

Laurence Brewer - SMART brief premeeting - 5/13 at 1:00pm

From: Paul Wester
To: Brewer, Laurence; Giguere, Mark; Hawkins, Margaret; Langbart, David
Date: 05/10/2010 8:52 AM
Subject: SMART brief premeeting - 5/13 at 1:00pm
CC: Hunsaker, Julie; Kurtz, Michael

Mark, Laurence, Maggie, and David:

I would like to meet on Thursday, May 13th at 1:00pm to discuss a short briefing/presentation that State has asked me to give on Wednesday, May 19th at 11:00am.

Attached is some background. Also, I have notes from a call I had with Peggy Grafeld, Lisa Haralampus, and Bill Fischer on 5/4. I can discuss them on Thursday.

Please confirm that you are able to meet.

Thanks - Paul

Laurence Brewer - SMART brief premeeting - 5/13 at 1:00pm

From: Paul Wester
To: Brewer, Laurence; Giguere, Mark; Hawkins, Margaret; Langbart, David
Date: 05/10/2010 8:52 AM
Subject: SMART brief premeeting - 5/13 at 1:00pm
CC: Hunsaker, Julie; Kurtz, Michael

Paul,

I'm sending you background material to brief you on the history of SMART and how we got where we are today. Please let me know if you have any questions.

- Lisa

Lisa Haralampus
 SMART Archives and Records Management (ARM) Program Manager
 Office of Information Programs and Services (A/GIS/IPS)
 Department of State
 202-261-8037

Our mission is to meet the information needs of our customers and the United States Government

Background Information on SMART and Recordkeeping

PART ONE. THE EVOLUTION OF RECORDS IN SMART

The Department of State is no stranger to electronic messaging. While email came into being in the 1990s, the Department had already been using an electronic telegram system (cables) for twenty years to correspond between overseas posts and Department headquarters. As the cable system was the only electronic system, the archive contained communications on nearly every topic imaginable. Cables varied from requests for supplies, training, and travel to substantive, classified political reporting and dissenting opinions regarding the Department's formulation of policy.

Pre-SMART Email Guidance

Starting in 1995, the Department issued email management policies indicating that emails were indeed Federal records and that staff had a responsibility to preserve email in Federal recordkeeping systems. For the past fifteen years, preservation was accomplished through the classic "print-and-file" technique. Over time, Department policies have consistently indicated that the following types of emails should be preserved:

- Records that document the formulation and execution of basic policies and decisions and the taking of necessary actions, including all significant decisions and commitments reached orally (person to person, by telecommunications, or in conference);
- Records that document the persons, places, things, or matters dealt with by the agency;
- Records that document important board, committee, or staff meetings;
- Records that facilitate action by agency officials and their successors in office;
- Records that make possible a proper scrutiny by the Congress or other duly authorized agencies of

the government; and

- Records that protect the financial, legal, and other rights of the government and of persons directly affected by the government's actions.

Over time, the Department policies have consistently indicated that "print-and-file" would eventually be replaced with an electronic solution called the State Messaging and Archive Retrieval Toolset (SMART). As far back as 2001, the Department had begun formulating plans for the SMART system to replace cables and manage emails.

SMART Document Types Round 1

In December 2003, Secretary Colin Powell signed a memo defining four e-Document types for the new SMART system:

1. Formal
2. Notices
3. Personal
4. Working

1. Formal documents were official records that have been fully cleared and approved by an office, post, or other entity within the Department. These were typified by reporting cables, instructional cables, memoranda, and policy statements. They did not include drafts. They would be made searchable depending on rules/captions.

2. Notices were a special subset of formal documents that carried the imprimatur of official Department policy. They would be broadly searchable.

3. Personal messages were not associated with government business, such as messages to your family members, your financial institutions, or your hobby associations. They were not records and not searchable.

4. Working documents were divided into two categories: record and non-record. The guidance indicated that creators or recipients would make determinations as to whether or not their messages were record. When the information in the message was appropriate for preservation, contained significant content, or conveyed decisions/guidance it would be considered "record" and included in the archive and made searchable depending on rules/captions. Most drafts and "conversational" email exchanges would be non-record and not searchable.

What made this early approach unique was the fact that - regardless of the message type - all messages would be stored in the archive. Several studies were commissioned to develop requirements on how users would interact with the messages types and how archive would manage the message types. For example, the studies discussed how users could indicate if something was formal or personal or if an informal working message was record or non-record. Categorization and marking were the key elements to determine access, retention, and preservation.

Having agreed on the direction, the Department contracted with Northrup Grumman and began development. Three years later, the contract expired and was not renewed. The Department did not yet have a new messaging system, but it did have many valuable take-aways. One take-away was that the Department did not have the bandwidth, processing power, or storage capacity to handle all cable and all email message traffic in a completely centralized system. Another take-away was that pilot users had balked at the choice of 4 messages types and having to take multiple actions to manage every email.

SMART Document Types Round 2

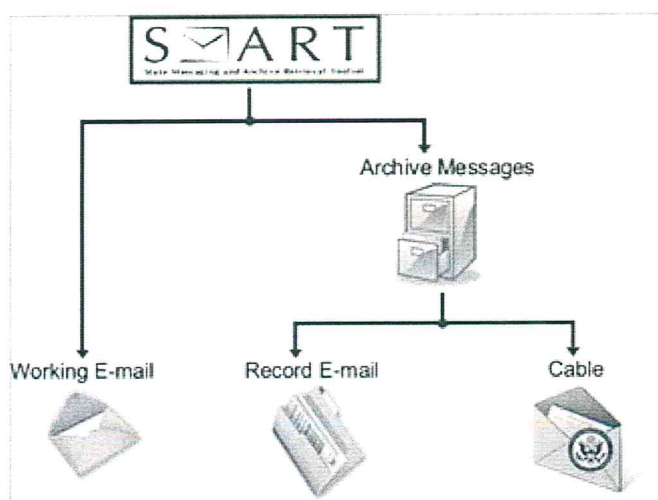
In 2006, the Department brought the development of SMART in-house. The new underlying theme to development was "keep it simple" and "use what you know". For example, SMART is technically built on Microsoft Outlook, rather than a new type of messaging platform. For records, SMART leadership reduced the number of message types from four to two: Archive Messages and Working Messages. By 2008, the Department and NARA worked together and finalized definitions of these two messages types. (See document attached).

Both message types are sent and delivered by Microsoft Outlook. Archive messages will go into the central SMART archive where they will be managed by IPS and will be broadly searchable via SMART roles/rules. Working Messages will stay on the user's desktop in-box where they will be managed and searched locally; i.e., by the user or by IT support. Those messages that go into the archive are records with long-term value documenting the substantive functions of the Department, while those messages that stay on the desktop are records with short-term, transitory value. At anytime, a user could "promote" a working message sent or received into an archive message. Furthermore, users could mark a working message as Personal in order to indicate that it was purely unrelated to official business.

As SMART piloted in 2009, the Department recognized the need to provide additional labels with cultural meaning to Department staff. SMART held focus groups, NARA provided feedback, and the SMART Steering Committee endorsed the following:

"Working Messages" became "Working Email".

"Archive Messages" were subdivided into "Cables" and "Record Email"



As SMART is deploying, these definitions and labels are included as part of SMART training, offered both online and in-person. (An example of a SMART Quick Guide with a Messaging Overview is attached). SMART is now on 15,000 desktops, at over 150 posts, and in 4 bureaus in Department headquarters. SMART deployment is scheduled to be completed by FY2011.

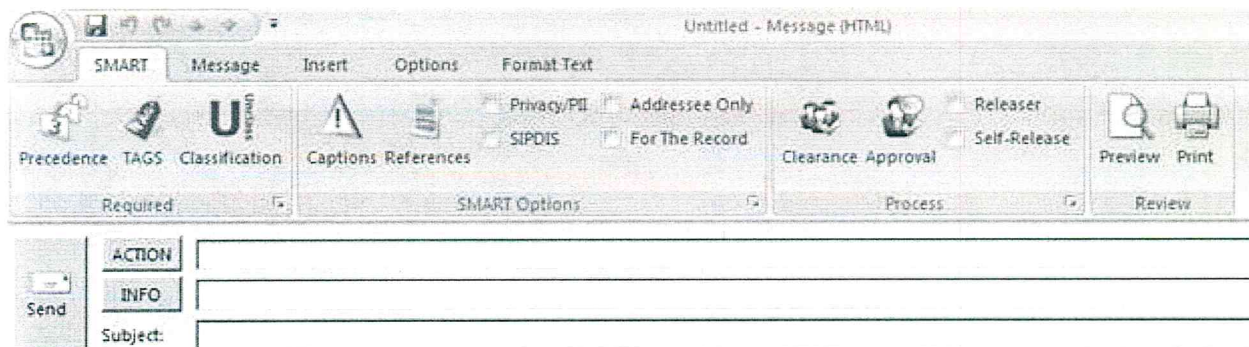
Every SMART user now has the ability to search the Department archive and find the cables and record emails that match their SMART profile criteria. This level of access to information in the Department archive is unprecedented. The ability to send emails to the Department archive is also unprecedented.

PART TWO. ISSUES OF SMART RECORD EMAIL ADOPTION

Halfway through deployment, SMART has been hearing questions and concerns from all levels about the use of record emails. For example, should record emails be cleared? Should you provide a courtesy

notice to your colleagues when you “promote” a working email to a record email? Should everyone on the Department have the ability to send record emails? The list goes on.

Finding the optimal balance between safeguarding and sharing has also proven difficult in practice. SMART users must proactively take action on all archive messages to ensure they are properly disseminated and appropriately searchable. For example, users must check an “Addressee Only” box to ensure that only those individuals on the record email can find it in the archive. Consequently, if a users forgets to check that box, 46,000 people will be able to read the record email. Or, when users check “Privacy/PII” on a cable, they severely limit who can search the archive for that information – including themselves.



Despite the “number of clicks” and cultural resistance to change, some posts are beginning to adopt the use of record emails. So far, SMART users have sent a little under 13,000 record emails since deployment began in October 2009. It is a start, but not yet a success. Department leadership must push for greater acceptance of record emails. The SMART Steering Committee needs to hear about the importance of capturing email, preserving email, and making it available in an Open Government environment. They should be briefed regarding the Archivist’s statements that good records management being the backbone of accountable government so they can be reminded that SMART is designed to be part of that infrastructure.

The Steering Committee should be aware of about the trends and expectations that the Executive Office, Congress, and NARA have regarding email management in electronic systems. They need to hear how other agencies are coping with this issue (or not) and how the Department’s strategy – allowing users to select when, where, what to send as record emails versus working emails – is a valid, forward-thinking strategy that will help us stay at the forefront of electronic messaging communication and preservation. If there are additional methods being adopted by agencies to preserve all emails at certain levels of the organizational hierarchy, the Department may have to formulate a new strategy to supplement the current SMART implementation.

Without framing the issues surrounding email management in the Federal government, Department leadership cannot make informed answers to the types of questions Department staff are posing. NARA’s briefing to the SMART Steering Committee will help make sure that policies for the “norms for record emails” do not prevent the Department from continuing its tradition of creating a rich treasure trove of electronic records – including both cables and record emails – that document the conduct of foreign affairs.

More Suggested Reading

"State Gets SMART" on AmericanDiplomacy.org available at
http://www.unc.edu/depts/diplomat/item/2009/1012/comm/fulton_smart.html

-----Original Message-----

From: Grafeld, Margaret P
 Sent: Friday, April 30, 2010 4:50 PM
 To: 'Paul Wester'
 Cc: Haralampus, Lisa I
 Subject: RE: NARA participation in a SMART Meeting on 5/19

Paul,

Many thanks for your responsiveness. To be very honest, I'd like to get outta Dodge before this glorious day disappears, so, if you don't mind, we can chat on Tuesday morning; I've scheduled the hour between 10:00 and 11:00.

In the interim, I'm asking Lisa Haralampus (whom I assume you know) to forward some background material for you, just to begin to get you read-in to our situation.

Hope you'll be able to enjoy the weekend before your TDY. Again, your assistance and support are most appreciated.

Best regards,
 Peggy

Margaret P. Grafeld
 Acting DAS, Global Information Services
 A/GIS: State Annex 2
 202-261-8300 (phone)
 202-261-8590 (fax)
 GrafeldMP@state.gov

-----Original Message-----

From: Paul Wester [mailto:paul.wester@nara.gov]
 Sent: Friday, April 30, 2010 1:31 PM
 To: Grafeld, Margaret P
 Subject: Re: NARA participation in a SMART Meeting on 5/19

Peggy, I'll be back in the office between 5:30 and 6:00pm this evening. I am on tdy next week, but I can get with you by phone on Tuesday morning, May 5th, after 10:00am Eastern.

Looking forward to catching up with you!

Paul

-----Original Message-----

From: "Grafeld, Margaret P" <GrafeldMP@state.gov>
 To: Paul Wester <Paul.Wester@nara.gov>

Sent: 4/29/2010 8:36:52 PM
 Subject: Re: NARA participation in a SMART Meeting on 5/19

My dear Paul,

You have no idea how welcome your message is - especially as I read it in the evening at the end of a very long day, culminating a rather frenzied few weeks.

The SMART Steering Committee meeting is scheduled for 11:00 on May 19, so looks like we have a date.

Will try to talk tomorrow and will also send you some background.

Ciao for now!

From: Paul Wester <paul.wester@nara.gov>
To: Grafeld, Margaret P
Sent: Thu Apr 29 17:58:09 2010
Subject: NARA participation in a SMART Meeting on 5/19

Hi Peggy,
Michael Kurtz asked me to get with you regarding a meeting you may like to have me attend regarding the SMART system on Wednesday, May 19th. I'm leading a meeting of the Federal Records Council that afternoon (1:00pm - 3:00pm), but otherwise I and others here are ready to support you and the State Department in the meeting.

Please let me know when it would be a good time to catch up on this. I will be in and out tomorrow, and am on tdy next week, but I will work around these commitments to discuss.

Best wishes - Paul

Paul M. Wester, Jr.
Director, Modern Records Programs
Office of Records Services - Washington, DC
301-837-3120 (tel)
301-837-3698 (fax)
paul.wester@nara.gov

This email is UNCLASSIFIED.

SMART Message Categories

The two categories of messages in SMART – Archive and Working– are based on their respective content, operational, evidentiary, or information value.

Archive Messages

Archive messages document the substantive functions for which an office is responsible. They are the essential, official evidence of an organization's business and may be analogous to cables, memos, some current e-mails, external correspondence, and other documents that have long-term record value.

Examples of Archive messages include:

- Messages with organizational authority (e.g., action/information memoranda, policy papers).
- Messages that authorize action (e.g., authorization to allocate funds; authorization to conduct activities).
- Messages with evidential value (e.g., meeting minutes, final drafts, position papers, official-informal "OI" messages).
- Messages containing drafts that add to a proper understanding of the formulation and execution of policies, decisions, actions, or responsibilities.
- Messages that convey official Department policy (e.g., Department notices, ALDACs, FAM/FAH updates).

Working Messages

Working messages do not have long term record value. They are generally transitory in nature and do not relate to the primary actions, decisions, or policies of an organization. They may be analogous to some current e mails and notes, and working drafts that do not add to a proper understanding of policies and actions. Working messages also include personal messages and non record copies of material kept only for reference.

Examples of Working messages include:

- Messages documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities.

- Messages containing drafts that do not add to a proper understanding of the formulation and execution of basic policies, decisions, actions, or responsibilities.
- Messages containing quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.
- Material retained for reference while working on a project that is no longer needed when the project is complete, provided that the material does not warrant long term preservation.
- Personal exchanges purely unrelated to official business.

It should be noted that a message thread may begin as a "Working message," but may become an "Archive message" because it has incorporated the attributes described above. Employees are responsible for converting Working messages to Archive messages.



SMART Messaging Overview Quick Guide

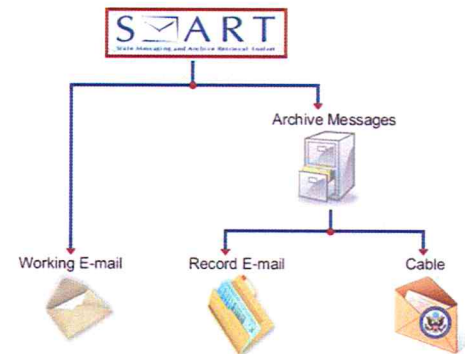


SMART Messages

The State Messaging and Archive Retrieval Toolset (SMART) will replace existing e-mail and cable systems with a single Outlook-based system. With SMART, you send both e-mails and cables from Microsoft Outlook. SMART also provides a new message type – record e-mail – which allows you to archive information with long term value easily. SMART Messaging is available to all who use OpenNet and ClassNet.

This document describes the following SMART message types:

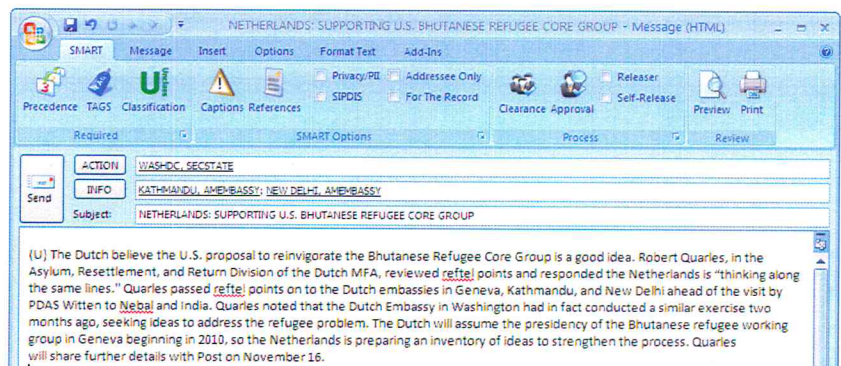
1. Cables
2. Record e-mails
3. Working e-mails



Cables

Cables document the substantive functions for which an office is responsible. They are the official evidence of an organization's business and are comparable to today's cables.

Cables are created using a custom Outlook form. The form allows you to build the cable easily and with all necessary information. Graphics, attachments, and other rich text components can be included to enhance reporting.



As with today's cables, SMART's cables must be cleared and approved before release. When the message has been cleared and approved, the releaser is authorized to send it. A releaser is an individual who is able to release a cable that carries Department of State authority. The releaser must be provisioned as a releaser in SMART. In some cases, the same person can be the drafter, approver and releaser.

Cables are sent automatically to the Archive and recipients. They may be searched and retrieved by anyone with the requisite permissions (e.g., clearance level and rights to restrictive captions).

Cable - Definition and Unique Features

SMART's cables carry the authority of the Department of State and are comparable to today's cables. The contents have been approved, either directly or through delegation, by an approving officer of the Department of State. An approving officer is an individual who has the authority (or to whom the authority has been delegated) to approve a message or document that carries the authority of the Department of State, including reporting, policy formation, and management.

- Addressed to an organization; use a plain-language address (PLA) accessed from the STATE address book (accessible through the Global Address List) in the **ACTION** or **INFO** field
- Released only by users with release authority (any user can draft part or all of the message)
- Identified by a unique Message Reference Number (MRN) formatted by MRN YY Post NNNN (e.g., MRN 08 Pretoria 1234). Cables originated on OpenNet are assigned an even MRN number. Cables originated on ClassNet are assigned an odd MRN number.

Cable - Definition and Unique Features

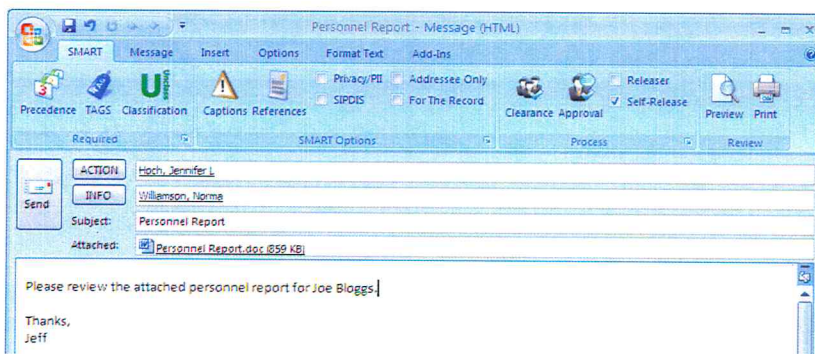
- Displays the Department of State seal
- Distributed via dissemination rules established by post/bureau administrators
- Contain all clearers' approvers' names (approving officer)
- Can include direct address recipients (e-mail address), including external recipients, in the INFO field
- Can include attachments and graphics
- Supports all fonts
- Recall cables or send corrected copies
- Are searchable in the Archive. Search results are based on user permissions as provisioned by the post/bureau administrators

From Microsoft Outlook, you can search the Archive for cables, and from the search results, select **Alert Me** to set up notifications of new cables added to the Archive. Also, from start.smart.state.gov, you can access Message Tracking. Message Tracking allows you to view details about processing and delivering cables you have released.

Record E-Mails

Record e-mails are a new type of message, similar to cables, provided to the Department of State. They capture the essential, official evidence of an organization's business that otherwise would **not** be documented in a cable. Record e-mails may be analogous to memos, some current e-mails, external correspondence, and other documents with long-term value. They include the following types of messages:

- Authorizing action (e.g., authorization to allocate funds; authorization to conduct activities) that would not be captured in a cable.
- Messages with evidential value (e.g., meeting minutes, final drafts, position papers, official-informal "OI" messages).
- Drafts which add to a proper understanding of the formulation and execution of policies, decisions, actions, or responsibilities.



Record e-mails are created with the same custom Outlook form used to create cables. The form allows you to build the record e-mail easily with all necessary classifications, TAGS, captions, etc. Graphics, attachments, and other rich text components can be included with any archive e-mail.

Record e-mails do not require an independent approver, unlike cables. They do, however, require the user to apply at least one TAGS for the message to be categorized properly in the SMART Archive. Any SMART user has the ability to draft and send a record e-mail, even if not identified as a releaser in SMART.

Record e-mails, like cables, are automatically sent to recipients as well as the Archive. They may be searched and retrieved by anyone with the requisite permissions (e.g., clearance level and rights to restrictive captions). The Alert Me feature can be used also on record e-mails. With SMART, users will be able to create record e-mails easily containing information that is currently sent by e-mail, thus preserving the diplomatic history of our nation. Record e-mails can be sent directly to one or more individuals or directly to the Archive without sending to any named recipient(s).

NOTE: If a restrictive caption is used on a message sent to an individual, that message will still be received, but cannot be searched in the Archive.

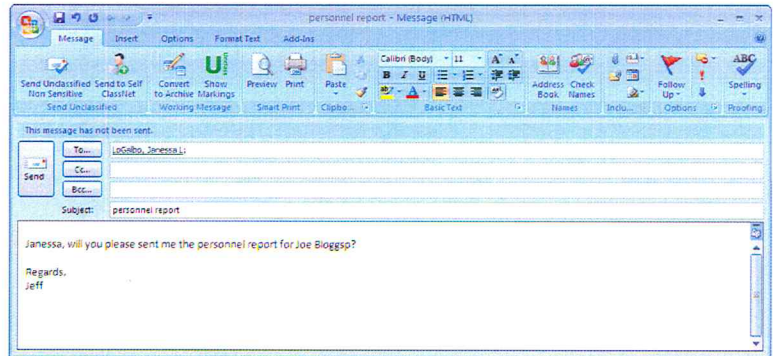
The table below describes the two types of record e-mails.

Record E-Mail Types	
<p>Directly Addressed</p> <p>Directly addressed record e-mails are sent to one or more others and warrant retention in the SMART Archive as a record of Departmental activities. These messages are sent to the named addresses on the message, regardless of their permissions. Thus, the sender must use caution when sending record e-mails containing sensitive information. Even if the message was sent to a recipient, if the user does not have appropriate permissions, that user cannot search for the message in the Archive.</p>	<p>For the Record</p> <p>Record e-mails sent for the record are messages from an individual, addressed to the SMART Archive only for retention. While a record e-mail sent for the record does not evoke immediate action, it allows users to include 'for the record' documents that warrant retention in the archive. Record e-mails sent only to the Archive cannot be addressed to individuals.</p>
<p>Directly addressed record e-mails:</p> <ul style="list-style-type: none"> Do not require release authority and can be released by any OpenNet or ClassNet user (release authority in SMART is not necessary) Addressed to individuals (i.e., e-mail addresses) using the Global Address List (GAL) or free form address (for external recipients) Are identified by a unique directly addressed message number formatted by YY MDA NNNN (e.g., 08 MDA 123456) Are not disseminated via dissemination rules, but sent directly to addressees listed in the message (action and info), as well as sent to the Archive Are not subject to security restrictions, so individuals may receive messages with captions and/or sensitivities for which they are not approved Are searchable by anyone with appropriate permissions (classification, TAGS, captions, etc), except if marked For Addressee Only (searchable only by the releaser and recipients of the message) <p>Examples of directly addressed record e-mails: Meeting minutes, drafts, position papers, and official informal "OI" messages.</p>	<p>Record e-mails sent for the record:</p> <ul style="list-style-type: none"> Can be released by any OpenNet or ClassNet user (release authority in SMART is not necessary) Are automatically sent directly to the SMART Archive (no other recipients may be added) and are not disseminated to anyone Are searchable by anyone with appropriate permissions (classification, TAGS, captions, etc), except if marked For Addressee Only (searchable only by the releaser) Are identified by a unique For the Record number formatted by YY FTR NNNN (e.g., 08 FTR 123456)

Working E-Mails

Working e-mails should be used for messages without long-term record value. Generally transitory in nature, working e-mails can include notes or working drafts that do not add to a proper understanding of Departmental policies and actions, as well as non-record copies of material kept only for reference. Such messages include:

- Documentation of routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities.
- Drafts that do not add to a proper understanding of the formulation and execution of basic policies, decisions, actions, or responsibilities.
- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.
- Material retained for reference while working on a project that is no longer needed when the project is complete, provided the material does not warrant long term preservation.
- Personal exchanges unrelated to official business.

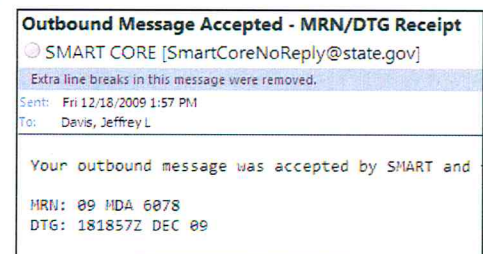


Working e-mail messages are stored and managed in your SMART mailbox and local exchange servers; they are not stored in the Archive and cannot be retrieved using the SMART Search capability. You should delete, store, and manage them in accordance with Department policies.

However, if the information in an e-mail message warrants preservation in the SMART Archive, you should convert it to a record e-mail. Working e-mails can be converted at any time.

System Messages and Comeback Copies

When you release a cable or record e-mail, SMART sends an MRN/DTG (for cables), MDA (for directly addressed message) or FTR (for messages sent directly to the Archive – “for the record”) number, depending on the type of archive message sent. This receipt is your confirmation the message was delivered successfully. If there was a problem releasing your message, you will receive a notification from the system.



Comeback copies provide releasers copies of the record e-mails and cables they send so they know what message recipients are receiving. A comeback copy is received in a releaser's inbox as soon as the message is sent successfully. If **Cables** and **Record Emails** folders were [created during SMART Configuration](#), comeback copies will be delivered to those folders.

These comeback copies must be used when sending recalls and corrected copies; never use the message in the **Sent Items** folder.