temporary records pursuant to the records disposition schedules.

The ERMWG continues to oversee all progress related to OMB M-12-18 which includes an update to the Department's records disposition policies in support of Goal 1.1 of the Managing Government Records Directive (MGRD). The ERMWG reports progress to the SAORM on all of its efforts.

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

    X Yes
    ☐ No

Please explain your response:

The Department recommends that NARA collaborate with the Department to consider providing services required to implement any proposed changes outside of OMB Directive M-12-18 regarding the transition from paper to fully electronic recordkeeping, subject to the availability of funding. NARA's strategic plans and the subsequent regulation or directives must include specific agency considerations such as funding, IT enhancements and certain legal constraints to allow for a realistic strategy and timeline to attain full electronic recordkeeping. The Department looks forward to this collaboration with NARA.