Originally received as separate documents, these documents have been combined with the report for posting to the NARA website.

United States Department of State

Washington, D.C. 20520

March 17, 2017

Dear Mr. Ferriero:

The Department of State is pleased to provide the following report on its progress in meeting the goals of the Managing Government Records Directive (MGRD).

We take this opportunity to reaffirm the Department's longstanding commitment to preserving and managing its records. We recognize the association 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 MGRD. We implemented a solution that adopts General Records schedule 6.1 "Email Managed Under a Capstone Approach." The solution captures, categorizes, preserves, and makes retrievable all record emails that are sent or received on the Department's centralized email systems. The details of these accomplishments, our progress, as well as our plans to meet the 2019 goal for managing permanent electronic records electronically are described in our report.

We look forward to continuing our close collaboration with you and your staff on the continued implementation of these important initiatives. My point of contact for this effort is Timothy Kootz, Agency Records Officer. He may be reached at 202-203-7257 or KootzTJ@State.gov.

Sincerely,

Larry L. Palmer

Larry L. Palmer
Deputy Assistant Secretary
Global Information Services

Enclosure:
As stated.

The Honorable
David S. Ferriero,
Archivist of the United States

Senior Agency Official for Records Management
2016 Annual Report

NATIONAL ARCHIVES
OFFICE *of the* CHIEF RECORDS OFFICER

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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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.

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

Please list below

The Department of State

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

☐ Yes

X No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

The Department has met the target goal to manage all email records in an electronic format on its centralized email systems pursuant to NARA success criteria. These centralized email systems account for the overwhelming majority of emails that are sent or received throughout the conduct of Department business. The Department is actively working on developing robust search and access functionality for its centralized email repositories. However, the Department does have additional email systems that require further evaluation before we will certify that all email records are managed in an electronic format. The evaluation of these non-centralized email systems are of the highest priority for the Electronic Records Management Working Group (ERMWG) and the Department is actively pursuing all means necessary to fully meet this goal.

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

X Yes
☐ No

If No, please list which part of your agency or components did not and why?

The Department analyzed its holdings and collaborated with NARA to address the remaining paper and other non-electronic accessions that were reported as unscheduled within the Federal Records Centers (FRC). As reported for the previous year, many of these items were not truly unscheduled and merely needed a reappraisal and a subsequent change in their disposition code. Currently, a small number of items are being reported as unscheduled on the FRC report. The Department is actively working with the FRC to recode these last remaining discrepancies. All unscheduled items that the Department reported in the previous year have had draft records disposition schedules submitted to NARA for approval.

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

X Yes
☐ No

If Yes, please describe this progress.

Leveraging the experience gained from implementing M-12-18 Goal 1.2, the Department's Electronic Records Management Working Group (ERMWG) has prioritized closing out M-12-18, Goal 1.2 and is taking policy, technology, and records life-cycle actions toward meeting M-12-18, Goal 1.1. In 2016, the SAORM approved a strategy to more effectively organize and manage our information that prioritizes permanent records through an enterprise content management approach, pending resource availability. The Department developed a multiyear roadmap and narrative that focuses on a holistic information management solution that assigns roles and responsibilities to various stakeholders within the Department. These stakeholders are the Bureau's/Offices that exercise Department-wide program authority for all areas of information management. The strategy for expanding beyond the M-12-18, Goal 1.1 will depend on available resources.

The Office of Information Programs and Services (A/GIS/IPS) put into production a DoD 5015.2-compliant records management 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 IPS using Direct Network Transfer for preservation, search, retrieval, declassification review, and transfer to NARA. A/GIS/IPS, the Executive Secretariat (S/ES), EUR-IO/EX, and the United States Mission to the United Nations (USUN) are working on a pilot program that federates their record keeping systems to bring a higher degree of automation and information exchange, which will enhance the capture, search, retrieval, preservation, and disposition of its permanent electronic records. The eRSC greatly reduces the burden of printing and filing for digitally born permanent records.

The SAORM regularly reminds senior officials, through the use of internal directives, of their records management responsibilities and directs that the electronic files of senior officials be retired electronically at the end of their tenure to the Bureau of Administration for ingestion into the eRSC.

If No, please list which part of your agency or components did not and why?

5. 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)

X Yes
☐ No

Please describe your specific plans or actions.

The Department has taken action to digitize its holdings most notably being the development and implementation of the Everest system. Everest is a web-based application that provides the Secretary of State and other senior Department principals the ability to receive foreign policy memoranda and correspondence from Department bureaus and offices electronically, as well as task and track the paperless submission of most memoranda. Additionally, all hardcopy material that contains substantive foreign policy information and correspondence from the Secretary of State, the Deputy Secretaries of State and other Department Principals are digitized and ingested into Everest. The Department has digitized a portion of its Central Foreign Policy files from analog formats such as microfilm and microfiche and has evaluated converting its remaining Central Foreign Policy holdings into a digital format. The Department recognizes that digitizing all permanent paper and other permanent analog records as an agency-wide policy may not always be feasible and can impose increased lifecycle costs due to technological limitations. The Department allows the custodians of permanent paper and other 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.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

X Yes
☐ No

If Yes, please describe what steps have been taken.

The Department has included records management as a key component of its information resource strategy and will continue to expand the critical role of records management within the broader context of information management. Beginning with the creation of the Electronic Records Management Working Group (ERMWG) in 2013, records management has been at the forefront of the Department's information resource management strategy. 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 board 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.

In addition, the Department is in the process of establishing priority requirements for the M-12-18, Goal 1.1. These requirements are tailored toward the legal mandates for records and information management which directly supports the role of records management as a vital component of the Department's information resources strategy. The Department will focus its efforts on identifying systems that contain permanent electronic records, establishing records management standards for new Department systems, and enhancing interoperability between electronic content management systems to improve all phases of records lifecycle management. The Department will also identify all records schedules that identify permanent records as well as consolidate and update the permanent records disposition schedules as appropriate. The Department will liaise with NARA throughout the process. These initiatives include stakeholders representing records management, data security, privacy, procurement and acquisitions, information technology, the legal advisor, and the ERMWG.