

**UNDER SECRETARY OF STATE
FOR MANAGEMENT
WASHINGTON
MAR 31 2020**

The Honorable
David S. Ferriero
Archivist of the United States

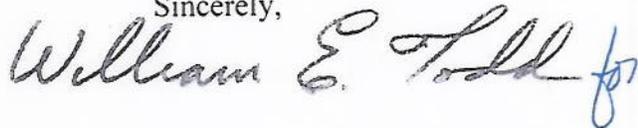
Dear Mr. Ferriero:

The Department of State is pleased to provide the Senior Agency Official for Records Management 2019 Annual Report.

The Department has continued to make progress over the past year meeting the goals outlined by NARA to fully transition to electronic recordkeeping (Transition to Electronic Records, M-19-21). We enhanced and expanded our corporate archive to include all electronic permanent records, launched the Center for Analytics, which will leverage analytics to meet complex and dynamic electronic recordkeeping challenges, and aligned our information governance and access programs to the Department's overall IT modernization initiatives.

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 202-485-2051 or at SteinEF@state.gov.

Sincerely,

A handwritten signature in blue ink that reads "William E. Todd" followed by a small flourish.

Brian Bulatao

Enclosure:

As stated

Subject: The Department of State's Senior Agency Official for Records Management 2019 Annual Report to the National Archives and Records Administration.

Provide the following information (required):

- Name of SAORM: Brian Bulatao
- Position title: Under Secretary for Management
- Address: U.S. Department of State
2201 C St. NW
Washington D.C, 20520

- 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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

Yes

No

Please explain your response:

The Department's eRecords archive has been successfully enhanced and expanded to include all electronic permanent records. Records in the archive are managed in accordance with NARA's Universal Electronic Records Management requirements. As reported in 2018, the Department continues its active collaboration with NARA to update and consolidate its records disposition schedules to align the Department's records management policies, and to prepare to transition to a fully electronic environment. Many of the updated schedules are undergoing NARA review and awaiting approval.

- 3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

Yes

No

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

The Department's eRecords archive embeds robust metadata pursuant to current NARA guidance and regulations for electronic objects (NARA bulletin 2015-04). The Department awaits NARA's updated guidance pursuant to section 2.1, M-19-21, and is positioned to further enhance the eRecords archive to support the new requirements.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

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

For the past several years, the Department has been developing and establishing policies to support the transition to managing all electronic records electronically. Since January 1, 2107, the Department has captured over one billion temporary emails onto the eRecords archive, where they are managed electronically in accordance with the approved records disposition schedule for Capstone email (General Records Schedule 6.1). All other types of "born-digital" temporary records are managed electronically, and with our cloud service providers we are exploring leveraging capabilities to further increase our ability to manage these files.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

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

In 2019, under my direction, the Department launched the Center for Analytics, which will execute projects that modernize the Department's technical infrastructure and leverage analytics to meet complex and dynamic electronic recordkeeping challenges. Furthermore, the IT Executive Council, the Department's newly established IT governance body that drives and informs IT decision-making and information sharing operations, will serve as the vehicle for embedding Federal Records Act requirements into the Department of State IT Strategic Plan.

Additionally, the eRecords archive is an enterprise-wide solution aligning IT capabilities with records management and information access program requirements. The Department continues to expand the functionality and capabilities of the archive and is exploring applying data analytics techniques to further enhance records management compliance. As a

result, the Bureau of Administration has strategically aligned its information governance and access programs to the Department's overall modernization initiatives.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

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

The Department has an agency-operated records center that is a critical component of the Department's records management program. The Department is evaluating options specified in Goal 1.3, M-19-21. Since the release of M-19-21 in June 2019, the Department has continued to assess the extent of this mandate and estimates that the scale and complexity of this rapid transition will require additional resourcing. The Department will continue to enhance its digitization and recordkeeping technology, surge its record management support staff, and modernize Department-wide policy and operations to reach full compliance with the memorandum. The Department's FY 2021 request for electronic records management includes \$47 million that will contribute towards this effort.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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 (include specific details of procedures):

As reported last year, the Department has multiple layers of processes and policies that when taken together dramatically mitigate the risk of improper recordkeeping. Senior officials are educated and reminded of their recordkeeping responsibilities through various means, including the annual mandatory web-based course "PK217 Records Management for Everyone," entrance and departure briefings from either the Executive Secretariat Staff or the Agency Records Officer, and ad hoc records check-ins. Further, Capstone officials' State.gov emails are automatically captured in the eRecords archive, and senior officials' non-email, electronic records can now also be easily ingested into the eRecords archive for safekeeping. Additionally, the Records program partnered with the Bureau of Human

Resources to track the hiring, reassignment, and departure of Capstone officials to ensure their records are retired to the Bureau of Administration in a timely fashion. Lastly, the Department's checkout process involves certifying on the Separation Statement (DS-0109) that departing employees have surrendered all classified, administratively controlled, and unclassified documents pertaining to Department business to the Department.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

Yes

No

Please explain your response (include details of specific challenges, if applicable):

M-19-21 was released in June 2019 (out of the budget cycle), leaving the Department little time to: (1) evaluate the cost implications (2) request funding for new requirements, and (3) formulate a strategic way forward for our complex, geographically-dispersed organization with 270 foreign locations. NARA has yet to release the updated guidance and success criteria for M-19-21, making it difficult at this time to align the Department's strategies to NARA's goals with respect to M-19-21.

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

Yes

No

Please provide details on what support is needed:

The Department recommends that NARA consider the following in its approach to assisting agencies with the transition to fully electronic recordkeeping:

-NARA should identify joint services, contracts, or other ways for agencies to pool resources that will make digitizing and/or storing permanent paper record holdings more economical for the American taxpayer.

-NARA should increase its engagement with the Department by providing dedicated consultants with the operational expertise to assist the Department in its transition to fully electronic recordkeeping.

-NARA should develop success criteria for agencies to effectively measure their progress towards compliance with the M-19-21.