OIG HIGHLIGHTS

View Report: ISP-I-15-15.

Review of State Messaging and Archive Retrieval Toolset and Record Email

What OIG Inspected
The review took place in Washington, DC, between January 24 and March 15, 2014.

What OIG Recommended
OIG made seven recommendations to improve the use of record emails by Department of State employees and mission staff members. OIG recommended establishing a process to review record email usage across missions and bureaus, as well as issuing guidance to Department of State employees and mission staff members that specifies their record-keeping responsibilities, provides examples to guide choices among cables and record and working emails, and suggests the establishment of record email policies.

OIG recommended convening functionally defined focus groups to identify practical examples of official records; canvassing through focus groups in all bureaus periodically to identify obstacles to the use of SMART for record emails and cables; establishing an Electronic Records Management Working Group to advise on record emails and related issues; and making introductory and refresher courses on records management a requirement for Department of State employees.

OIG also recommended expanding the Foreign Service Institute's current record email training curriculum to include hands-on SMART client and classroom training as well as additional material on record-keeping requirements.

What OIG Found

- A 2009 upgrade in the Department of State's system facilitated the preservation of emails as official records. However, Department of State employees have not received adequate training or guidance on their responsibilities for using those systems to preserve "record emails." In 2011, employees created 61,156 record emails out of more than a billion emails sent. Employees created 41,749 record emails in 2013.

- Record email usage varies widely across bureaus and missions. The Bureau of Administration needs to exercise central oversight of the use of the record email function.

- Some employees do not create record emails because they do not want to make the email available in searches or fear that this availability would inhibit debate about pending decisions.

- System designers in the Bureau of Information Resource Management need more understanding and knowledge of the needs of their customers to make the system more useful. A new procedure for monitoring the needs of customers would facilitate making those adjustments.

_____ Office of Inspector General _____
U.S. Department of State • Broadcasting Board of Governors

Review of
State Messaging and Archive Retrieval Toolset and Record Email

DOMESTIC OPERATIONS AND SPECIAL REPORTS

CONTENTS

KEY FINDINGS

- A 2009 upgrade in the Department of State's system facilitated the preservation of emails as official records. However, Department of State employees have not received adequate training or guidance on their responsibilities for using those systems to preserve "record emails." In 2011, employees created 61,156 record emails out of more than a billion emails sent. Employees created 41,749 record emails in 2013.
- Record email usage varies widely across bureaus and missions. The Bureau of Administration needs to exercise central oversight of the use of the record email function.
- Some employees do not create record emails because they do not want to make the email available in searches or fear that this availability would inhibit debate about pending decisions.
- System designers in the Bureau of Information Resource Management need more understanding and knowledge of the needs of their customers to make the system more useful. A new procedure for monitoring the needs of customers would facilitate making those adjustments.

CONTEXT

The Department of State (Department) and its employees need official records for many purposes: reference in conducting ongoing operations; orientation of successors; defending the U.S. Government's position in disputes or misunderstandings; holding individuals accountable; recording policies, practices, and accomplishments; responding to congressional and other enquiries; and documenting U.S. diplomatic history. Record preservation is particularly important in the Department because Foreign Service officers rotate into new positions every 2 or 3 years. Federal law requires departments, agencies, and their employees to create records of their more significant actions and to preserve records according to Governmentwide standards.[1]

In 2009, the Bureau of Information Resource Management (IRM) introduced the State Messaging and Archive Retrieval Toolset (SMART), which allowed for the preservation of emails as official records. SMART allows users to create official records in the form of cables and "record emails" through Microsoft Outlook. Other SMART users can also access SMART cables and record emails using a search function.[2]

Every employee in the Department has the responsibility of preserving emails that should be retained as official records.[3] The Office of Information Programs and Services in the Bureau of Administration's Office of Global Information Services (A/GIS/IPS) is responsible for the Department's records management program, including providing guidance on the preservation of records for the Department and ensuring compliance.[4] IRM administers the enterprise email system, including SMART, and therefore provides the technical infrastructure for sending and receiving emails and preserving some as record email.[5]

If an employee puts down on paper or in electronic form information about "the organization, functions, policies, decisions, procedures, operations, or other activities of the Government," the information may be appropriate for preservation and therefore a record according to law, whether or not the author recognizes this fact.[6] Whether the written information creates a record is a matter of content, not form. Federal statutes, regulations, presidential executive orders, the *Foreign Affairs Manual* (FAM), Department notices, cables, and the SMART Messaging Guidebook contain the criteria for creating and maintaining official records and associated employee responsibilities.[7]

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[1] 44 U.S. Code sections 3101-3107, 3301-3324, and 18 U.S. Code section 2071.

[2] Prior to this, email records were available only if they were printed and filed, saved to a CD, or backed up and accessible to system administrators.

[3] See 5 FAM 754, 44 U.S. Code section 3301, and 18 U.S. Code section 2071.

[4] See 1 FAM 211.2.e (Functions of the Assistant Secretary for Administration) and 5 FAM 400 (Records Management).

[5] See 5 FAM 115.2 (Chief Information Officer).

[6] 44 U.S. Code section 3301.

[7] Title 44, U.S. Code section 3301; 36 CFR 1222.38; 5 FAM 422 (2005); and Department Notice 2009_06_090; Guidance on use of the new SMART cable and record email functions is included in 5 FAM 1200; 5 FAM 443.2; 14 State 22238 and 14 State 111506; and 5 *Foreign Affairs Handbook*-4 H-100, the SMART Messaging Guidebook.

According to Department guidance referenced above, email messages should be saved as records if they document the formulation and execution of basic policies and actions or important meetings; if they facilitate action by agency officials and their successors in office; if they help Department officials answer congressional questions; or if they protect the financial, legal, and other rights of the government or persons the government's actions directly affect. Guidance also provides a series of questions prompting employees to consider whether the information should be shared, whether the successor would find the email helpful, whether it is an email that would ordinarily be saved in the employee's own records, whether it contains historically important information, whether it preserves the employee's position on an issue, or whether it documents important actions that affect financial or legal rights of the government or the public.

OIG previously examined the Department's records management, including electronic records management, in its 2012 inspection of A/GIS/IPS.[8] OIG found that A/GIS/IPS was not meeting statutory and regulatory records management requirements because, although the office developed policy and issued guidance on records management, it did not ensure proper implementation, monitor performance, or enforce compliance. OIG also noted that, although SMART users can save emails as records using the record email function, they save only a fraction of the numbers sent. OIG recommended that the Bureau of Administration implement a plan to increase the number of record emails saved in SMART.

RECORD EMAIL USE CONTINUES TO FALL SHORT OF EXPECTATIONS

In 2013, Department employees created 41,749 record emails.[9] These statistics are similar to numbers from 2011, when Department employees created 61,156 record emails out of more than a billion[10] emails sent. (The OIG team did not review 2012 figures.) Department officials have noted that many emails that qualify as records are not being saved as record emails.[11]

The OIG team found that several major conditions impede the use of record emails: an absence of centralized oversight; a lack of understanding and knowledge of record-keeping requirements; a reluctance to use record email because of possible consequences; a lack of understanding of SMART features; and impediments in the software that prevent easy use.

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[8] *Inspection of the Bureau of Administration, Global Information Services, Office of Information Services*, Report No. ISP-I-12-54, September 2012.

[9] See totals from Appendices C and D.

[10] IRM estimate.

[11] These assessments do not apply to the system used by the Department's high-level principals, the Secretary, the Deputy Secretaries, the Under Secretaries, and their immediate staffs, which maintain separate systems.

CENTRALIZED OVERSIGHT OF RECORD EMAIL USE NEEDED

The Bureau of Administration does not review record email use across bureaus or missions. In response to OIG's 2012 report, the bureau indicated that it had developed a plan to monitor record-keeping compliance and had established a working group to develop a plan to capture and archive record emails in SMART. The OIG team welcomes these efforts but notes that reviewing record email use across missions and bureaus can be easily accomplished, as IRM can produce data such as that found in Appendices C and D.

The OIG team's review of the Department's records on record email use by missions and bureaus shows great variations (see Appendices C and D). For example, Embassy Singapore created 1,047 record emails in 2013; Embassy Islamabad created 121; and Embassy Beijing, only 47. Consulate General Lagos created 4,922 record emails, the most of any post in 2013.

The Department's bureaus also vary widely in their use of record email. The Bureau of East Asian and Pacific Affairs created 736 record emails in 2013; the Bureau of International Organizations, 311; the Bureau of South and Central Asian Affairs, 26; and the Bureau of International Narcotics and Law Enforcement Affairs, only 22. IRM created 1,630 record emails, more than any other bureau in 2013.

Some missions and bureaus use record email more frequently because they have established practices that employees should send particular types of messages, such as diplomatic notes or official-informals, by record email.[12] Others use more record email after OIG teams noted their failure to use record email to their advantage. For example, Embassies Lisbon, Moscow, San Jose, and Singapore increased their numbers of record email after OIG teams made recommendations for greater use.

The absence of centralized oversight allows for an inconsistent application of policy. Reviews by the Bureau of Administration with feedback to bureaus and missions would encourage greater use of record email by the bureaus and missions where employees fail to use record email in compliance with the Department's records management standards.

> **Recommendation 1:** The Bureau of Administration should establish a process to review record email usage by bureaus and missions annually with data provided by the Bureau of Information Resource Management and to provide feedback to those organizational units. (Action: A, in coordination with IRM)

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[12] Diplomatic notes are written communications used for correspondence between the U.S. Government and foreign governments. See 5 *Foreign Affairs Handbook*-1 H-600 (2013). Official-informals are communications within the U.S. Government on an informal, but official, basis, including officials of the Department and officers at posts, officers at other Federal agencies and officers of the Department conducting work on a continuing basis, and officers at different posts. See 5 *Foreign Affairs Handbook*-1 H-412.6 (2012).

DEPARTMENT EMPLOYEES NEED BETTER GUIDANCE AND TRAINING IN RECORDS MANAGEMENT

Most mission and bureau employees who did not use record emails as intended told OIG they were usually unaware of what types of information should be saved as record emails. As shown in Appendix B, during 20 inspections conducted since 2010, OIG found that mission employees failed to use record email as originally intended, generally because they did not know when it was supposed to be used. In a series of interviews with all regional and some functional bureaus, the OIG team also found that many officers and employees—not just those new to the Department—had little idea about what makes an item of information a record. This general lack of understanding, which extends to records in all forms, is a major obstacle to the use of record email. OIG interviews revealed that some employees learned about record email in training about using the SMART software but were not aware of any requirement to use it.

Based on OIG interviews, the Department does not give employees adequate training to distinguish between information that should be preserved as records and information that may be discarded. Most employees had received some training on the technical requirements of creating a record email but did not know when to do so. Some employees were under the impression that record emails were only a convenience; they had not understood that some emails were required to be saved as records.[13] Most Foreign Service and Civil Service employees who were with the Department during the initial SMART deployment in 2009 and 2010 received SMART training from a technical specialist who could not offer examples of common types of mission and bureau messages that should be saved as record emails.

FAM guidance and Foreign Service Institute (FSI) courses (see Appendix E) on records management and record email use are broad and lack practical examples. For example, the online FSI course on SMART states that failure to use record emails could result in the loss of information that "authorizes action…contains position papers, meeting minutes or official-informal messages…adds proper understanding to policies, decisions and responsibilities." The guidance does not include practical, concrete examples for mission-based reporting officers and various other groups in the Department. Because the language is so broad and subject to widely varying interpretations, some missions and bureaus have established their own policies on record email use.

Bureau of Administration employees, rather than the Foreign Service officers and Civil Service employees who create the largest number of official records needed to conduct diplomacy, provide the FAM guidance and FSI course content. Mission employees could benefit from

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[13] Formerly, much of the knowledge of record-keeping requirements was lodged in a large secretarial staff that is now much reduced with the progress of information technology. Those secretaries provided new employees with on-the-job training in records management. Foreign Service and Civil Service employees now have more individual responsibility to ensure that the Department's records are properly preserved, but they are not being adequately trained for their responsibilities.

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guidance and training that includes practical, concrete examples from reporting officers, consular officers, and others to guide choices among cables, record emails, and working emails for messages that should be saved.

> **Recommendation 2:** The Bureau of Administration should convene functionally defined focus groups of employees to identify practical examples of official records and include them in Foreign Service Institute courses on State Messaging and Archive Retrieval Toolset and records management. (Action: A, in coordination with FSI)

> **Recommendation 3:** The Bureau of Administration should issue guidance to Department of State employees and mission staff members to remind them of their record-keeping responsibilities; outline practical, function-specific examples to guide choices among cables, record emails, and working emails; and suggest that missions establish record email policies. (Action: A)

The Department's deficiencies in preserving appropriate emails cannot be changed unless the actions of individual employees change. Education is the key. As shown in 13 FAM 020, managers at all levels have a responsibility to ensure that employees have the training necessary to fulfill their responsibilities. A circular from the Office of Management and Budget says that agencies must "train personnel in skills appropriate to management of information" and "provide training and guidance" to all agency employees "regarding their Federal records management responsibilities."[14] The OIG team concluded that every Foreign Service officer and most Civil Service employees would benefit from taking a course on records in their first year of employment.

Although a course at FSI can introduce new employees to their obligation, more seasoned employees with practical experience would benefit from refresher courses to keep the information current. The Department can offer a 1-hour online course on preserving records, including record emails, similar to the course on cybersecurity required annually. Without adequate training, Department employees will not be saving records—including messages that should be saved as record emails—that will be needed in the future and that are required to be saved by Federal law.

> **Recommendation 4:** The Bureau of Human Resources, in coordination with the Bureau of Administration and the Foreign Service Institute, should convene a working group to develop proposals for requiring Department of State employees to take courses on records management, both an introductory course and a refresher course, and offer those proposals for approval by the Under Secretary for Management. (Action: DGHR, in coordination with A and FSI)

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[14] OMB Circular A-130 (Revised), Section 8a(f) and 8d(d).

INADEQUATE TECHNICAL TRAINING CONTRIBUTES TO UNDERUSE OF RECORD EMAIL

Additional technical training could alleviate employees' concerns about the consequences of creating record emails and would facilitate record email use. The OIG team found instances where employees did not want to use record email because the messages would become accessible to persons conducting searches, not just the intended recipient. In some cases, it was because the email contained individual opinions that contributed to internal debate on a pending issue. Many interviewees expressed a fear that if participants in such a debate knew that their opinions would be permanently recorded or accessible in searches, they would not express their opinions in an uninhibited manner. In some cases, an email containing a decision that ought to be preserved as a record was preceded by a chain of emails full of deliberative comments. In other instances, the situation discussed in the email was considered sensitive. Some employees were unaware that they could designate record emails "addressee only" or that they could compose emails "for the record" that are not sent to anyone—possibilities that would tend to allay some concerns about the use of record email.

Interviews revealed that most Department employees also lack training on timesaving features such as templates. The use of templates does not appear to have been included in the classroom or online training. The use of templates would allow SMART users to save time and eliminate much of the repetitive data entry work, but currently very few users seem to know of the existence of templates.

> **Recommendation 5:** The Foreign Service Institute, in coordination with the Bureau of Administration and the Bureau of Information Resource Management, should review its training curriculum and expand its existing and new State Messaging and Archive Retrieval Toolset course content by including hands-on State Messaging and Archive Retrieval Toolset client classroom training as well as more material on the Department of State's requirements for keeping records. (Action: FSI, in coordination with A and IRM)

FOCUS GROUPS COULD ASSIST IN IDENTIFYING PROBLEMS WITH SMART APPLICATION

Although the SMART client application[15] partly meets the essential business needs of the SMART cable and record email users, the OIG team found a widespread perception among SMART users that the SMART client application is not intuitive, difficult to use, and still problem-afflicted. The IRM SMART systems development staff acknowledged several of the SMART application errors and said that they had program fixes scheduled for future releases. The intermittent application errors are an ongoing source of frustration that SMART users said was negatively affecting their

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[15] As defined by Susan Hansche, John Berti, and Chris Hare, "application" is "computer software used to perform a distinct function" or "to describe the function itself."

ability to complete their work in a timely manner. SMART users brought to the OIG team's attention some examples of technical problems:

- Users receive a message for invalid email addresses for one or more previously verified email addresses when the user attempts to add new addresses to an existing cable.
- Users receive a message for invalid email addresses when the user attempts to add new addresses directly from the SMART global address list.
- Users receive an error message for an invalid email address when the user attempts to add a valid non-Department email address.
- Users receive a dialog box that prompts the SMART cable user to add the cable classification information when the user attempts to forward a classified cable, even though the user is not the classifying authority.
- The SMART client application uninstalls itself from Outlook without the SMART user's involvement.
- The SMART application suddenly stops working.
- BlackBerry users complained about the separate email inbox and emails disappearing just after being opened.

Interviews and other evidence revealed an important reason for most of the SMART user complaints is a failure of the SMART systems development staff to reach out aggressively to the Department's SMART users to identify problems in the application. IRM has relied heavily on reviewing "trouble tickets" to identify problems with the SMART system and employees' problems with using record email once new features have been introduced. A trouble ticket is a record of a request submitted to an information technology help desk that contains details about the nature of the user's problem with a network component and is forwarded to an information technology technician for resolution. If a user can avoid the problem by taking an alternative course of action, the user does not contact the help desk, no ticket is created, and the help desk does not receive information about the problem.

The OIG team found that users in regional and functional bureaus are "working around" problems with SMART because their workloads force them to complete tasks as quickly as possible. They do not stop to contact the help desk when they have deadlines to meet.

As a result, the SMART development staff has not fully understood SMART users' business requirements or the impact of application errors on SMART users' productivity. Project managers are required to manage resources and activities to satisfy user requirements.[16] SMART project managers need to involve users so long as they continue to use the software for all major applications and general support system activities. The use of focus groups from individual bureaus is one of several effective techniques for gathering information on and insights into the problems that users encounter.

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[16] 5 FAM 617.2.

Recommendation 6: The Bureau of Information Resource Management, in coordination with the Bureau of Administration, should canvass through focus groups in all bureaus periodically to identify application program errors and other obstacles to the easy and efficient use of the State Messaging and Archive Retrieval Toolset for record emails and cables. (Action: IRM, in coordination with A)

ELECTRONIC RECORDS MANAGEMENT WORKING GROUP SHOULD CONTINUE

Communication between SMART users and the SMART system development team has been inadequate for the developers to understand what users need and how they will use this application. More technical training is necessary but insufficient to overcome the technical obstacles that still impede the use of record emails in SMART in the fast-paced environment of the Department's country desks and program offices. Because the SMART system was not meeting the Department's needs, the Office of Management, Policy, Rightsizing, and Innovation convened an Electronic Records Management Working Group to develop the specifications for the SMART system in 2013. If made permanent, this group could facilitate communication of users' needs to application developers.

Recommendation 7: The Office of Management, Policy, Rightsizing, and Innovation should establish the Electronic Records Management Working Group as a continuing entity to advise on record emails and related issues. (Action: M/PRI)

RECOMMENDATIONS

Recommendation 1: The Bureau of Administration should establish a process to review record email usage by bureaus and missions annually with data provided by the Bureau of Information Resource Management and to provide feedback to those organizational units. (Action: A, in coordination with IRM)

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APPENDIX A: SCOPE AND METHODOLOGY

This inspection was conducted in accordance with the Quality Standards for Inspection and Evaluation, as issued in 2012 by the Council of the Inspectors General on Integrity and Efficiency, and the Inspector's Handbook, as issued by the Office of Inspector General for the U.S. Department of State and the Broadcasting Board of Governors (BBG).

PURPOSE AND SCOPE

The Office of Inspections provides the Secretary of State, the Chairman of the BBG, and Congress with systematic and independent evaluations of the operations of the Department and the BBG. Inspections cover three broad areas, consistent with Section 209 of the Foreign Service Act of 1980:

- Policy Implementation: whether policy goals and objectives are being effectively achieved; whether U.S. interests are being accurately and effectively represented; and whether all elements of an office or mission are being adequately coordinated.
- Resource Management: whether resources are being used and managed with maximum efficiency, effectiveness, and economy and whether financial transactions and accounts are properly conducted, maintained, and reported.
- Management Controls: whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; whether instances of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

METHODOLOGY

In conducting this inspection, the inspectors: reviewed pertinent records; as appropriate, circulated, reviewed, and compiled the results of survey instruments; conducted on-site interviews; and reviewed the substance of the report and its findings and recommendations with offices, individuals, organizations, and activities affected by this review.

The OIG team interviewed 78 Washington-based officials in 15 bureaus and offices in the Department and considered documentary evidence. The OIG team also drew from 21 embassy and bureau inspections that identified the record email issue (see Appendix B). The team considered the findings of an inspection of the Bureau of Administration, Global Information Systems, Office of Information Programs and Services in September 2012 (ISP-I-12-54).

APPENDIX B: FINDINGS AND RECOMMENDATIONS ON USE OF SMART AND RECORD EMAIL IN RECENT OIG INSPECTION REPORTS

Summary

Many inspections of embassies and bureaus have found that the use of SMART and the record email function are poorly understood. This lack of understanding is one of the principal causes of the failure of U.S. embassies to use record email more often. The inspections show that many employees do not know what types of emails should be saved as record emails. The employees typically need more and clearer guidance and more training. OIG has made formal and informal recommendations to increase the use of record email, to write and distribute formal embassy or bureau guidance on record email, and to arrange for training.

Greater Use

The following inspection reports contained recommendations that the embassy increase the use of record email:

- Inspection of Embassy Ulaanbaatar, Mongolia – August 2011 (ISP-I-11-58A) (Informal Recommendation 1, p. 6)
- Inspection of the U.S. Mission to the Organization for Security and Cooperation in Europe – March 2012 (ISP-I-12-18A) (Recommendation 3, p. 10)
- Inspection of Embassy Vienna, Austria – March 2012 (ISP-I-12-16A) (Informal Recommendation 1, p. 7)

Formal Guidance

The following inspection reports contained recommendations that the embassy or bureau issue notices or other formal guidance on the use of record email:

- Inspection of Embassy Bogotá, Colombia – June 2011 (ISP-I-11-41A) (Recommendation 3, p. 7)
- Inspection of Embassy Copenhagen, Denmark – March 2011 (ISP-I-11-19A) (Informal Recommendation 1, p. 7)
- Inspection of Embassy Dili, Timor-Leste – March 2011 (ISP-I-11-21A) (Informal Recommendation 4, p. 12)
- Inspection of Embassy Jakarta, Indonesia, and Constituent Posts – March 2011(ISP-I-11-24A) (Informal Recommendation 5, p. 21)
- Inspection of the Bureau of Near Eastern Affairs – May 2011 (ISP-I-11-49A) (Recommendation 30, p. 26)
- Inspection of Embassy Santo Domingo, Dominican Republic – May 2011 (ISP-I-11-40A) (Recommendation 3, p. 9)

- Inspection of the U.S. Mission to the United Nations, New York – July 2011 (ISP-I-11-54A) (Recommendation 12, pp. 19–20)
- Inspection of Embassy Port-au-Prince, Haiti – May 2012 (ISP-I-12-24A) (Recommendation 2, p. 10)
- Inspection of Embassy San José, Costa Rica – May 2012 (ISP-I-12-23A) (Recommendation 7, p. 12)
- Inspection of the U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, Paris, France – May 2012 (ISP-I-12-26) (Informal Recommendation 4, p. 9)
- Inspection of the U.S. Mission to International Organizations in Vienna – March 2012 (ISP-I-12-17A) (Recommendation 4, pp. 8–9)
- Inspection of Embassy Moscow and Constituent Posts, Russia – June 2013 (ISP-I-13-48A) (Recommendation 6, p.13)

Training in SMART and Record Email

The following inspection reports contain recommendations that the embassy or bureau arrange for training in the use of SMART and record email:

- Inspection of Embassy Athens, Greece – February 2011 (ISP-I-11-15A) (Informal Recommendation 2; All reporting officers should take the Foreign Service Institute's PS530 SMART Messaging OpenNet course, p. 13)
- Inspection of Embassy Bogota, Colombia – June 2011 (ISP-I-11-41A) (Recommendation 3 and Informal Recommendation 24; Embassy should develop a training regimen on use of SMART, pp. 7 and 41)
- Inspection of the Bureau of Near Eastern Affairs – May 2011 (ISP-I-11-49A) (Recommendation 30, p. 22)
- Inspection of Embassy Santo Domingo, Dominican Republic – May 2011 (ISP-I-11-40A) (Informal Recommendation 4, p. 9)
- Inspection of Embassy Paris, France, and Constituent Posts – May 2012 (ISP-I-12-25A) (Informal Recommendation 26, p. 48)
- Inspection of the U.S. Mission to the Organization for Economic Cooperation and Development, Paris, France – May 2012 (ISP-I-12-27) (Recommendation 3, p. 8)

APPENDIX C: RECORD EMAIL USE ORIGINATING IN DIPLOMATIC POSTS–2013

Post Name	2013 Record Emails
Abidjan, Embassy	14
Abu Dhabi, Embassy	42
Abuja, Embassy	22
Accra, Embassy	37
Adana, Consulate	9
Addis Ababa, Embassy	13
Alexandria, Consulate	1
Algiers, Embassy	23
Almaty, Consulate	1
Amman, Embassy	52
Ankara, Embassy	16
Antananarivo, Embassy	6
Apia, Embassy	2
Ashgabat, Embassy	6
Asmara, Embassy	2
Astana, Embassy	17
Asuncion, Embassy	11
Athens, Embassy	572
Auckland, Consulate	55
Baghdad, Embassy	303
Baku, Embassy	24
Bamako, Embassy	10
Bandar Seri Begawan, Embassy	153
Bangkok, Embassy	93
Banjul, Embassy	22
Barcelona, Consulate	5
Basrah, Consulate	6
Beijing, Embassy	47
Beirut, Embassy	47
Belfast, Consulate	1
Belgrade, Embassy	286
Belmopan, Embassy	49
Berlin, Embassy	262
Bern, Embassy	90
Bogota, Embassy	262
Brasilia, Embassy	687
Bratislava, Embassy	237

Post Name	2013 Record Emails
Brazzaville, Embassy	2
Bridgetown, Embassy	35
Brussels, Embassy	85
Bucharest, Embassy	171
Budapest, Embassy	77
Buenos Aires, Embassy	30
Bujumbura, Embassy	7
Cairo, Embassy	27
Calgary, Consulate	2
Canberra, Embassy	24
Cape Town, Consulate	1
Caracas, Embassy	9
Casablanca, Consulate	94
Chengdu, Consulate	1
Chennai, Consulate	9
Chiang Mai, Consulate	1
Chisinau, Embassy	5
Ciudad Juarez, Consulate	5
Colombo, Embassy	269
Conakry, Embassy	19
Copenhagen, Embassy	6
Cotonou, Embassy	4
Curacao, Consulate	1
Dakar, Embassy	33
Damascus, Embassy	11
Dar Es Salaam, Embassy	11
Dhahran, Consulate	2
Dhaka, Embassy	33
Dili, Embassy	31
Djibouti, Embassy	3
Doha, Embassy	4
Dubai, Consulate	1
Dublin, Embassy	32
Durban, Consulate	1
Dushanbe, Embassy	8
EAP, Domestic	2
Erbil, Consulate	8
Frankfurt, Consulate	53
Freetown, Embassy	7
Fukuoka, Consulate	1

Post Name	2013 Record Emails
Gaborone, Embassy	8
Geneva, U.S. Mission	41
Georgetown, Embassy	2
Grenada, Embassy	47
Guangzhou, Consulate	2
Guatemala, Embassy	22
Guayaquil, Consulate	3
Hamilton, Consulate	9
Hanoi, Embassy	993
Harare, Embassy	9
Havana, U. S. Interests Section	16
Helsinki, Embassy	43
Herat, Consulate	2
Hermosillo, Consulate	5
Ho Chi Minh City, Consulate	539
Hong Kong, Consulate	102
Hyderabad, Consulate	33
Islamabad, Embassy	121
Istanbul, Consulate	20
Jakarta, Embassy	786
Jeddah, Consulate	1
Jerusalem, Consulate	17
Johannesburg, Consulate	29
Juba, Embassy	6
Kabul, Embassy	61
Kampala, Embassy	21
Karachi, Consulate	183
Kathmandu, Embassy	6
Khartoum, Embassy	26
Kigali, Embassy	6
Kinshasa, Embassy	13
Kolkata, Consulate	11
Kolonia, Embassy	3
Krakow, Consulate	1
Kuala Lumpur, Embassy	1,570
Kuwait, Embassy	16
Kyiv, Embassy	63
La Paz, Embassy	37
Lagos, Consulate	4,922
Lahore, Consulate	4

Post Name	2013 Record Emails
Libreville, Embassy	691
Lilongwe, Embassy	5
Lima, Embassy	79
Lisbon, Embassy	285
Ljubljana, Embassy	6
Lome, Embassy	7
London, Embassy	286
Luanda, Embassy	11
Lusaka, Embassy	12
Luxembourg, Embassy	15
Madrid, Embassy	259
Majuro, Embassy	20
Malabo, Embassy	1
Managua, Embassy	26
Manama, Embassy	26
Manila, Embassy	323
Maputo, Embassy	14
Maseru, Embassy	43
Matamoros, Consulate	7
Mbabane, Embassy	2
Melbourne, Consulate	3
Merida, Consulate	4
Mexico City, Embassy	108
Milan, Consulate	47
Minsk, Embassy	248
Monrovia, Embassy	15
Monterrey, Consulate	12
Montevideo, Embassy	11
Moscow, Embassy	389
Mumbai, Consulate	29
Munich, Consulate	21
Muscat, Embassy	12
Nagoya, Consulate	2
Nairobi, Embassy	40
Naples, Consulate	1
Nassau, Embassy	45
Ndjamena, Embassy	17
New Delhi, Embassy	328
Niamey, Embassy	7
Nicosia, Embassy	36

Post Name	2013 Record Emails
Nogales, Consulate	23
Nouakchott, Embassy	13
Osaka Kobe, Consulate	2
Oslo, Embassy	25
Ottawa, Embassy	792
Ouagadougou, Embassy	20
Panama, Embassy	20
Paramaribo, Embassy	30
Paris, Embassy	452
Paris, Mission to the Organization for Economic Cooperation and Development	28
Perth, Consulate	2
Peshawar, Consulate	5
Phnom Penh, Embassy	11
Podgorica, Embassy	42
Port Au Prince, Embassy	45
Port Louis, Embassy	84
Port Moresby, Embassy	8
Port of Spain, Embassy	12
Prague, Embassy	10
Praia, Embassy	2
Pretoria, Embassy	22
Pristina, Embassy	212
Quito, Embassy	32
Rabat, Embassy	38
Rangoon, Embassy	18
Recife, Consulate	1
Reykjavik, Embassy	4
Riga, Embassy	10
Rio De Janeiro, Consulate	430
Riyadh, Embassy	109
Rome, Embassy	108
San Jose, Embassy	201
San Salvador, Embassy	25
Sanaa, Embassy	142
Santiago, Embassy	25
Santo Domingo, Embassy	32
Sao Paulo, Consulate	19
Sarajevo, Embassy	7

Post Name	2013 Record Emails
Seoul, Embassy	366
Shanghai, Consulate	18
Singapore, Embassy	1,047
Skopje, Embassy	6
Sofia, Embassy	152
St. Petersburg, Consulate	194
Stockholm, Embassy	23
Surabaya, Consulate	7
Suva, Embassy	3
Sydney, Consulate	5
Taipei, American Interests Section	13
Tallinn, Embassy	4
Tashkent, Embassy	22
Tbilisi, Embassy	271
Tegucigalpa, Embassy	8
Tel Aviv, Embassy	225
The Hague, Embassy	131
Thessaloniki, Consulate	19
Tijuana, Consulate	249
Tirana, Embassy	209
Tokyo, Embassy	225
Toronto, Consulate	4
Tripoli, Embassy	10
Tunis, Embassy	189
Ulaanbaatar, Embassy	6
U.S. Mission to UN, Rome	1
U.S. Mission to UNESCO, Paris	16
U.S. Mission to UN, Vienna	127
U.S. Mission to African Union, Addis Ababa	2
U.S. Mission to EU, Brussels	362
U.S. Mission to NATO, Brussels	7
U.S. Mission to OSCE, Vienna	7
U.S. Mission to UN, New York	191
Valletta, Embassy	34
Vancouver, Consulate	16
Vienna, Embassy	112
Vientiane, Embassy	4
Vilnius, Embassy	126

Post Name	2013 Record Emails
Vladivostok, Consulate	7
Warsaw, Embassy	38
Wellington, Embassy	3
Windhoek, Embassy	7
Yaounde, Embassy	20
Yekaterinburg, Consulate	81
Yerevan, Embassy	3
Zagreb, Embassy	75
Other Emails Originating Outside Washington	645
Record Email Total by Post	**34,309**

APPENDIX D: RECORD EMAIL USE ORIGINATING IN WASHINGTON, DC, BY BUREAU OF DOMESTIC ENTITIES–2013

Bureau or Office	2013 Record Emails
Administration	178
African Affairs	36
Arms Control, Verification and Compliance	16
Consular Affairs	426
Diplomatic Security	409
East Asian and Pacific Affairs	736
Energy Resources	2
Legislative Affairs	5
Human Resources	99
Intelligence and Research	274
Information Resource Management	1,630
International Security and Nonproliferation	34
Legal Adviser	28
Overseas Buildings Operations	879
Resource Management	32
Public Affairs	29
Office of the Secretary	7
Under Secretary for Public Diplomacy and Public Affairs	70
Western Hemisphere	50
Democracy, Human Rights, and Labor	17
Education and Cultural Affairs	51
Economic, Energy and Business Affairs	101
European and Eurasian Affairs	66
U.S. Foreign Assistance Resources	1
Under Secretary for Global Affairs	3
International Information Programs	29
International Narcotics and Law Enforcement Affairs	22
International Organization Affairs	311
Under Secretary for Civilian Security, Democracy and Human Rights	9
Under Secretary for Management	77

Bureau or Office	2013 Record Emails
Medical Services, Health Units and Clinics	49
Near Eastern Affairs	399
Inspector General	774
Political-Military Affairs	500
Population, Refugees and Migration	7
South and Central Asian Affairs	26
Other Washington Offices	58
Total	**7,440**

APPENDIX E: FSI COURSES RELATED TO RECORD PRESERVATION OR RECORD EMAIL USE

I. Courses on Records Management

The Foreign Service Institute offers a 1-day classroom course on records management (PK 207—Files and Records Management) for all levels of Department employees, including direct-hire Foreign Service, Civil Service, and locally employed staff (including Foreign Service nationals). This course is open to Department third-party contractors who handle files and records management. FSI revised this course to include information from the Department Notice of February 27, 2014, titled "IRM Explanation of Record E-mails." FSI expects to complete its revision of the online version by the end of 2014. The classroom and FSI courses are the Department's principal means of instructing employees on the principles and practices of records management.

II. Courses Including Some Content on Record Email

Office Management Training
As part of the PK 102 (Foreign Service Office Management Specialist Training for Entering Personnel) SMART training, instructors discuss using record emails and provide practice. This course instructs students that emails often need to be saved as records, but not necessarily as record emails. A SMART overview class (equivalent to PS 531), including record emails, is taught by an instructor from the School of Applied Information Technology.

Orientation Courses
Trainees in A-100, specialist, and limited noncareer appointment orientations are required to take the online SMART course (PS 530 SMART Messaging for Users), which covers record emails. In the Foreign Service writing modules, the instructor also discusses both the mechanics and importance of record emails in a general way. The School of Applied Information Technology used to teach a 1-hour overview to A-100 and new-hire specialist classes, but that practice stopped in 2013 due to time constraints.

Courses on Public Diplomacy
The courses on public diplomacy do not include record email as part of its curriculum, but discussion very occasionally touches on record email, usually in the context of corresponding with Washington, DC, program offices from the field.

Courses on Political and Economic Tradecraft
Political/economic tradecraft includes a SMART overview class (equivalent to PS 531), including record emails, which an instructor from the School of Applied Information Technology teaches.

Courses Offered by the School of Applied Information Technology
School of Applied Information Technology instructors teach four record email-related courses:

- PS 530 – SMART Messaging: A course for users (distance learning-Web). This course is available to anyone on OpenNet and does not require formal enrollment. Those with OpenNet access interested in taking the course can do so by going to the link http://reg.fsi.state.gov/CourseCatalog.aspx?EventId=PS530, scrolling down, and clicking on the "FSI Web" link under "Enroll."
- PS 531 – SMART End-User Training (instructor-led and distance learning-Webinar).
- PS 532 – SMART Messaging: A Course for Systems Administrators (distance learning-LearnCenter).
- YW 533 –SMART System Administrator: Messaging Operations (systems administrators only).

ABBREVIATIONS

A/GIS/IPS   Bureau of Administration, Office of Global Information Services, Office of Information Programs and Services

BBG   Broadcasting Board of Governors

Department   U.S. Department of State

FAM   *Foreign Affairs Manual*

FSI   Foreign Service Institute

IRM   Bureau of Information Resource Management

SMART   State Messaging and Archive Retrieval Toolset

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