

**UNDER SECRETARY OF STATE  
FOR MANAGEMENT  
WASHINGTON**

FEB - 5 2015

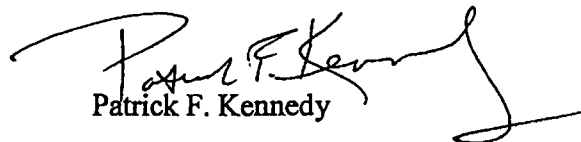
Dear Mr. Ferriero:

The Department of State is pleased to provide the following report on its progress in meeting the goals of the President's Managing Government Records Directive.

We take this opportunity to reaffirm the Department's longstanding commitment to preserving and managing its records. The Department approaches its records management responsibilities with the utmost seriousness. We understand the relationship between a good records management program, transparency, and open government. Under my auspices, we are continuing our efforts to fully bring the Department's resources together in a coordinated fashion in order to meet the goals of the President's directive; and over the past year, we have made significant progress. We issued guidance to Senior Officials reminding them of their overall records management responsibilities, including e-mail, and issued a directive to preserve electronically the e-mail of Senior Officials upon their departure from the Department. We are also conducting a detailed study of e-mail management options for the Department and investigating the business implications of implementing a Capstone approach for the automatic capture of Senior Officials' e-mail. The details of these and other accomplishments are described in our report.

We look forward to continuing the close collaboration with you and your staff on the implementation of this important initiative. My point of contact for this effort is Margaret (Peggy) Grafeld, Deputy Assistant Secretary for Global Information Services. She may be reached at 202-261-8300 or by e-mail at [GrafeldMP@state.gov](mailto:GrafeldMP@state.gov).

Sincerely,

  
Patrick F. Kennedy

Enclosure:

As stated.

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



## ***Senior Agency Official for Records Management FY 2014 Annual Report Template***

The Managing Government Records Directive (M-12-18) requires Senior Agency Officials (SAOs) to provide an annual report to NARA.

The SAO is a senior official at the Assistant Secretary level or its equivalent who has direct responsibility for ensuring the department or agency efficiently and appropriately develops strategies and plans for implementing all applicable records management statutes, regulations, and policies. SAOs must have the authority to make decisions about agency practices, personnel, and funding to support the business needs of the agency. The SAO is responsible for coordinating with the Records Officer(s) to ensure compliance with records management requirements. NARA maintains the list of SAOs online <http://www.archives.gov/records-mgmt/agency/sao-list.html>.

The purpose of the SAO annual report is to provide SAOs with an opportunity to report on how their organization is achieving the goals of the Directive. NARA will use the reports to determine the overall progress of the federal government in meeting the goals of the Directive, including training, cloud services, and email. In addition, NARA will collect information on best practices and model programs so that agencies can learn from each other options and solutions for meeting the Directive goals.

### **Instructions for Reporting**

- This template covers fiscal year (FY) 2014. Please answer the questions for this time period.
- Please be brief and precise in your answers. Please limit answers to each question to no more than 500 words.
- The reports are due beginning on October 15, 2014 and no later than December 15, 2014.
- Please complete the questions below and send the report to [PRMD@nara.gov](mailto:PRMD@nara.gov). Include the words "SAO annual report" in the subject line of the email.
- The report responses must cover all of your organizations. If you are responsible for records management in multiple agencies or components within your Department, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

**Question 1. Please list all agencies or components covered by this report and your position as SAO.**

Department of State.

**Question 2. Is your agency going to meet the Directive goal to manage both permanent and temporary email records in an accessible electronic format by December 31, 2016? (Goal 1.2)**

Yes  No

*Please provide a brief narrative that explains how your agency has already met the goal or how your agency will meet the goal. If your agency will not meet the goal, please provide a brief narrative discussing issues or obstacles preventing your agency from meeting the goal.*

Under the direction of the Senior Agency Official (SAO), Under Secretary for Management Patrick F. Kennedy, the Department has established the E-Records Management Working Group (ERMWG) to coordinate efforts to maintain and preserve electronic records. The ERMWG has been tasked with developing solutions to Goal 1.2. During 2014 the ERMWG and the SAO have taken multiple steps to ensure that Goal 1.2 will be met by the 2016 deadline.

ERMWG developed a package for approval by the SAO consisting of recommendations for email system requirements, a cost/benefit analysis on potential email management technology solutions, and a policy issuance on the management of email. The Bureau of Information Resources Management (IRM) is currently conducting the cost/benefit analysis, and the SAO has issued a Department Notice on records responsibilities and policy that reiterates and clarifies employee responsibilities. The SAO also issued a Department Notice specifically addressing the responsibilities of senior officials for the management and preservation of their email. Additional policy and guidance documents are under development.

The Department continues to recommend that staff save records to the State Messaging and Archive Retrieval Toolset (SMART) system. To properly preserve the emails of senior officials, including ambassadors, the Department has established a procedure for departing officials to have their emails sent to the Department's Records Officer for preservation.

**Question 3. Has your agency begun to implement plans in order to meet the goal to manage all permanent electronic records in an electronic format by December 31, 2019? (Goal 1.1)**

Yes  No

*Please provide a brief narrative explaining your answer*

The Department is moving forward with both long-term plans for the preservation of electronic records and more immediate steps to improve current electronic records management. As noted above, long-term Department-wide planning for electronic records management and preservation is the responsibility of the ERMWG. ERMWG's current focus is resolving the policy and technology issues around email management. Once that task is completed the ERMWG will develop its comprehensive solution to the permanent electronic records challenge.

The Department also has taken important steps to convert a significant collection of historically valuable microfilm to electronic format. This initiative is designed to achieve the broad policy objectives of the President's overall agenda for openness, transparency, and electronic records management.

In support of Goal 1.1, the Department also continues to review its existing records management policy and guidance framework as well as the existing system of records schedules to support the goals of the Managing Government Records Directive.

**Question 4. Has your agency implemented any new cloud services in FY14? (Goal A4.1)**

Yes    No

*If yes, please provide a brief description of any new cloud services implementations and how records are being managed in the cloud service(s).*

The Department funded four new cloud investments in 2014, none of which addressed records management in the cloud. The Department has Capital Planning and Investment Control (CPIC) policies regarding cloud computing and the Records Management staff are participants in the Department's CPIC process.

The new investments are as follows:

Investment	Investment Description
Consular Affairs Enterprise Engineering and Data Management	The Enterprise Engineering and Data Management investment provides evaluation and integration of technologies and innovation with regard to business improvement, while aligning to Enterprise Architecture, and provides horizontal, technical support to enable the design, development and integration of capabilities and services.
Consular Systems Modernization	The Consular Systems Modernization investment is a large and complex initiative that represents a significant shift in how consular services will be delivered globally, focusing on providing a framework that supports increased integration of consular data and standardization of consular processes. This new enterprise framework of tools will support core lines of business.
Foreign Assistance Coordination and Tracking System (FACTS)	The FACTS investment centralizes and consolidates Department and USAID foreign assistance budget and performance planning and reporting. Additionally, FACTS information is used to manage the budget data collections and performance reporting for the President's Emergency Fund for Aids Relief (PEPFAR). FACTS information enables faster global data collection and facilitates comprehensive and accurate reporting.
Overseas Buildings Operations (OBO) Operations and Maintenance	This project performs operation and maintenance of OBO information management corporate systems.

**Question 5. Will your agency designated Agency Records Officer(s) hold the NARA Certificate of Federal Records Management by December 31, 2014? (Goal 2.3)**

Yes  No

*If your agency will not meet the goal, please provide a brief narrative describing the challenges in meeting the goal.*

William P. Fischer, the current Agency Records Officer, assumed his position on July 27, 2014. He will complete certification within a year of his appointment as required.

**Question 6. Will your agency have a method to inform all employees of their records management responsibilities with suitable records management training for all appropriate staff by December 31, 2014? (Goal 2.4)**

Yes  No

*If your agency will not meet the goal, please provide a brief narrative describing the challenges in meeting the goal.*

The Department already meets both requirements of Goal 2.4.

The Department has a number of methods in place that, together, meet the goal of informing all employees of their records management responsibilities. All new employees receive records management training as part of civil service orientation. Additionally, the Department has issued directives that explain the records management responsibilities of senior officials as well as employees. The most recent ones were issued in August 2014 (for Senior Officials) and October 2014 (for all employees and separately for diplomatic and consular posts).

The Department offers records management training developed in 2012 that is available online to all employees and contractors. The records management staff also provides organization-specific training and briefings as requested. During 2014, the records management program provided a week of training focusing on email management for Information Resources Management staff, and briefed offices on records management policies and procedures on multiple occasions. As an example, the staff of the Secretary's Office received a briefing on the importance of records management and their responsibilities for records and recordkeeping. Finally, information on records management responsibilities and guidance on how to carry out those responsibilities is available on the Records Management web site; employees can submit any questions to the records management program's email Help Desk and receive a quick response from the staff of the Records and Archives Management Division.

Concerning "suitable records management training for appropriate staff" the Department already offers training for its Bureau Records Coordinators (BRCs) and Information Management Officers (IMOs), the two groups that provide records management support for domestic offices and overseas posts respectively. The Department offers an in-depth training class through the Foreign Service Institute that is available to records liaisons and others assigned specific records management responsibilities. Records management staff also participate in Capital Planning and Investment Control (CPIC) training for system developers,

explaining the records management requirements that are part of the CPIC process. Other categories of specialized training are under consideration at this time as the Department reviews its records management program policies.

**Question 7. Please list any suggested areas or topics that NARA should incorporate into its training offerings for Agency Records Officers.**

The Department recommends that NARA offer its Knowledge Area 1-6 courses (certificate track) as virtual classes. The Department recognizes that there are benefits to attending the classes at NARA, but in-person attendance is not always feasible given work schedules.

**Question 8. Please describe how NARA could improve our records management training program.**

In addition to offering Knowledge Area 1-6 courses (certificate track) as virtual classes, the Department recommends that basic records operations be offered as a virtual class as well, or if that is not feasible, at least offer the classes in alternate locations closer to where the majority of federal employees are located. Given the emphasis on electronic records management and implementation, the Department suggests that NARA offer increased training opportunities on the “nuts and bolts” of implementing records management technologies.

**Question 9. Please provide a brief description of any best practices, lessons learned, or model program activities that your agency has developed while moving to digital government and adopting electronic recordkeeping.**

Please Note: NARA will share your answers - as written - as resources for other agencies and organizations. In addition, NARA may follow-up and ask agencies to participate in information sharing such as:

- Webinars for invited agencies
- Participating in meetings, conferences, and teleconferences
- Writing short articles/blogs for NARA’s *Records Express* blog, and
- Hosting onsite visits by NARA and agencies.

The Department is pleased to offer one example of work we have done that responds to this question.

We have updated and expanded our award-winning Retired Records Inventory Management System (RIMS) database to accept records retirement documentation electronically. The Department’s Records Management Office, in cooperation with the Department’s Office of Directives Management, developed an automated workflow application that allows offices to submit records retirement documentation electronically (eForm DS-693) to improve records tracking and control. RIMS then incorporates the DS-693 documentation into the

system, making the process more timely and less cumbersome. This supports management's ability to get detailed, quantifiable data to support the management and tracking of inactive records throughout their lifecycle. The application will be further enhanced to include declassification review history data as well.

**Question 10. Please describe ways that NARA can help your agency meet the Directive goals**

The Department recommends that the Office of Management and Budget (OMB) become more involved in leading and overseeing implementation of the Presidential Directive. One of the key challenges in implementing Goals 1.1 and 1.2 is resources. Discussions of resources will require direct OMB involvement.

In our 2013 report, we recommended that NARA engage the Federal Chief Information Officer (CIO) Council to transition the Council's work towards the goals of the President's memorandum to include electronic recordkeeping. The situation has not changed in any significant way during the past year.