



NATIONAL
ARCHIVES

May 20, 2015

Daniel Z. Epstein
Cause of Action
1919 Pennsylvania Ave, NW
Washington, DC 20006

Re: Freedom of Information Act Request NGC15-159

Dear Mr. Epstein:

This is in response to your Freedom of Information Act (FOIA) request dated, March 9, 2015.
You are seeking copies of:

1. All non-archival records created by or in the possession of NARA between January 21, 2009 and February 1, 2013 relating to Secretary Clinton.
2. All non-archival records created by or in the possession of NARA between February 1, 2013 and the present relating to Secretary Clinton.
3. For any record in Items 1 or 2 above, all records referring or relating to the unlawful or accidental removal or destruction of agency records.
4. All records relating to the disposition or recovery of State Department records used by or possessed by Secretary Clinton, including any relevant communications with the Attorney General.
5. For any record in Item 4 above, all communications with Congress.
6. All records relating to the review or approval of Secretary Clinton's transfer or disposition of agency records to an email server in her possession and control.
7. All records relating to the State Department's State Messaging and Archive Retrieval Toolset (SMART) system, including
 - a. SMART's compliance with the Federal Records Act,
 - b. Secretary Clinton's compliance with the Federal Records Act, and
 - c. Secretary Clinton's use of SMART.

Your request has been assigned the above tracking number.

NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION

8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001

www.archives.gov

Regarding items #1, 2, 3, and 4 – there are no responsive records in the custody of NARA.

Regarding items #5 and 6 – there are 43 documents being release to you in full, 14 documents being released to you with redactions pursuant to 5 U.S.C. §552(b)(5) deliberative process/attorney client/attorney work product, and (b)(6) privacy, 6 documents that are withheld in full pursuant to exemption (b)(5). The documents denied in full are:

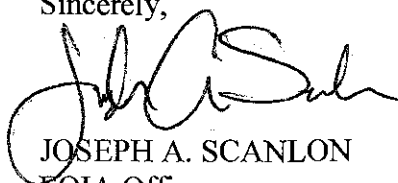
5 FAM 447 (draft State document)
State Department OIG
Re_ERM_AutoworkGroup_A3
Re_FW_Draft Email policy
Notes_January13
WGAutomated

Please note that NARA has placed a number of records online regarding our official correspondence with the Department of State (see: <http://www.archives.gov/press/press-releases/2015/nr15-65.html>).

This completes the processing of your request.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal in writing, email, or if you submitted your initial request through FOIAonline you may submit through that web portal. If in writing please address your appeal to the Deputy Archivist (ND), National Archives and Records Administration, College Park, Maryland 20740. If by email please submit your appeal to FOIA@nara.gov addressed to the Deputy Archivist. Please follow the instructions in FOIAonline to appeal any decisions. Your appeal should be received within 60 calendar days of the date of this letter and it should explain why you think this response does not meet the requirements of the FOIA. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC15-159.

Sincerely,



JOSEPH A. SCANLON
FOIA Officer
Office of General Counsel
(301) 837-0583
joseph.scanlon@nara.gov

From: Wester, Paul(Paul Wester)
To: Hawkins, Margaret, Clavelli, Lisa
CC: Reaves, Julie, Brewer, Laurence, Rosen, Donald
Date: 12/11/2012
Subject: State Dept Concern from Tom & Jay

Lisa and Maggie,

Before I forget, when we meet later this week we need to discuss what we know, and how we should delicately go about learning more about, regarding the transition plans for Secretary Clinton's departure from State.

(b) (5)

Tom heard (or thought he heard) from the Clinton Library Director that there are or may be plans afoot for taking her records from State to Little Rock.

Tom then got to asking questions about what we are doing to make sure everyone leaving the Administration does not leave with Federal records.

I told him we are aware of the issue and are working on it. I explained what we did at the last Administration change, how we are updating the current publication right now, and will have something to publish after the 1st of the year (along with a NARA Bulletin and webinar), going into the inauguration season. (John Hamilton and Gary Stern got to asking about this too, today.)

I also told Tom about the numerous agencies - and most of the cabinet agencies - that already have processes in place to deal with this. (Like Susan Sullivan does with our seniors who leave.)

I also described some of the particular issues that I've been personally involved with - like the Bush Administration's attempt to claw back Secretary O'Neill's records (which were actually copies approved for him to have by their GC) after he left service and wrote a critical memoir - to illustrate how "walking off with the records" is sometimes not really "walking off with the records."

Tom seemed to understand all of this, but he and Jay continued to invoke the specter of the Henry Kissinger experience vis-a-vis Hilary Clinton... (b) (5)

(b) (5)

Looking forward to our chat.

Thanks - Paul

Department of State - Everest System of Record

State Dept x



Wombacher, Mary C <WombacherMC@state.gov>

6/14/
13

to me, robert.spangler, Conrad

Robert/Donald,

Thank you for coming to the State Department yesterday to discuss making Everest the system of record. Please feel free to email me or Conrad O'Connell if you have any technical follow-up questions.

Thanks, Mary

Donald Chalfant <donald.chalfant@nara.gov>

6/17/
13

to Mary, Robert, Conrad

Hi Mary,

Thanks for inviting us to come for a visit. I do have one follow-up question about metadata. I was wondering if the metadata fields that you use reference any particular metadata standard and if you are using a controlled vocabulary? An example of a basic metadata standard is the Dublin Core Metadata Initiative <http://dublincore.org/documents/dces/>

Thanks,

Don



O'Connell, Conrad M <OConnellCM@state.gov>

6/17/
13

to me, Mary, Robert

Hi Donald,

The standards and vocabulary used for defining the metadata fields are primarily based on the requirements provided by the Everest business owner.

Thanks,
Conrad

From: Donald Chalfant [mailto:donald.chalfant@nara.gov]
Sent: Monday, June 17, 2013 9:01 AM
To: Wombacher, Mary C
Cc: Spangler, Robert; O'Connell, Conrad M
Subject: Re: Department of State - Everest System of Record

Donald Chalfant <donald.chalfant@nara.gov>

6/17/
13

to Conrad, Mary, Robert

Hi Conrad,

That's perfectly fine. Although there is no requirement to anchor to a particular metadata standard, it is a useful method to ensure the consistent implementation of metadata fields. But in this case, if there is a key that defines how the fields are used in Everest (e.g. when encountering a metadata field titled "date," we would know that "date" means A) the date the document was created or B) the date the document was approved, etc...) that information would need to be transferred with the records. The same applies to any standard vocabulary. It would be best to plan a transfer of any data dictionaries with the records to help us search and use the files years later.

Thanks,
Don

Donald Chalfant <donald.chalfant@nara.gov>

6/28/
13

to Lisa

Lisa,

Here is the extent of the metadata discussion that I had with Mary and Conrad at State after our meeting. Basically I was just asking them to make sure that the metadata fields they use can be clearly understood by anyone, especially NARA after transfer. It is recommended, but not required, that they use an existing metadata standard. Alternatively, they can send us documentation along with the records at time of transfer that clearly defines what each metadata field represents. Let me know if you have any questions.

Thanks

Don



Lisa Clavelli <lisa.clavelli@nara.gov>

AC 14.2013: Agency Participation in Pilots and Other Activities Supporting Managing Government Records Directive Goal A3.1: Economically Viable Automated Records Management Solutions

1 message

Thian, Tasha M <ThianTM2@state.gov>

Mon, Feb 11, 2013 at 4:33 PM

To: "meg.phillips@nara.gov" <meg.phillips@nara.gov>

Cc: "Hampton, Ronald E" <HamptonRE@state.gov>, Donald Rosen <Donald.Rosen@nara.gov>, Lisa Clavelli <Lisa.Clavelli@nara.gov>

Meg: As discussed at the FRC we can share our current project with other records officers. We would need a lead time to prepare so please don't spring a date on us that is too soon. We are developing the Electronic Records Service Center (eRSC) using IBM's FileNet. We are building the archive first and then phasing it in to eventually connect to SharePoint sites and at the desktop. Each phase achieves a working result. Essentially we are reverse engineering an RMA. The tool uses existing records schedules but is arranged by organization with access controls. It will solve the current electronic desktop records problem allowing State to take in electronic records to a central archive.

Share information on tools for automating management of electronic records, including social media, e-mail, and all other types of electronic records, with the Federal records community.

Tasha M. Thian, CRM
Agency Records Officer
A/GIS/IPS/RA
(202) 261-8424
Fax: (202) 261-8590
thiantm2@state.gov

This email message is **UNCLASSIFIED**

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

This email is UNCLASSIFIED.

NARA_05.20.15_0004

Technical and Archival Evaluation of Test Transfer from State Department SMART System

On April 13, 2004, the National Archives and Records Administration signed a Memorandum of Understanding with the Department of State. The subject of the memorandum was to demonstrate the electronic transfer of e-documents to NARA and to explore knowledge management technologies related to the analysis of large quantities of data. The documents referred to in the MOU were products of the State Messaging and Archive Retrieval Toolset (SMART) system. Over the last seven years the State Department has developed and implemented the SMART system and the system now contains records which can be used to fulfill the MOU.

Section A of the MOU relates to the identification of the target collections. The State Department has identified these collections within the SMART system. The test transfer consists of approximately 24,400 messages. 9,000 of these messages are record emails and the remainder are traditional cables. The date range of the test data is January 1, 2009 through March 31, 2011.

Section B of the MOU indicates that the test records will be transferred to NARA using simplified delivery processes. NARA and the State Department decided to transfer the test data on optical media. The test transfer was received and has been successfully evaluated.

Section C of the MOU details an evaluation process related to the transfer of test records. NARA has completed the evaluation the test data. The results of that evaluation appear below.

Section D of the MOU describes various knowledge management techniques which NARA will utilize to facilitate analysis of the test data. This analysis has been performed and the results are below.

The test records are being handled according to Section E of the MOU, which indicates that the test records will only be used for the purposes indicated by the MOU, and that NARA will exercise due diligence in its handling of the data.

The SMART test transfer arrived at NARA on one DVD in a compressed format. The messages were uncompressed into 24,458 folders, comprising approximately 7 GB of data. Each folder's name comprises 36 characters (i.e. ffb229d1-ea1a-43e0-9509-9eb2badf60cb). Each folder represents one message, and any attachments. Each message exists in two formats, XML and PDF. The XML files were all named manifest.xml, while the PDF files were named according to an unknown specification, which appears to utilize the location of the consulate sending the message, as well as other information. Attachments were named similarly to the PDF files. Accompanying the test transfer were a cover letter and the XML Schema Definition, which defines the fields in the XML file.

A technical evaluation of the data was performed, examining the records for issues which may affect access, authenticity, or comprehension. Where applicable, current NARA Transfer Guidelines were used to evaluate the data. The technical evaluation revealed several major issues, as well as several minor issues. Those issues are:

1. Major issue - Text is missing from PDF (i.e. "10-SAN JOSE-416.eml.pdf"). At least one PDF record had entire sentences missing from the file. This was confirmed by comparing the text in the PDF file to the text in the XML file. This issue is very serious and affects the authenticity of the record.
2. Major issue - Scan resolution is too low for NARA standards in PDF (i.e. "1-Bouterse 1-27-11.PDF.pdf.pdf"). In some cases attachments to emails were scanned from existing paper. Several scans were identified which do not meet current NARA Transfer Guidelines for scanned textual records. The scanning resolution of these images was below the NARA minimum of 300dpi.
3. Major issue - Scans in PDF use lossy compression (i.e. "1-Bouterse 1-27-11.PDF.pdf.pdf"). According to current NARA Transfer Guidelines, records created from scanned text may not be saved using a lossy compression format, which throws away data to reduce file size. Several scans were identified that utilize a lossy compression format.
4. Minor issue – There are possible text encoding issues in PDF (i.e. " 09-FTR-96.eml.pdf"). At least one PDF file, and the accompanying XML file, had question marks replacing letters which contained accent marks. This led to sentences like "Con relaci????n a lo conversado el d????a de ayer en vuestra Agencia." in the XML file. The PDF version of the file was similar, but with only two question marks instead of four.
5. Minor issue – There are possible code snippets in PDF (i.e. " 11-ISLAMABAD-506.eml.pdf.pdf"). Several files were identified which had apparent snippets of code (i.e. <![endif]->) at the beginning of the PDF. The code snippets do not occur in the XML version of the messages.

6. Minor issue – There are multiple file format extensions in PDF file name. As seen above, many of the files have multiple file format extensions in the PDF file names. This may lead to confusion when searching or attempting to identify specific files.
7. Minor issue – There are attachments referenced in many XML files called metadata.dat that do not appear in the record's directory (i.e. "10-FTR-14876.eml.pdf.pdf").
8. Minor issue – PDF versions of several emails indicated the attachment of files which do not appear in the record's directory (i.e. "10-FTR-14876.eml.pdf.pdf").
9. Minor issue – At least one PDF record contained images which were not viewable (i.e. "11-ISLAMABAD-506.eml.pdf.pdf").

In addition to the above technical evaluation, a brief archival evaluation was also performed which raised several questions.

Archival Evaluation

1. Issue - All XML files have same name. All 24,000 messages were named manifest.xml. This can cause considerable confusion when attempting to provide reference access to the records. It also makes it very difficult to properly replace a file which has been removed from its directory structure. In addition, the naming of the folders is not intuitive, nor did State provide any finding aid which links a folder name to a specific message.
2. Question – Why are there both PDF and XML versions of the records? Which version is considered the record? In the small sample reviewed, it appears a user needs both the PDF and the XML file to understand the record. The XML files include additional record management and other metadata that is not part of the record material of the record (such as MessageID or hash codes) so it makes sense that such metadata would not be included in a “user friendly” PDF version of the record material of the record. However, it is not clear what information is used to create the “user friendly” PDF version of the record. Are the PDF files generated from the XML files or are both files generated from the message as stored in SMART? Is there a crosswalk for the fields in the PDF files vis-à-vis the fields in the XML files with an explanation for any differences?
3. Question – How does the user identify what records are emails versus telegrams versus memos? It is unclear if the XML field MessageType provides this information and it appears there is nothing in the PDF to indicate this.
4. Question - How does one identify or maintain the link between the two versions of the message and any attachments? This is especially problematic if all the XML files are names manifest.xml and the attachments do not contain the MRN. If the plan is to

transfer the records with a folder for each record containing both versions (formats) of the record and any attachments, that would require maintaining the directory structure for preservation and access.

5. Question - Is the MRN the only unique number that appears on both the PDF and XML that can be used to link the two versions?

As part of the evaluation of the data, NARA has explored various knowledge management techniques designed to facilitate access to the data. Although no proper finding aid was transferred along with the data, it is possible to work with the XML files to create a finding aid. A simplified script was written which extracted various pieces of data from the XML files (for example, file name, message type, author, subject, date, attachments names, etc.). This script created an Excel spreadsheet which could be utilized as a finding aid. In addition, since the XML files are ASCII text, a full-text search engine could also be used for access purposes.

The NARA evaluation of the test data indicates several serious problems, both technical and archival, which need to be resolved before an actual transfer of records is attempted. In addition, significant additional metadata will need to accompany any transfer.

Dec. 1st

State Department / NARA Meeting

total of 13 staff - Records & Archives Mgmt Division

Records Mgmt - Sharepoint site

- Foreign Service Posts - visit to Europe post "possibly" this year
- Western Hemisphere is close to all having SMART on their desktops
- some sites have electronic mgmt system
- mb will hit limit of 500mb - but no auto delete
- cables & record email going into SMART archives
- Bureau Records Coordinator program has been revitalized w/in the last year. (at a fairly high level - staff)

* Did we know the TAGS schedule was going to be used for SMART? Thought was just for the Cables

- SAIDI - believe they have the master microfilm documentation is missing - need to know size of the fields. Only "Secret" high.

Records are either in SAS or P reels

S was filming their records → subset of these records were going to IPS -

* SAIDI is important for the "Index" component

* David has ideas of where to look at State

? follow-up meeting might be a good idea to discuss any other available options/routes to pursue to locate the documentation.

SADI records are covered in SAS or paper records.

* Dayton - audio & video tapes, still being used by offices, FOIA requests, Bosnia still a live issue.

- Records are fragile (formats) and will not survive in office space. Want transferred quicker.

- State wants to know what other agencies do to preserve special media records.

- Audio, VHS tapes, color photos, negatives, contact prints (PK - could be more inclusive than actually is)

* - Want guidance on preservation for video & audio

- Question over what is the record copy - original state

- Meeting between State & Special Media might be

- a good idea to clear things up - concrete guidance



Lisa Clavelli <lisa.clavelli@nara.gov>

Capstone

1 message

Fischer, William P <FischerWP@state.gov>

Mon, Feb 2, 2015 at 10:02 AM

To: "Lisa Clavelli (lisa.clavelli@nara.gov)" <lisa.clavelli@nara.gov>, "lisa.haralampus@nara.gov" <lisa.haralampus@nara.gov>

Cc: "Lautenbacher, Jason" <LautenbacherJ@state.gov>

Lisa and Lisa:

Hi there. I think it's premature for a NARA representative to attend one of our Electronic Records Management Working Group Meetings. We still have internal issues to decide. Any invitation should come from IPS.

Thanks,

Bill

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

[202-261-8369](tel:202-261-8369)

Our mission is to meet the information needs of our customers and the U.S. Government.

This email is UNCLASSIFIED.

NARA_05.20.15_0011



Margaret Hawkins <margaret.hawkins@nara.gov>

FW: Address for DAS Grafeld

1 message

Fischer, William P <FischerWP@state.gov>

Tue, Mar 3, 2015 at 11:34 AM

To: "margaret.hawkins@nara.gov" <margaret.hawkins@nara.gov>

Cc: "Lisa Clavelli (lisa.clavelli@nara.gov)" <lisa.clavelli@nara.gov>

I'm sending this as a back-up since Lisa said she's in meetings today.

Bill

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

[202-261-8369](tel:202-261-8369)

Our mission is to meet the information needs of our customers and the U.S. Government.

This email is UNCLASSIFIED.

From: Fischer, William P

NARA_05.20.15_0012

Sent: Tuesday, March 03, 2015 11:33 AM

To: 'Lisa Clavelli'

Cc: Lautenbacher, Jason
Subject: RE: Address for DAS Grafeld

Margaret P. Grafeld
Deputy Assistant Secretary
for Global Information Services
Bureau of Administration

U.S. Department of State

SA-2, Suite 8000

515 22nd Street, NW

Washington, DC 20522-0208

< GrafeldMP@state.gov >

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

[202-261-8369](tel:202-261-8369)

Our mission is to meet the information needs of our customers and the U.S. Government.

NARA_05.20.15_0013

From: Lisa Clavelli [<mailto:lisa.clavelli@nara.gov>]

Sent: Tuesday, March 03, 2015 10:46 AM

To: Fischer, William P
Cc: Lautenbacher, Jason
Subject: Address for DAS Grafeld

Bill,

Good morning....I know you all are quite busy this morning. Paul has been in communications with Peggy and she will be expecting correspondence from him later today or tomorrow. I will be sure you are provided with a copy when it is transmitted.

In terms of protocol how should she be addressed in the salutation? And what is her mailing address?

Thank you

Lisa

--

Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

This email is UNCLASSIFIED.

NARA_05.20.15_0014



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: (Yahoo News) question on a Request for Records Disposition Authority

1 message

Paul Wester <paul.wester@nara.gov>

Wed, Mar 11, 2015 at 5:36 PM

To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>

Cc: Margaret Hawkins <margaret.hawkins@nara.gov>, "Kleiman, Miriam" <miriam.kleiman@nara.gov>, "Diachenko, Laura" <laura.diachenko@nara.gov>

Lisa,

I know you are working on this question for other reasons, but can you please provide an easy answer and some links to our RCS portal?

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Laura Diachenko** <laura.diachenko@nara.gov>

Date: Wed, Mar 11, 2015 at 3:08 PM

Subject: (Yahoo News) question on a Request for Records Disposition Authority

To: Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Paul Wester <paul.wester@nara.gov>Cc: Miriam Kleiman <miriam.kleiman@nara.gov>

Arian and Paul, would you be able to send me a link for this reporter? Thanks!
Begin forwarded message:

From: Nancy Scola <nancyscola@gmail.com>**Date:** March 11, 2015 at 1:16:18 PM EDT**To:** public.affairs@nara.gov**Subject:** **journalist with a question on a Request for Records Disposition Authority****Reply-To:** nancyscola@gmail.com

Hi there. I hope this finds you well. I'm a journalist who is writing here for Yahoo News. I'm hoping that you can help me out with something. I'm looking for the comparable document for the State Department: http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-justice/rg-0060/n1-060-10-036_sf115.pdf

Might you be able to point me in the right direction?

Best,

-Nancy

Nancy Scola
(m) [202-257-8511](tel:202-257-8511)
nancy@nancyscola.com
[@nancyscola](https://www.facebook.com/nancyscola)
nancyscola.com

NARA_05.20.15_0015

NARA_05.20.15_0016



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: Deadline TODAY reminder/minor revisions: Letter to State & Archivist re Clinton email preservation

1 message

Paul Wester <paul.wester@nara.gov> Mon, Mar 16, 2015 at 1:01 PM
To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **GaryM Stern** <garym.stern@nara.gov>
Date: Mon, Mar 16, 2015 at 12:01 PM
Subject: Fwd: Deadline TODAY reminder/minor revisions: Letter to State & Archivist re Clinton email preservation
To: "Ferriero, David" <david.ferriero@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Bosanko, William" <william.bosanko@nara.gov>, "Wester, Paul" <paul.wester@nara.gov>, "Garland, Donna" <donna.garland@nara.gov>, "Hamilton, John" <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, "Diachenko, Laura" <laura.diachenko@nara.gov>, "Bergman, Hannah" <Hannah.Bergman@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>, "Semo, Alina" <alina.semo@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>

fyi, see sign on letter circulating on the FOIA listserve concerning the Clinton emails, addressed to Kerry and Ferriero.

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

----- Forwarded message -----

From: **Patrice McDermott** <pmcdermott@openthegovernment.org>
Date: Mon, Mar 16, 2015 at 11:47 AM
Subject: Deadline TODAY reminder/minor revisions: Letter to State & Archivist re Clinton email preservation
To: FOI-L@listserv.syr.edu

A reminder that the deadline for signing on to the attached letter to the Archivist and state Department regarding Sec. Clinton's emails is **COB today**. The letter has been revised somewhat since it was first circulated to make the language more precise and cautious, and to acknowledge the possibility that some of the relevant emails may have been deleted. **Please contract me at khawkins@openthegovernment.org if your organization would like to sign on**, or contact me or Patrice McDermott by email or at [202-332-6736](tel:202-332-6736)

NARA_052015_0017

with any questions.

Thanks,

Katherine Hawkins



LETTER TO KERRY FERRIERO RE EMAIL RECOVERY 3-16.docx

29K

NARA_05.20.15_0018



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: Draft letter to State

1 message

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 3:18 PM

To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>

Please call me or stop by if you would like to discuss.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Paul Wester** <paul.wester@nara.gov>

Date: Tue, Mar 3, 2015 at 2:58 PM

Subject: Draft letter to State

To: "Stern, GaryM" <garym.stern@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Trainer, Jay" <jay.trainer@nara.gov>, "Bosanko, William" <william.bosanko@nara.gov>, "Hamilton, John" <john.hamilton@nara.gov>

Attached is the latest draft of the letter I would like to send to State this evening, with a courtesy to Peggy Grafeld ahead of time.

Please let me know what you think, or provide edits, asap.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

**Alleged Clinton 030315v1.docx**

14K

NARA_05.20.15_0019



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: Hillary Clinton email issue

1 message

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 12:56 PM

To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, Julie Reaves <julie.reaves@nara.gov>, Gary Rauchfuss <gary.rauchfuss@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>

FYI

I will talk to James, hopefully later this afternoon or tomorrow.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **James Springs** <james.springs@nara.gov>
Date: Tue, Mar 3, 2015 at 11:58 AM
Subject: Hillary Clinton email issue
To: Paul Wester <paul.wester@nara.gov>

Paul

I am sure that you are busy with the subject issue. I just had a few questions that hope you can answer if not maybe you can point me in the right direction. Specifically, who is the NARA liaison with the State department for records management? Were we aware the gov email system was not being used by Ms Clinton. If we were not aware why not. What checks and balances do we have in place to ensure the gov email systems are being used. In your opinion does NARA only responsibility extend to just putting out the gov policy on email. Finally, what are our next steps regarding this issue.

—
James Springs
Acting Inspector General
[301-837-3018](tel:301-837-3018)

NARA_05.20.15_0020



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: Press follow up on Clinton email story:NY Times and Daily Beast

1 message

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 11:11 AM

To: "Trainer, Jay" <jay.trainer@nara.gov>, Julie Reaves <julie.reaves@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>, Gary Rauchfuss <gary.rauchfuss@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, "Clavelli, Lisa" <lisa.clavelli@nara.gov>

FYI

Thanks to Arian, Lisa, and the ACPD team for putting together the initial draft of the talking points and citations to existing guidance.

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **GaryM Stern** <garym.stern@nara.gov>

Date: Tue, Mar 3, 2015 at 11:07 AM

Subject: Re: Press follow up on Clinton email story:NY Times and Daily Beast

To: Laura Diachenko <laura.diachenko@nara.gov>, "Kleiman, Miriam" <miriam.kleiman@nara.gov>

Cc: "Garland, Donna" <donna.garland@nara.gov>, Sandra Glasser <sandra.glasser@nara.gov>, "Ferriero, David" <david.ferriero@nara.gov>, "Bosanko, William" <william.bosanko@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Hamilton, John" <john.hamilton@nara.gov>, Maria Stanwich <maria.stanwich@nara.gov>, Paul Wester <paul.wester@nara.gov>

Here are talking points that you can use.

Call Paul or me if you have additional questions or issues.

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Tue, Mar 3, 2015 at 9:57 AM, GaryM Stern <garym.stern@nara.gov> wrote:

Also, I got a message from Ruth Marcus, columnist for the Post (and old friend), to call her, presumably on this issue. I have spoken with her periodically over the years on NARA issues, and am happy to do so again now along the same lines I spoke with Schmidt (who sent me an email wondering what I thought of the story).

NARA_05.20.15_0021

And we have already received a FOIA request, asking for communications between NARA and Hillary Clinton

on this issue (which I don't think we will have any) as well as internal NARA communications, which we have some since this issue came up over the weekend.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Tue, Mar 3, 2015 at 8:47 AM, Paul Wester <paul.wester@nara.gov> wrote:

Laura and Miriam,

Thanks for the messages. I understand the schedule issues you are having with the opening completely.

We are working up something that we can share with Gary and up the chain, and then with you.

I have a call with the Deputy Assistant Secretary at State in charge of information management later this morning that may give some additional context to this issue and provide some insights into what has been published.

More to come.

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Tue, Mar 3, 2015 at 8:25 AM, Laura Diachenko <laura.diachenko@nara.gov> wrote:

Good morning! As Miriam said in a previous email, we are holding a press preview for "Spirited Republic" this morning, then have BBC and CNN coming immediately afterwards and into the late afternoon. Not sure how we will survive today! Please let us know how you want us to respond.

So far,

I have a voicemail (attached) from the NY Times: Mike Schmidt is doing a follow up on his article today.

Also an email from the Daily Beast:

Hello. I'm a correspondent with the Daily Beast, and I have a question regarding the use of personal emails by government officials. The state department tells me that in August 2013 the National Archives and Records Administration issued guidance which included that email records of designated senior officials are permanent federal records. And in September 2013 NARA issued guidance on personal email use.

May I see this guidance? I'm not clear if it was publicly issued. And can you also explain what led to the guidance being issued and why NARA decided to take the steps at that time? I'm working on a deadline and appreciate your help.

Thank you.

Shane Harris
Senior Correspondent, The Daily Beast
Future of War **Fellow, New America**
Author of *@War: The Rise of the Military-Internet Complex*
[202-489-4827](tel:202-489-4827)
[402-513-3891](tel:402-513-3891) (encrypted)

Laura Diachenko

National Archives Public Affairs
direct: [202-357-5032](tel:202-357-5032)
email: laura.diachenko@nara.gov



NATIONAL
ARCHIVES



----- Forwarded message -----

From: <"VOICE/+18043636794"@xpr-a2.nara.gov>
Date: 2015-03-03 7:58 GMT-05:00
Subject: Voice mail: 22 sec.
To: laura.diachenko@nara.gov



State talking points re Hillary Clinton Emails.docx

17K

NARA_05.20.15_0023



Margaret Hawkins <margaret.hawkins@nara.gov>

Fwd: RE: SMART TAGS

1 message

Margaret Hawkins <Margaret.Hawkins@nara.gov>

Mon, Nov 15, 2010 at 3:59 PM

To: David Langbart <David.Langbart@nara.gov>

I didn't reply yet.

>>> "Haralampus, Lisa I" <HaralampusLI@state.gov> 11/15/2010 3:27 PM >>>

Fantastic. I was thinking that David would be a great person for the SMART TAGS team to talk to.

I didn't give you much background about the two staff who will be talking to David. They are contractors. One is a taxonomist. The other a CRM. They are in the "information collection" phase of project planning. They've been talking to several individuals in State about how TAGS are used. Getting them NARA's perspective on the Disposition by TAGS schedule is an important part of their work and David is a perfect match.

We will also need to talk about Disposition by TAGS going forward, which is an appraisal function – not a SMART specific function. That is something that we will need someone from the WG to help advise. Our initial thoughts are that we will be "scheduling as we go". In other words, as we move through bureau-by-bureau, we will implement new TAGS to help meet their specific needs.

I hope this makes sense. I understand about the busy schedule – believe me! We'll have to find time to talk before we make too many assumptions about the scheduling portion of the SMART TAGS project.

- Lisa

Lisa Haralampus

Branch Chief, Archive Services Division

NARA_05.20.15_0024

A/GIS/IPS/AAS/AR

202-261-8037

From: Margaret Hawkins [mailto:margaret.hawkins@nara.gov]
Sent: Monday, November 15, 2010 1:39 PM
To: Haralampus, Lisa I
Cc: Kirkpatrick, Katherine G; Thian, Tasha M
Subject: Re: SMART TAGS

Lisa,

I apologize for taking so long to get back to you about setting up this meeting. I was out of the office most days for the last three weeks.

I wanted to let you know that David Langbart is Michael Kurtz's designated NARA SMART representative, so, as we in NWML were instructed, please contact him about setting up the meeting. He will need to be there and he can coordinate with NWML as well.

I do want to alert you that I know from working with David on some CIA issues that both of our schedules are pretty full through November into December due to prior commitments, but we will work to try to schedule a meeting time convenient to all of us.

You probably already have David's contact information, but just in case it is: david.langbart@nara.gov or [301-837-3172](tel:301-837-3172).

NARA_05.20.15_0025

Thanks,

Maggie

Margaret Hawkins, CRM
Supervisor

National Archives and Records Administration
[301-837-1799](tel:301-837-1799)

>>> "Haralampus, Lisa I" <HaralampusLI@state.gov> 10/18/2010 11:14 AM >>>

Hi Maggie,

The Department of State is beginning an initiative to review how TAGS are used in the new SMART environment.

The SMART TAGS project will have an impact on records disposition in that we will be creating new tags that will need new disposition schedules.

I would like to invite you (and other members of the Work Group) to a meeting to discuss this project and its implication on NWML.

We can come to Archives II, if that makes life easier for you.

Please let me know if you have any meeting availabilities in the next four weeks.

Thanks!

- Lisa

NARA_05.20.15_0026

Lisa Haralampus

SMART Archives and Records Management (ARM)

A/GIS/IPS

[202-261-8037](tel:202-261-8037) or 4-8037

[Our mission is to meet the information needs of our customers and the United States Government](#)

This email is UNCLASSIFIED.

NARA_05.20.15_0027



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: State Department OIG Audit of SMART and Email Management

1 message

Paul Wester <paul.wester@nara.gov>

Thu, Mar 12, 2015 at 4:06 AM

To: Julie Reaves <julie.reaves@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>, Gary Rauchfuss <gary.rauchfuss@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>, "Clavelli, Lisa" <lisa.clavelli@nara.gov>, Cindy Smolovik <cindy.smolovik@nara.gov>

FYI

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Paul Wester** <paul.wester@nara.gov>

Date: Thu, Mar 12, 2015 at 3:54 AM

Subject: State Department OIG Audit of SMART and Email Management

To: "Ferriero, David" <david.ferriero@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Bosanko, William" <william.bosanko@nara.gov>, "Stem, GaryM" <garym.stem@nara.gov>, "Hamilton, John" <john.hamilton@nara.gov>, "Trainer, Jay" <jay.trainer@nara.gov>, "Garland, Donna" <donna.garland@nara.gov>

This is the [WaPo article](#) and the following is the OIG report itself:

<http://oig.state.gov/system/files/isp-i-15-15.pdf>

This report is the analysis of the agency-wide issues and outlines the issues with a traditional, user-based approach to performing records management actions on email (SMART).

The report touches on one of the changes State was undertaking to accomplish the M-12-18 goals and that are discussed in the recent State SAO reports; however, the State OIG takes a traditional approach in the recommendations to solving the problem (more staff training and fix SMART), but does not take a broader (more Capstone-like) approach to consider automating more of the process because there is too much decision making on the user.

Coincidentally, our oversight team is conducting an inspection (b) (5)
(b) (5)

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0028



Lisa Clavelli <lisa.clavelli@nara.gov>

NY Times article on Hillary Clinton's emails

1 message

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 8:02 AM

To: AC All <AC-All@nara.gov>

Good morning everyone,

I wanted to let you know that we are aware of the [New York Times article](#) about Hillary Clinton's use of a personal email account to conduct Federal business while she was Secretary of State.

As you would expect, we are already implementing our AC procedures for examining and then addressing the issues with State. We will likely see a lot of press about this issue in the coming days.

We will probably not have much more to say about the matter itself immediately, beyond reiterating all of our well-established guidance related to email management and generally letting everyone know we are working the issue with State.

I ask that if you receive any questions about the article, from the press or other agencies who are curious about the issue, please send them to me and your supervisors so we can address them.

Thanks so much!

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0029



Lisa Clavelli <lisa.clavelli@nara.gov>

NYT article on Secretary Clinton's emails is now posted1 message

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 4:04 AM

To: Julie Reaves <julie.reaves@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, Gary Rauchfuss <gary.rauchfuss@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, "Clavelli, Lisa" <lisa.clavelli@nara.gov>

The NYT article is online at [this link](#).

After a short email exchange with Peggy Grafeld yesterday afternoon and late last night, she said she would try to speak with me today around 10:00am.

We need to accomplish three things today:

(1) Send a letter to State from me on the issues in the NYT article. I will need to share it with Gary Stern and others before sending it. Since this letter will be released to the press, it needs to be perfect.

Lisa C, can you please take the lead on getting this done with Maggie and Laurence?

(2) Develop an immediate set of talking points and a short statement for our public affairs staff, and then a communications plan for us for the coming days. The statement should address our process with issues like this AND put the issue in the context of the government-wide M-12-18 work.

Arian, can you please take the lead in putting this together with Lisa H and Don?

(3) Let our staff know that they we are aware of the issue and are addressing it, and that in the meantime, they should refer any outside questions about the issue, particularly from the press, to their supervisor and me so we can address them.

I will send a message out to our staff about this when I come in later this morning.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0030



Lisa Clavelli <lisa.clavelli@nara.gov>

Re: (Yahoo News) question on a Request for Records Disposition Authority

1 message

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Arian Ravanbakhsh <arian.ravanbakhsh@nara.gov>

Thu, Mar 12, 2015 at 2:21 PM

Thanks. Meant to include the FAQ links. (b) (5)
to Laura. Thanks again for your help.

I can send

Lisa

On Thu, Mar 12, 2015 at 2:18 PM, Arian Ravanbakhsh <arian.ravanbakhsh@nara.gov> wrote:

I think this looks very good and you can drop the links to the FAQs at the bottom. Only suggestion I have is a minor one (b) (5)

If you would like, you can pass this back to Laura and the Public Affairs staff. If you would rather I do it, just let me know and I will go ahead and respond.

On Thu, Mar 12, 2015 at 2:07 PM, Lisa Clavelli <lisa.clavelli@nara.gov> wrote:

Maggie and I have added links for the schedules. Would you review?

Our response is below:

(b) (5)

On Thu, Mar 12, 2015 at 11:33 AM, Arian Ravanbakhsh <arian.ravanbakhsh@nara.gov> wrote:

Here's a draft response. I need you to review/validate and provide the appropriate link(s).

(b) (5)

NARA_05.20.15_0031

(b) (5)

Arian

On Thu, Mar 12, 2015 at 11:10 AM, Paul Wester <paul.wester@nara.gov> wrote:

(b) (5)

If you and Lisa could loop in Arian to solve this before 1:00pm that would be appreciated.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Thu, Mar 12, 2015 at 11:07 AM, Margaret Hawkins <margaret.hawkins@nara.gov> wrote:

What time would be best for you ? Lisa and I are meeting at 1 to discuss. Will need some time after that.

On Mar 12, 2015 11:00 AM, "Laura Diachenko" <laura.diachenko@nara.gov> wrote:

Hi Lisa! Would you be able to send me something by this afternoon so I can get back to the reporter?

Thank you so much!

Laura

Laura Diachenko
National Archives Public Affairs
direct: 202-357-5032
email: laura.diachenko@nara.gov



On Wed, Mar 11, 2015 at 5:36 PM, Paul Wester <paul.wester@nara.gov> wrote:

Lisa,

I know you are working on this question for other reasons, but can you please provide an easy answer and some links to our RCS portal?

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0032

----- Forwarded message -----

From: **Laura Diachenko** <laura.diachenko@nara.gov>

Date: Wed, Mar 11, 2015 at 3:08 PM

Subject: (Yahoo News) question on a Request for Records Disposition Authority

To: Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Paul Wester <paul.wester@nara.gov>

Cc: Miriam Kleiman <miriam.kleiman@nara.gov>

Arian and Paul, would you be able to send me a link for this reporter? Thanks!

Begin forwarded message:

From: Nancy Scola <nancyscola@gmail.com>

Date: March 11, 2015 at 1:16:18 PM EDT

To: public.affairs@nara.gov

Subject: **journalist with a question on a Request for Records Disposition Authority**

Reply-To: nancyscola@gmail.com

Hi there. I hope this finds you well. I'm a journalist who is writing here for Yahoo News. I'm hoping that you can help me out with something. I'm looking for the comparable document for the State Department: http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-justice/rg-0060/n1-060-10-036_sf115.pdf

Might you be able to point me in the right direction?

Best,

-Nancy

Nancy Scola
(m) 202-257-8511
nancy@nancyscola.com
[@nancyscola](https://www.facebook.com/nancyscola)
nancyscola.com

--
Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

--
Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

NARA_05.20.15_0033

NARA_05.20.15_0034



Lisa Clavelli <lisa.clavelli@nara.gov>

Re: A few more email articles beyond HRC

1 message

Paul Wester <paul.wester@nara.gov>

Thu, Mar 12, 2015 at 9:29 AM

To: Rachel Ban Tonkin <rachel.bantonkin@nara.gov>

Cc: Margaret Hawkins <margaret.hawkins@nara.gov>, Sebastian Welch <sebastian.welch@nara.gov>, Erin Cayce <erin.cayce@nara.gov>, Lisa Clavelli <lisa.clavelli@nara.gov>

Knew about one of these, but not the AG story.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Thu, Mar 12, 2015 at 9:20 AM, Rachel Ban Tonkin <rachel.bantonkin@nara.gov> wrote:

<http://www.nbcwashington.com/investigations/Former-Sec-of-Defense-Hagels-Private-Email-Address-Found-on-Email-From-White-House-295813861.html>

<http://www.latimes.com/nation/politics/politicsnow/la-pn-eric-holder-email-aliases-20150310-story.html>

NARA_05.20.15_0035



Lisa Clavelli <lisa.clavelli@nara.gov>

Re: Annual NARA/State Meeting

1 message

Lisa Clavelli <lisa.clavelli@nara.gov>

Fri, Jan 6, 2012 at 6:04 PM

To: "Thian, Tasha M" <ThianTM2@state.gov>

Cc: "Hawkins, Margaret" <Margaret.Hawkins@nara.gov>, "Fischer, William P" <FischerWP@state.gov>, "Kauthen, Blane D" <KauthenBD@state.gov>

Tasha-

I apologize for not getting back in touch with you sooner to schedule the Annual Meeting. As you know its been a little hectic around here as we finish up our reorganization.

Below are a couple dates that work on our end:

January 26th in the AM

January 30th in the AM

January 31st in the AM

With that being said it would be great if would could also include the new workgroup appraisers in the meeting. I would really like to introduce you to everyone and get them orientated with the Department as soon as possible.

Thank you

Lisa Roberson

>>> "Thian, Tasha M" <ThianTM2@state.gov> 11/17/2011 5:01 PM >>>

Maggie and Lisa:

I would like to plan for our annual meeting – can you suggest some days/times. We would like to show you our new website design and our new Retired Records Inventory Management System (RIMS). We automated the retirement manifests – 693s and they are now available at the desk-top level, fully searchable. Also we can let you know our status on the eRSC and show you where we are with the technology.

Also please get back to me on the Passport meeting – they are now ready and we need to do this soon.

Tasha M. Thian, CRM
Agency Records Officer
A/GIS/IPS/RA
(202) 261-8424
Fax: (202) 261-8590
thiantm2@state.gov

This email message is **UNCLASSIFIED**

NARA_05.20.15_0036

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

This email is UNCLASSIFIED.

NARA_05.20.15_0037



Lisa Clavelli <lisa.clavelli@nara.gov>

Re: Deadline is next week! (Yahoo News) question on a Request for Records Disposition Authority

1 message

Lisa Clavelli <lisa.clavelli@nara.gov>

Thu, Mar 12, 2015 at 2:54 PM

To: Laura Diachenko <laura.diachenko@nara.gov>

Cc: Margaret Hawkins <margaret.hawkins@nara.gov>, "Ravanbakhsh, Arian" <Arian.Ravanbakhsh@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Paul Wester <paul.wester@nara.gov>

Laura,

Our response is below. Please let me know if you have any questions.

Each agency develops their own records schedule and NARA approves them. So there is not a records schedule for the State Department that is identical to the one you have for the Justice Department.

The closest match would be the following schedules:

http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-06-005_sf115.pdf which covers the records of the Secretariat Tracking and Retrieval System (STARS). STARS is an automated system used to track, control, and record documents containing substantive foreign policy information passing to, from, and through the offices of the Secretary of State, the Deputy Secretary of State and Department principal officers; and

http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-07-003_sf115.pdf which covers the records of the Central Foreign Policy File (CFPF). The CFPF is the official centralized file of the Department of State which incorporates records and documents of a substantive nature that establish, discuss, or define foreign policy and its development and implementation. Included are telegrams, written documents such as general correspondence, Inter-agency correspondence, congressional correspondence, reports, memorandums, diplomatic notes, email messages, and other communications and documentation. Also included is metadata relating to all the documentation.

The general responsibilities for agencies regarding the management of Federal records is defined by our laws and regulations. For more information, please see: <http://www.archives.gov/records-mgmt/faqs/general.html> and <http://www.archives.gov/records-mgmt/faqs/federal.html>.

On Thu, Mar 12, 2015 at 12:36 PM, Laura Diachenko <laura.diachenko@nara.gov> wrote:

Good news! The reporter's deadline is next week. So would COB Monday work for everyone?

Thanks again!

Laura Diachenko
National Archives Public Affairs
direct: 202-357-5032

NARA_05.20.15_0038

email: laura.diachenko@nara.gov



On Thu, Mar 12, 2015 at 11:10 AM, Paul Wester <paul.wester@nara.gov> wrote:

If the answer is the TAGS schedule, that's the answer. What is needed is some broadly understandable context around the differences between the DOJ schedule and the State schedule.

If you and Lisa could loop in Arian to solve this before 1:00pm that would be appreciated.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Thu, Mar 12, 2015 at 11:07 AM, Margaret Hawkins <margaret.hawkins@nara.gov> wrote:

What time would be best for you ? Lisa and I are meeting at 1 to discuss. Will need some time after that.

On Mar 12, 2015 11:00 AM, "Laura Diachenko" <laura.diachenko@nara.gov> wrote:

Hi Lisa! Would you be able to send me something by this afternoon so I can get back to the reporter?

Thank you so much!

Laura

Laura Diachenko
National Archives Public Affairs
direct: 202-357-5032
email: laura.diachenko@nara.gov



On Wed, Mar 11, 2015 at 5:36 PM, Paul Wester <paul.wester@nara.gov> wrote:

Lisa,

I know you are working on this question for other reasons, but can you please provide an easy answer and some links to our RCS portal?

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0039

----- Forwarded message -----

From: **Laura Diachenko** <laura.diachenko@nara.gov>
Date: Wed, Mar 11, 2015 at 3:08 PM
Subject: (Yahoo News) question on a Request for Records Disposition Authority
To: Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Paul Wester <paul.wester@nara.gov>
Cc: Miriam Kleiman <miriam.kleiman@nara.gov>

Arian and Paul, would you be able to send me a link for this reporter? Thanks!
Begin forwarded message:

From: Nancy Scola <nancyscola@gmail.com>
Date: March 11, 2015 at 1:16:18 PM EDT
To: public.affairs@nara.gov
Subject: **journalist with a question on a Request for Records Disposition Authority**
Reply-To: nancyscola@gmail.com

Hi there. I hope this finds you well. I'm a journalist who is writing here for Yahoo News. I'm hoping that you can help me out with something. I'm looking for the comparable document for the State Department: http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-justice/rg-0060/n1-060-10-036_sf115.pdf

Might you be able to point me in the right direction?

Best,

-Nancy

Nancy Scola
(m) 202-257-8511
nancy@nancyscola.com
[@nancyscola](https://twitter.com/nancyscola)
nancyscola.com

--
Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

NARA_05.20.15_0040



Lisa Clavelli <lisa.clavelli@nara.gov>

Re: Draft letter to State

1 message

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 3:51 PM

To: Margaret Hawkins <margaret.hawkins@nara.gov>

Cc: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Tue, Mar 3, 2015 at 3:48 PM, Margaret Hawkins <margaret.hawkins@nara.gov> wrote:

Looks good. No comments.

On Tue, Mar 3, 2015 at 3:18 PM, Paul Wester <paul.wester@nara.gov> wrote:

Please call me or stop by if you would like to discuss.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Paul Wester** <paul.wester@nara.gov>

Date: Tue, Mar 3, 2015 at 2:58 PM

Subject: Draft letter to State

To: "Stern, GaryM" <garym.stern@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Trainer, Jay" <jay.trainer@nara.gov>, "Bosanko, William" <william.bosanko@nara.gov>, "Hamilton, John" <john.hamilton@nara.gov>

Attached is the latest draft of the letter I would like to send to State this evening, with a courtesy to Peggy Grafeld ahead of time.

Please let me know what you think, or provide edits, asap.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0041



Margaret Hawkins <margaret.hawkins@nara.gov>

Re: State's SMART system

1 message

Margaret Hawkins <Margaret.Hawkins@nara.gov>

Tue, Nov 16, 2010 at 9:54 AM

To: Lynn Goodsell <Lynn.Goodsell@nara.gov>

Cc: David Langbart <David.Langbart@nara.gov>

Lynn,

I'm copying David Langbart on this since he was the lead appraiser on the following schedule, which, according to my understanding, can be used for records in the SMART system:

N1-059-07-03.

If anyone knows differently, please let us know,
Maggie

>>> Lynn Goodsell 11/16/2010 9:32 AM >>>

Hi Maggie,

I've learned that the State Dept. is getting ready to send a test transfer from the SMART (State Messaging and Archive Retrieval Toolset). I understand this is the messaging/correspondence system that will capture emails, cables, and memos, and it is now in full use across State. Do you know if SMART has been scheduled?

Thanks,
Lynn

NARA_05.20.15_0042



Margaret Hawkins <margaret.hawkins@nara.gov>

TIME SENSITIVE-Review of Letter to State

19 messages

Lisa Clavelli <lisa.clavelli@nara.gov>

Tue, Mar 3, 2015 at 10:09 AM

To: Laurence Brewer <laurence.brewer@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>

Paul said to stick to our normal tone for an alienation of records. He also wanted State to report on the email of previous secretaries of state. I wasn't sure how to wrap it up so any additions are welcome or it can be left to Paul to fill in.

Ms. Grafeld:

(b) (5)

PAUL: Not sure how you want to wrap this up.

NARA_05.20.15_0043

--
Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

Margaret Hawkins <margaret.hawkins@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 10:22 AM

On Tue, Mar 3, 2015 at 10:09 AM, Lisa Clavelli <lisa.clavelli@nara.gov> wrote:

Paul said to stick to our normal tone for an alienation of records. He also wanted State to report on the email of previous secretaries of state. I wasn't sure how to wrap it up so any additions are welcome or it can be left to Paul to fill in.

Ms. Grafeld: (b) (5)

NARA_05.20.15_0044

PAUL: Not sure how you want to wrap this up.

--

Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Margaret Hawkins <margaret.hawkins@nara.gov>
Cc: Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 10:26 AM

(b) (5)

[Quoted text hidden]

Laurence Brewer <laurence.brewer@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 10:31 AM

(b) (5)

On Tue, Mar 3, 2015 at 10:09 AM, Lisa Clavelli <lisa.clavelli@nara.gov> wrote:

[Quoted text hidden]

NARA_05.20.15_0045

Laurence Brewer <laurence.brewer@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 10:36 AM

Lisa, Maggie tells me you need to run, so she and I will take it from here. Thanks for getting it started.

[Quoted text hidden]

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Laurence Brewer <laurence.brewer@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 10:42 AM

Here is the first paragraph edited to include the reg as Maggie noted.

(b) (5)

[Quoted text hidden]

Margaret Hawkins <margaret.hawkins@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 11:02 AM

(b) (5)

[Quoted text hidden]

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Margaret Hawkins <margaret.hawkins@nara.gov>
Cc: Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 11:08 AM

That was my question from previous email.

(b) (5)

[Quoted text hidden]

NARA_05.20.15_0046

Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 11:30 AM

To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Here is the draft for quick review before sending on.

[Quoted text hidden]

 **Alleged Clinton 030315.docx**
13K

Margaret Hawkins <margaret.hawkins@nara.gov>
To: Laurence Brewer <laurence.brewer@nara.gov>
Cc: Lisa Clavelli <lisa.clavelli@nara.gov>

Tue, Mar 3, 2015 at 11:33 AM

(b) (5)

[Quoted text hidden]

Laurence Brewer <laurence.brewer@nara.gov>
To: Margaret Hawkins <margaret.hawkins@nara.gov>
Cc: Lisa Clavelli <lisa.clavelli@nara.gov>

Tue, Mar 3, 2015 at 11:38 AM

(b) (5)

[Quoted text hidden]

--

Laurence Brewer, CRM
Director, National Records Management Program (ACN)
National Archives and Records Administration
laurence.brewer@nara.gov
Tel: (301) 837-1539
BB: (301) 974-4582

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Laurence Brewer <laurence.brewer@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 11:42 AM

With correct address and salutation.

[Quoted text hidden]

NARA_05.20.15_0047

 **Alleged Clinton 030315.docx**
14K

Margaret Hawkins <margaret.hawkins@nara.gov>
To: Laurence Brewer <laurence.brewer@nara.gov>
Cc: Lisa Clavelli <lisa.clavelli@nara.gov>

Tue, Mar 3, 2015 at 11:45 AM

I only know Hemphill who is not answering his phone and Michael White who must have left NARA.

[Quoted text hidden]

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Margaret Hawkins <margaret.hawkins@nara.gov>
Cc: Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 11:47 AM

In the "metadata" section of the page from GPO it says July 1, 2011.

<http://www.gpo.gov/fdsys/granule/CFR-2011-title36-vol3/CFR-2011-title36-vol3-sec1236-22>

[Quoted text hidden]

Laurence Brewer <laurence.brewer@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 11:49 AM

So we should be OK, she was in office til 2013

[Quoted text hidden]

Laurence Brewer <laurence.brewer@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 11:50 AM

Maggie, ball's in your court to red folder it and get it to Paul?

[Quoted text hidden]

Margaret Hawkins <margaret.hawkins@nara.gov>
To: Laurence Brewer <laurence.brewer@nara.gov>

Tue, Mar 3, 2015 at 11:52 AM

Sure.

[Quoted text hidden]

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Laurence Brewer <laurence.brewer@nara.gov>
Cc: Margaret Hawkins <margaret.hawkins@nara.gov>

NARA_05.20.15_0048
Tue, Mar 3, 2015 at 11:53 AM

I think he wanted an electronic copy to first share with the mgmt. team. I can send over the document I edited with the address included.

[Quoted text hidden]

Margaret Hawkins <margaret.hawkins@nara.gov>

Tue, Mar 3, 2015 at 11:55 AM

To: Lisa Clavelli <lisa.clavelli@nara.gov>

Cc: Laurence Brewer <laurence.brewer@nara.gov>

all right. They might re-edit it. So i'll just in the meantime figure out the file codes at the bottom.

[Quoted text hidden]

NARA_05.20.15_0049

Jan. 14th

NWML / State FY11 Workplan

Digital photos from GSM (Danielle Scott working it)
2001-2006 cut over to digital photos from
film based

2011 Plan for State

10 Main projects this year (not counting Passports)

Priorities of State

- * 1) SMART TAGS - implementation is #1 priority
includes record email component, all posts $\frac{1}{2}$ 50%
domestic, [Legal, CA, DS cutting over pretty soon]
- * 2) SMART Records Mgmt - how to use record email,
developing policy $\frac{1}{2}$ guidance products
use in some capacity as a RMA for perm records.
- * 3) Vital Records - laying foundation, hired addtl. contract
staff (MultiMax ARay Vistronics) [Jim Vance - Army]
draft project plan being coordinated w/ OEM.
- 4) Scheduling the ADMIN systems - hoping for mostly
GRS - go through Admin, Res. Mgmt, HR, IRM
admin bureaus that support the agencies.
- 5) pending NARA - Dayton schedule, project on
• asset management • What are holdings, how
are they being preserved, gaps analysis
- IPS 6) RIMS - Retired records inventory mgmt system
at desktop to identify gaps
- IPS 7) Freedom's schedule implementation

IPS 8) Transfer Management - list of perm. electronic records developed to help in this

Multi-year project 9) ERSC - Electronic Record Service Center
Ron Hampton joining to work solely on this issue develop new State Archive to take in records, work the 25yr review, proactively working the issue. Also be the archive for unstructured electronic records (SharePoint, websites, S drive)
ERSC will be phased, 1) get tool to take in records and manage RMA - mimic the RSC process. 2) open it wide to the Dept. - transfer records electronically
3) some sort of cloud to send automatically.

Baghdad is the first other agency. Piloting FILE NET (IBM RMA), Department also uses Autonomy

Perm and possibly long-term temporary
10) Pro-Active scheduling - not yet id'd other Bureaus for scheduling. Might look to work IRM and hoping for 1 more Bureau. Should have some more from ECA - 9 more from DS by March 1st (in clearance now)

do what's right/best for the records

Kurtz letter on the 77 transfer - no piecemeal, everything at once
could
would like to transfer cables earlier (State would like to
→ review upto 84/85

2 new training module - 1) Basic RM Training, 2) Targeted Audience Supervisors Program Managers responsibility for records Mgmt.
1/2 hr - mandatory
NARA_05.20.15_0051

①

July 17th 2014

NARA / State Dept
eRSC Meeting

eRSC Overview

* right now Senior Officials &
other related perm. series

Share Point / shared drive
special collections (Benghazi, Iraq, Task Forces)
archival storage classified awaiting declass review
allows for "dirty word searches"

Senior officials email - serves as "catchers
net" to preserve departing senior officials
FOIA Processing - digital to digital transfer of e-records

Ingest via cd, DVD, and network link (direct transfer)
holding area - CARS (not r/k system)

* e693 complete electronic workflow *

• pdf file conversion completed during
pre-processing

* plan to open up to pilot / program offices
next couple of months

* Any scheduling implications w/ storage of records
in the eRSC??

1) transfers - file formats & metadata
 early in process but pst file open,
 convert to PDF-A (which was to dedupe &
 remove non-record, personal), email itself
~~email~~ is then reconnected to attachments.

* Does NARA want pst (native) or pdf format
 in transferring email?

→ for Capstone approach ~~is~~ pdf is good
 b/c the non-record is being removed.

→ pdf-A is good option for long term

→ .msg. format is the format where dedupe
 and non-records are removed.

2) Preaccessioning of CDs - NO

move data from CARS to the eRSC
 cds will be pst files (email records)

3) Google Apps for Govt.

program office using gmail with no
 r/k system -

• Must be maintained in r/k system

* which should be the eRSC *

"adoption of Google Apps
 at DOI has almost
 been a total disaster"

① Scheduling Discussion (3)
↳ "Simplified Records Schedules"

rewriting/modernizing State Dept RM Policy

→ directive

→ M/n

→ reaffirming roles & responsb. at Assist. Sectr.

→ working at Bureau levels to standardize

→ targeting senior leaders - asserting roles

tested in Office of Policy

now looking to move to a Bureau

wanting to establish Bureau Records Coordinators.

writing a Policy document - each Asst. Sectr.

must assign a BRC.

FAM/FAH full scrub on RM topics.

this BRC ~~is~~ aspect would be incorporated

Scheduling

Simplified Records Scheduling
condensing to Bureau level

Enterprise wide

Admin/Trust Office

Senior Level Officials

Geographic Bureaus

①

② Bureau
Front Offices



Will be starting w/ INL - easy
then move on to DS

on to the Office of the Secretary
w/ Principles (7th Floor)

Will be based on Functions

* All submitted to NARA by Dec. 2016 *

Enterprise Wide | Mission Level

- built around Bureaus (consolidated)

- NOT consolidated Bureaus (INL)

-

Training

more mobile training

ex: links / blackberry Trainings

written, supplemented w/ video.

reinventing communication - social media

* MAGGIE - status of template
share fields or anything

INL & Front Office - some time in

Sept | Oct. - FY15



Paul Wester <paul.wester@nara.gov>

Draft Email Policy

4 messages

Fischer, William P <FischerWP@state.gov>

Mon, Oct 20, 2014 at 11:50 AM

To: "lisa.haralampus@nara.gov" <lisa.haralampus@nara.gov>

Cc: "paul.wester@nara.gov" <paul.wester@nara.gov>, "Hackett, John" <HackettJ2@state.gov>

Lisa,

I hope you had a nice weekend. I'm seeking NARA comments on the attached draft email policy. Before seeking Department clearance, I want to ensure that whatever we say is consistent with law and regulation. This is an early draft and not for distribution beyond NARA. Please also limit distribution within NARA to those who have equities in this issue.

If you could manage any comments by the end of the week, I would appreciate it. Nevertheless, I understand you have plenty of other things going on.

Thanks,

Bill

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

[202-261-8369](tel:202-261-8369)

Our mission is to meet the information needs of our customers and the U.S. Government.

SBU

This email is UNCLASSIFIED.

NARA_05.20.15_0056

5 FAM 447 Email.docx



Paul Wester <paul.wester@nara.gov>

Mon, Mar 2, 2015 at 2:18 PM

To: "Stern, GaryM" <garym.stern@nara.gov>, "Ferriero, David" <david.ferriero@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Trainer, Jay" <jay.trainer@nara.gov>, "Bosanko, William" <william.bosanko@nara.gov>, "Hamilton, John" <john.hamilton@nara.gov>, "Garland, Donna" <donna.garland@nara.gov>, "Kleiman, Miriam" <miriam.kleiman@nara.gov>, "Diachenko, Laura" <laura.diachenko@nara.gov>

The following is additional background to the email Gary just sent on Secretary Clinton's emails from his conversation with State's Deputy Legal Advisor.

On October 10, 2014, Bill Fischer, the Department of State agency records officer, sent the message below, along with a draft email policy (also below or attached) to update State's Foreign Affairs Manual (5 FAM 447), to Lisa Clavelli (the team leader for the appraisal work group that deals with State) and Lisa Haralampus (the head of the RM Policy Team that develops the relevant email and messaging policy), with a cc: to me and Bill's supervisor at State, John Hackett.

(b) (5)

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Fischer, William P** <FischerWP@state.gov>
Date: Mon, Oct 20, 2014 at 11:50 AM
Subject: Draft Email Policy
To: "lisa.haralampus@nara.gov" <lisa.haralampus@nara.gov>
Cc: "paul.wester@nara.gov" <paul.wester@nara.gov>, "Hackett, John" <HackettJ2@state.gov>

Lisa,

NARA_05.20.15_0057

I hope you had a nice weekend. I'm seeking NARA comments on the attached draft email

policy. Before seeking Department clearance, I want to ensure that whatever we say is consistent with law and regulation. This is an early draft and not for distribution beyond NARA. Please also limit distribution within NARA to those who have equities in this issue.

If you could manage any comments by the end of the week, I would appreciate it. Nevertheless, I understand you have plenty of other things going on.

Thanks,

Bill

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

[202-261-8369](tel:202-261-8369)

Our mission is to meet the information needs of our customers and the U.S. Government.

SBU

This email is UNCLASSIFIED.

 **5 FAM 447 Email.docx**
27K

GaryM Stern <garym.stern@nara.gov>
To: Paul Wester <paul.wester@nara.gov>

Mon, Mar 2, 2015 at 4:10 PM

(b) (5)

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)

NARA_05.20.15_0058

301-837-0293 (fax)
garym.stern@nara.gov

On Mon, Mar 2, 2015 at 2:18 PM, Paul Wester <paul.wester@nara.gov> wrote:

The following is additional background to the email Gary just sent on Secretary Clinton's emails from his conversation with State's Deputy Legal Advisor.

On October 10, 2014, Bill Fischer, the Department of State agency records officer, sent the message below, along with a draft email policy (also below or attached) to update State's Foreign Affairs Manual (5 FAM 447), to Lisa Clavelli (the team leader for the appraisal work group that deals with State) and Lisa Haralampus (the head of the RM Policy Team that develops the relevant email and messaging policy), with a cc: to me and Bill's supervisor at State, John Hackett.

(b) (5)

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

----- Forwarded message -----

From: **Fischer, William P** <FischerWP@state.gov>
Date: Mon, Oct 20, 2014 at 11:50 AM
Subject: Draft Email Policy
To: "lisa.haralampus@nara.gov" <lisa.haralampus@nara.gov>
Cc: "paul.wester@nara.gov" <paul.wester@nara.gov>, "Hackett, John" <HackettJ2@state.gov>

Lisa,

I hope you had a nice weekend. I'm seeking NARA comments on the attached draft email policy. Before seeking Department clearance, I want to ensure that whatever we say is consistent with law and regulation. This is an early draft and not for distribution beyond NARA. Please also limit distribution within NARA to those who have equities in this issue.

NARA 05/30/15 0059

If you could manage any comments by the end of the week, I would appreciate it. Nevertheless, I understand you have plenty of other things going on.

Thanks,

Bill

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

[202-261-8369](tel:202-261-8369)

Our mission is to meet the information needs of our customers and the U.S. Government.

SBU

This email is UNCLASSIFIED.

Paul Wester <paul.wester@nara.gov>
To: GaryM Stern <garym.stern@nara.gov>

Mon, Mar 2, 2015 at 4:35 PM

(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Mon, Mar 2, 2015 at 4:10 PM, GaryM Stern <garym.stern@nara.gov> wrote:

(b) (5)

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road

NARA_05.20.15_0060

College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Mon, Mar 2, 2015 at 2:18 PM, Paul Wester <paul.wester@nara.gov> wrote:

The following is additional background to the email Gary just sent on Secretary Clinton's emails from his conversation with State's Deputy Legal Advisor.

On October 10, 2014, Bill Fischer, the Department of State agency records officer, sent the message below, along with a draft email policy (also below or attached) to update State's Foreign Affairs Manual (5 FAM 447), to Lisa Clavelli (the team leader for the appraisal work group that deals with State) and Lisa Haralampus (the head of the RM Policy Team that develops the relevant email and messaging policy), with a cc: to me and Bill's supervisor at State, John Hackett.

(b) (5)

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

----- Forwarded message -----

From: **Fischer, William P** <FischerWP@state.gov>
Date: Mon, Oct 20, 2014 at 11:50 AM
Subject: Draft Email Policy
To: "lisa.haralampus@nara.gov" <lisa.haralampus@nara.gov>
Cc: "paul.wester@nara.gov" <paul.wester@nara.gov>, "Hackett, John" <HackettJ2@state.gov>

Lisa,

I hope you had a nice weekend. I'm seeking NARA comments on the attached draft email policy. Before seeking Department clearance, I want to ensure that whatever we say is consistent with law and regulation. This is an early draft and not for distribution

beyond NARA. Please also limit distribution within NARA to those who have equities in this issue.

If you could manage any comments by the end of the week, I would appreciate it. Nevertheless, I understand you have plenty of other things going on.

Thanks,

Bill

William P. Fischer

Agency Records Officer

Office of Information Programs and Services

U.S. Department of State

202-261-8369

Our mission is to meet the information needs of our customers and the U.S. Government.

SBU

This email is UNCLASSIFIED.

NARA_05.20.15_0062



Paul Wester <paul.wester@nara.gov>

Fwd: nyt

9 messages

GaryM Stern <garym.stern@nara.gov>

Fri, Feb 27, 2015 at 9:32 PM

To: David Ferriero <david.ferriero@nara.gov>, Paul Wester <paul.wester@nara.gov>, William Bosanko <william.bosanko@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Donna Garland <donna.garland@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time).

Let me know if that makes sense for me to do that?

Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>

Date: Feb 27, 2015 7:45 PM

Subject: nyt

To: <garym.stern@nara.gov>

Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

William Bosanko <william.bosanko@nara.gov>

Fri, Feb 27, 2015 at 9:42 PM

To: GaryM Stern <garym.stern@nara.gov>

Cc: David Ferriero <david.ferriero@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Donna Garland <donna.garland@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, Paul Wester <paul.wester@nara.gov>

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time).

Let me know if that makes sense for me to do that?

Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

NARA_05.20.15_0063

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

David Ferriero <david.ferriero@nara.gov> Fri, Feb 27, 2015 at 10:44 PM
To: William Bosanko <william.bosanko@nara.gov>
Cc: GaryM Stern <garym.stern@nara.gov>, Donna Garland <donna.garland@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, Paul Wester <paul.wester@nara.gov>

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

Paul Wester <paul.wester@nara.gov>

Sat, Feb 28, 2015 at 6:35 AM

To: David Ferriero <david.ferriero@nara.gov>

Cc: William Bosanko <william.bosanko@nara.gov>, GaryM Stern <garym.stern@nara.gov>, Donna Garland <donna.garland@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

NARA_05.20.15_0065

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever.
Thnx, Mike

GaryM Stern <garym.stern@nara.gov>

Sat, Feb 28, 2015 at 1:23 PM

To: Paul Wester <paul.wester@nara.gov>

Cc: David Ferriero <david.ferriero@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Donna Garland <donna.garland@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, William Bosanko <william.bosanko@nara.gov>, Laura Diachenko <laura.diachenko@nara.gov>

Paul, thanks for the background. Totally agree that nothing is truly off the record. I won't say anything that I wouldn't otherwise say publicly. I left him a message but haven't heard back.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero

NARA_05.20.15_0066

Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

----- Forwarded message -----
From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at 804.363.6794 or can call you whenever. Thnx, Mike

David Ferriero <david.ferriero@nara.gov>

Sat, Feb 28, 2015 at 3:19 PM

To: Paul Wester <paul.wester@nara.gov>

Cc: GaryM Stern <garym.stern@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Donna Garland <donna.garland@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, William Bosanko <william.bosanko@nara.gov>

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

NARA_05.20.15_0067

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked

a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

NARA_05.20.15_0068

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government

employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

Paul Wester <paul.wester@nara.gov>
To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>

Sat, Feb 28, 2015 at 4:56 PM

FYI

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **David Ferriero** <david.ferriero@nara.gov>
Date: Sat, Feb 28, 2015 at 3:19 PM
Subject: Re: Fwd: nyt
To: Paul Wester <paul.wester@nara.gov>
Cc: GaryM Stern <garym.stern@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Donna Garland <donna.garland@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, William Bosanko <william.bosanko@nara.gov>

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

NARA_05.20.15_0069

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government

National Archives and Records Administration
301-837-3120

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at 804.363.6794 or can call you whenever. Thnx, Mike

GaryM Stern <garym.stern@nara.gov>

Sun, Mar 1, 2015 at 2:20 PM

To: David Ferriero <david.ferriero@nara.gov>, Paul Wester <paul.wester@nara.gov>

Cc: John Hamilton <john.hamilton@nara.gov>, Donna Garland <donna.garland@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, William Bosanko <william.bosanko@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him

that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

NARA_05.20.15_0071

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at 804.363.6794 or can call you whenever. Thnx, Mike

David Ferriero <david.ferriero@nara.gov>

Sun, Mar 1, 2015 at 2:25 PM

To: GaryM Stern <garym.stern@nara.gov>

Cc: Donna Garland <donna.garland@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, Paul Wester <paul.wester@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, William Bosanko <william.bosanko@nara.gov>

Thanks,

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration

NARA_05.20.15_0072

700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs. We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT. NARA_05_2015_0073
NARA has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

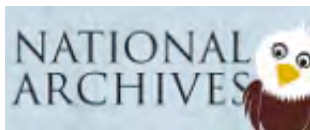
Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

NARA_05.20.15_0074



Paul Wester <paul.wester@nara.gov>

Fwd: Re: Fwd: nyt (very close hold)

1 message

Paul Wester <paul.wester@nara.gov>

Sun, Mar 1, 2015 at 4:38 PM

To: lisa.clavelli@nara.gov, Laurence Brewer <laurence.brewer@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Gary Rauchfuss <gary.rauchfuss@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>, Julie Reaves <julie.reaves@nara.gov>

FYI - Something we will need to look out for tomorrow.

Paul

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs. We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

NARA_05.20.15_0075

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

In addition to the Chemical Safety Board chairman issue with personal email that we continue to sort through this week, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. There is no such thing as off the record!

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
([202-357-5900](tel:202-357-5900))
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. Good to help them understand.

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

NARA_05.20.15_0076

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

NARA_05.20.15_0077



Lisa Clavelli <lisa.clavelli@nara.gov>

Fwd: Requesting NARA Meeting on Secretary's eBriefing Book

1 message

Paul Wester <Paul.Wester@nara.gov>

Mon, Feb 11, 2013 at 12:46 PM

To: "Wash, Michael" <Michael.Wash@nara.gov>, "Mayer, Bill" <Bill.Mayer@nara.gov>

Cc: "Bosanko, William" <William.Bosanko@nara.gov>, "Riner, Carla" <Carla.Riner@nara.gov>, "Clavelli, Lisa" <Lisa.Clavelli@nara.gov>

Bill and Mike,

As an FYI - the AC staff along with Bob Spangler and Greg Lepore from Research Services (Lisa Clavelli on our staff is reaching out to them) - are going to take a meeting with State on this new briefing tool and the RM implications.

This seems to be along the lines of what is done in the WH with the Presidential Daily Brief from the CIA.

Paul

>>> Lisa Clavelli 2/11/2013 12:32 PM >>>

Paul-

See attached request from Tasha. I was thinking of reaching out to Don Chalfant and possibly Lepour or Spangler along with someone from Textual. Is there anyone else you feel should be included?

Thanks

Lisa

----- Forwarded message -----

From: "Thian, Tasha M"

Date: Fri, 08 Feb 2013 21:44:48 GMT

Subject: Requesting NARA Meeting on Secretary's eBriefing Book

To: Lisa Clavelli

Lisa:

Please reach out to NARA's electronic records staff for a contact to meet with our Office of the Secretary's IT staff on how we can capture records in a new tool developed for Secretary Kerry. Essentially S has developed an eBriefing Book that is accessed via I-Pad which looks like a website with various links and note capability. Please let me know. Thanks,

Tasha M. Thian, CRM
Agency Records Officer
A/GIS/IPS/RA
(202) 261-8424
Fax: (202) 261-8590
thiantm2@state.gov

This email message is **UNCLASSIFIED**

NARA_05.20.15_0078

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

This email is UNCLASSIFIED.

NARA_05.20.15_0079



Paul Wester <paul.wester@nara.gov>

Fwd: Time to Talk

15 messages

Kate Slauch <kate.slauch@nara.gov>

Wed, Feb 25, 2015 at 6:36 PM

To: Paul Wester <paul.wester@nara.gov>, John Hamilton <john.hamilton@nara.gov>

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi

1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

Paul Wester <paul.wester@nara.gov>

Wed, Feb 25, 2015 at 6:46 PM

To: lisa.clavelli@nara.gov

FYI

----- Forwarded message -----

From: "Kate Slauch" <kate.slauch@nara.gov>

Date: Feb 25, 2015 6:36 PM

Subject: Fwd: Time to Talk

To: "Paul Wester" <paul.wester@nara.gov>, "John Hamilton" <john.hamilton@nara.gov>

Cc:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

NARA_05.20.15_0080

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Paul Wester <paul.wester@nara.gov>

Thu, Feb 26, 2015 at 7:08 AM

State makes their records schedules available through their FOIA page. Schedules are available for both domestic operations (RG 59) and the Foreign Posts (RG 84). Within RG 59 the schedules are organized in chapters by Bureau.

<http://foia.state.gov/Learn/RecordsDisposition.aspx>

(b) (5)

If you need anything else please let me know.

Thanks
Lisa

Lisa R. Clavelli

On Feb 25, 2015 6:46 PM, "Paul Wester" <paul.wester@nara.gov> wrote:

FYI

----- Forwarded message -----

From: "Kate Slauch" <kate.slauch@nara.gov>
Date: Feb 25, 2015 6:36 PM
Subject: Fwd: Time to Talk
To: "Paul Wester" <paul.wester@nara.gov>, "John Hamilton" <john.hamilton@nara.gov>
Cc:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

NARA_05.20.15_0081

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

Paul Wester <paul.wester@nara.gov>
To: Kate Slauch <kate.slauch@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>
Bcc: "Clavelli, Lisa" <lisa.clavelli@nara.gov>

Thu, Feb 26, 2015 at 7:34 AM

Hi Kate,
The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
[\(202\) 261-8369](tel:(202)261-8369)

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.
NARA_05.20.15_0082

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

Kate Slauch <kate.slauch@nara.gov>
To: Paul Wester <paul.wester@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Thu, Feb 26, 2015 at 8:54 AM

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,
The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

NARA_05.20.15_0083

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm

looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

Kate Slauch <kate.slauch@nara.gov>
To: Paul Wester <paul.wester@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Thu, Feb 26, 2015 at 9:43 AM

Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0084

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi

1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

–

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
202-357-5100

Kate Slauch <kate.slauch@nara.gov>
To: Paul Wester <paul.wester@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Thu, Feb 26, 2015 at 10:11 AM

And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

NARA_05.20.15_0085

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer

Department of State

SA-2, Room 5009

515 22nd Street NW

Washington DC 20522-0205

FischerWP@state.gov

(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.

Chief Records Officer for the U.S. Government

National Archives and Records Administration

[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi

1036 Longworth HOB | 📞 202.226.7100 | <http://benghazi.house.gov>

NARA_05.20.15_0086

--
Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--
Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

Paul Wester <paul.wester@nara.gov>
To: lisa.clavelli@nara.gov

Thu, Feb 26, 2015 at 10:31 AM

Lisa,
(b) (5)

but can we talk tomorrow morning I can respond tomorrow?

Thanks, Paul

And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,
The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW

NARA_05.20.15_0087

Washington DC 20522-0205

FischerWP@state.gov

(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.

Chief Records Officer for the U.S. Government

National Archives and Records Administration

[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi

1036 Longworth HOB | [☎ 202.226.7100](tel:202.226.7100) | <http://benghazi.house.gov>

--

Kate A. Slauch

Congressional Affairs

National Archives and Records Administration

[202-357-5100](tel:202-357-5100)

--

Kate A. Slauch

Congressional Affairs

National Archives and Records Administration

[202-357-5100](tel:202-357-5100)

NARA_05.20.15_0088

Paul Wester <paul.wester@nara.gov>
To: Meredith Scheiber <meredith.scheiber@nara.gov>

Thu, Feb 26, 2015 at 11:06 AM

A little more context.

Thanks, Paul

----- Forwarded message -----
From: "Paul Wester" <paul.wester@nara.gov>
Date: Feb 26, 2015 10:31 AM
Subject: Fwd: Re: Time to Talk
To: <lisa.clavelli@nara.gov>
Cc:

Lisa,
(b) (5)

but can we talk tomorrow morning I can respond tomorrow?

Thanks, Paul

And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
(202) 261-8369

NARA_05.20.15_0089

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ [202.226.7100](tel:202.226.7100) | <http://benghazi.house.gov>

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Paul Wester <paul.wester@nara.gov>

Thu, Feb 26, 2015 at 11:23 AM
NARA_05.20.15_0090

(b) (5)

(b) (5)

Want to talk later today?

On Thu, Feb 26, 2015 at 10:31 AM, Paul Wester <paul.wester@nara.gov> wrote:

Lisa,
(b) (5)

but can we talk tomorrow morning I can respond tomorrow?

Thanks, Paul

And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration

NARA_05.20.15_0091

301-837-3120

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--

Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

Paul Wester <paul.wester@nara.gov>
To: Kate Slauch <kate.slauch@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Fri, Feb 27, 2015 at 9:48 AM

NARA_05.20.15_0092

Kate,

Our staff works closely with the State Department records management staff. We have at least two staff members

whose portfolio of agencies includes the State Department. Aside from regular periodic phone calls, NARA staff also meet face-to-face with the State Department records management staff to appraise records, interview program staff to understand the records better, and consult on other records management issues. This happens probably several times a month. The Research Services staff also works with State regularly on archival records transfers to NARA. The National Declassification Center staff works with the State Department on declassification issues.

Overall, the State Department records management program and staff are considered very strong. NARA has awarded the State Department two Archivist Achievement Awards in Records Management in the past decade. They also have strong [Records Management Self-Assessment](#) scores.

Like most Federal agencies, the State Department currently has a "print-and-file" policy for their email; however, like most agencies trying to meet the [Managing Government Records \(M-14-16\)](#) 2016 deadline for managing all email electronically, and the requirements in [PL 113-187](#), they are considering new policies. State has also worked on a number of electronic records initiative issues to improve their business processes, including the development of the SMART (State Messaging and Archive Toolset) system. We are not privy to all of their internal deliberations, but we believe State is making good progress on the email management issue.

On the Benghazi matter, most of the records are most likely covered by the State Department records schedule for the Accountability Review Board (ARB). The following, [in blue](#), is gleaned from a quick internet search, our knowledge of the records schedules, and from posted State Department materials:

[The ARB process is a mechanism to foster more effective security of U.S. missions and personnel abroad by ensuring a thorough and independent review of security related incidents. Through its investigations and recommendations, the ARB seeks to determine accountability, and promote and encourage improved security programs and practices. In addition, the ARB mechanism enhances the integrity of the visa issuing process by determining accountability in certain instances in which terrorist acts in the United States are committed by aliens.](#)

[A Board will be convened for the express purpose of investigating only that incident or those incidents specified by the Secretary. A Board will examine the facts and circumstances surrounding the incident or incidents, and makes written findings in accordance with 12 FAM 035.](#)

Records of the Accountability Review Board are found among the dispositions in Chapter 2, Principle Officers of the Department of State Records Schedules. http://foia.state.gov/_docs/RecordsDisposition/A-02.pdf.

The original NARA-approved schedule is job number N1-59-99-16 (items 9a1 and 9b1). It is found on NARA's records management website at: http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-99-016_sf115.pdf

To get a clearer view of the State Department's current policies and practices, and their policy and practices in 2011-2012 with respect to email and ARM records, it would be best to consult with the Bill Fischer, the State Department records officer. He can be reached at FisherWP@state.gov or [202-261-8369](tel:202-261-8369).

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Thu, Feb 26, 2015 at 10:11 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during [NARA_00102011_093](#) 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer

Department of State

SA-2, Room 5009

515 22nd Street NW

Washington DC 20522-0205

FischerWP@state.gov

(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.

Chief Records Officer for the U.S. Government

National Archives and Records Administration

301-837-3120

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

NARA_05.20.15_0094

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information.

Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

--
Kate A. Slaugh
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--
Kate A. Slaugh
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

Paul Wester <paul.wester@nara.gov>
To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>

Fri, Feb 27, 2015 at 9:50 AM

FYI

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----
From: **Paul Wester** <paul.wester@nara.gov>
Date: Fri, Feb 27, 2015 at 9:48 AM
Subject: Re: Time to Talk
To: Kate Slaugh <kate.slaugh@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Kate,
Our staff works closely with the State Department records management staff. We have at least two staff members whose portfolio of agencies includes the State Department. Aside from regular periodic phone calls, NARA staff also meet face-to-face with the State Department records management staff to appraise records, interview program staff to understand the records better, and consult on other records management issues. This happens probably several times a month. The Research Services staff also works with State regularly on archival records transfers to NARA. The National Declassification Center staff works with the State Department on declassification issues.

Overall, the State Department records management program and staff are considered very strong. NARA has awarded the State Department two Archivist Achievement Awards in Records Management in the past decade. They also have strong Records Management Self-Assessment scores.

Like most Federal agencies, the State Department currently has a "print-and-file" policy for their email; however, like most agencies trying to meet the Managing Government Records (M-14-16) 2016 deadline for managing all email electronically, and the requirements in PL 113-187, they are considering new policies. State has also worked on a number of electronic records initiative issues to improve their business processes, including the development of the SMART (State Messaging and Archive Toolset) system. We are not privy to all of their internal deliberations, but we believe State is making good progress on the email management issue.

On the Benghazi matter, most of the records are most likely covered by the State Department records schedule for the Accountability Review Board (ARB). The following, [in blue](#), is gleaned from a quick internet search, our knowledge of the records schedules, and from posted State Department materials:

The ARB process is a mechanism to foster more effective security of U.S. missions and personnel abroad by ensuring a thorough and independent review of security related incidents. Through its investigations and recommendations, the ARB seeks to determine accountability, and promote and encourage improved security programs and practices. In addition, the ARB mechanism enhances the integrity of the visa issuing process by determining accountability in certain instances in which terrorist acts in the United States are committed by aliens.

A Board will be convened for the express purpose of investigating only that incident or those incidents specified by the Secretary. A Board will examine the facts and circumstances surrounding the incident or incidents, and makes written findings in accordance with 12 FAM 035.

Records of the Accountability Review Board are found among the dispositions in Chapter 2, Principle Officers of the Department of State Records Schedules. http://foia.state.gov/_docs/RecordsDisposition/A-02.pdf.

The original NARA-approved schedule is job number N1-59-99-16 (items 9a1 and 9b1). It is found on NARA's records management website at: http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-99-016_sf115.pdf

To get a clearer view of the State Department's current policies and practices, and their policy and practices in 2011-2012 with respect to email and ARM records, it would be best to consult with the Bill Fischer, the State Department records officer. He can be reached at FisherWP@state.gov or 202-261-8369.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Thu, Feb 26, 2015 at 10:11 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

NARA_05.20.15_0096

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer

Department of State

SA-2, Room 5009

515 22nd Street NW

Washington DC 20522-0205

FischerWP@state.gov

(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.

Chief Records Officer for the U.S. Government

National Archives and Records Administration

301-837-3120

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>

Date: Feb 25, 2015 5:32 PM

Subject: Time to Talk

To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>

Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

NARA_05.20.15_0097

--
Kate A. Slaugh
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--
Kate A. Slaugh
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

Kate Slaugh <kate.slaugh@nara.gov>
To: Paul Wester <paul.wester@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Fri, Feb 27, 2015 at 9:55 AM

Very thorough, thank you! I'll forward this on.

On Fri, Feb 27, 2015 at 9:48 AM, Paul Wester <paul.wester@nara.gov> wrote:

Kate,

Our staff works closely with the State Department records management staff. We have at least two staff members whose portfolio of agencies includes the State Department. Aside from regular periodic phone calls, NARA staff also meet face-to-face with the State Department records management staff to appraise records, interview program staff to understand the records better, and consult on other records management issues. This happens probably several times a month. The Research Services staff also works with State regularly on archival records transfers to NARA. The National Declassification Center staff works with the State Department on declassification issues.

Overall, the State Department records management program and staff are considered very strong. NARA has awarded the State Department two Archivist Achievement Awards in Records Management in the past decade. They also have strong Records Management Self-Assessment scores.

Like most Federal agencies, the State Department currently has a "print-and-file" policy for their email; however, like most agencies trying to meet the Managing Government Records (M-14-16) 2016 deadline for managing all email electronically, and the requirements in PL 113-187, they are considering new policies. State has also worked on a number of electronic records initiative issues to improve their business processes, including the development of the SMART (State Messaging and Archive Toolset) system. We are not privy to all of their internal deliberations, but we believe State is making good progress on the email management issue.

On the Benghazi matter, most of the records are most likely covered by the State Department records schedule for the Accountability Review Board (ARB). The following, [in blue](#), is gleaned from a quick internet search, our knowledge of the records schedules, and from posted State Department materials:

The ARB process is a mechanism to foster more effective security of U.S. missions and personnel abroad by ensuring a thorough and independent review of security related incidents. Through its investigations and recommendations, the ARB seeks to determine accountability, and promote and encourage improved security programs and practices. In addition, the ARB mechanism enhances the integrity of the visa issuing process by determining accountability in certain instances in which terrorist acts in the United States are committed by aliens.

NARA_05.20.15_0098

A Board will be convened for the express purpose of investigating only that incident or those incidents specified by the Secretary. A Board will examine the

facts and circumstances surrounding the incident or incidents, and makes written findings in accordance with 12 FAM 035.

Records of the Accountability Review Board are found among the dispositions in Chapter 2, Principle Officers of the Department of State Records Schedules. http://foia.state.gov/_docs/RecordsDisposition/A-02.pdf.

The original NARA-approved schedule is job number N1-59-99-16 (items 9a1 and 9b1). It is found on NARA's records management website at:
http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-99-016_sf115.pdf

To get a clearer view of the State Department's current policies and practices, and their policy and practices in 2011-2012 with respect to email and ARM records, it would be best to consult with the Bill Fischer, the State Department records officer. He can be reached at FisherWP@state.gov or 202-261-8369.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Thu, Feb 26, 2015 at 10:11 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,

The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205

NARA_05.20.15_0099

FischerWP@state.gov
(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
1036 Longworth HOB | ☎ 202.226.7100 | <http://benghazi.house.gov>

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
202-357-5100

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
202-357-5100

NARA_05.20.15_0100

—
Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
202-357-5100

Kate Slauch <kate.slauch@nara.gov>
To: Paul Wester <paul.wester@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Mon, Mar 2, 2015 at 10:43 AM

From the Committee:

one more quick question, do the categories set out in the record disposition ever expire? For example, with respect to the Sec of State, there are 12 categories. Are they all current? Thanks!

On Fri, Feb 27, 2015 at 9:48 AM, Paul Wester <paul.wester@nara.gov> wrote:

Kate,

Our staff works closely with the State Department records management staff. We have at least two staff members whose portfolio of agencies includes the State Department. Aside from regular periodic phone calls, NARA staff also meet face-to-face with the State Department records management staff to appraise records, interview program staff to understand the records better, and consult on other records management issues. This happens probably several times a month. The Research Services staff also works with State regularly on archival records transfers to NARA. The National Declassification Center staff works with the State Department on declassification issues.

Overall, the State Department records management program and staff are considered very strong. NARA has awarded the State Department two Archivist Achievement Awards in Records Management in the past decade. They also have strong Records Management Self-Assessment scores.

Like most Federal agencies, the State Department currently has a "print-and-file" policy for their email; however, like most agencies trying to meet the Managing Government Records (M-14-16) 2016 deadline for managing all email electronically, and the requirements in PL 113-187, they are considering new policies. State has also worked on a number of electronic records initiative issues to improve their business processes, including the development of the SMART (State Messaging and Archive Toolset) system. We are not privy to all of their internal deliberations, but we believe State is making good progress on the email management issue.

On the Benghazi matter, most of the records are most likely covered by the State Department records schedule for the Accountability Review Board (ARB). The following, [in blue](#), is gleaned from a quick internet search, our knowledge of the records schedules, and from posted State Department materials:

The ARB process is a mechanism to foster more effective security of U.S. missions and personnel abroad by ensuring a thorough and independent review of security related incidents. Through its investigations and recommendations, the ARB seeks to determine accountability, and promote and encourage improved security programs and practices. In addition, the ARB mechanism enhances the integrity of the visa issuing process by determining accountability in certain instances in which terrorist acts in the United States are committed by aliens.

A Board will be convened for the express purpose of investigating only that incident or those incidents specified by the Secretary. A Board will examine the facts and circumstances surrounding the incident or incidents, and makes written findings in accordance with 12 FAM 035.

Records of the Accountability Review Board are found among the dispositions in Chapter 2, Principle Officers of the Department of State Records Schedules. http://foia.state.gov/_docs/RecordsDisposition/A-02.pdf.

NARA_05.20.15_0101

The original NARA-approved schedule is job number N1-59-99-16 (items 9a1 and 9b1). It is found on NARA's records management website at:

http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-99-016_sf115.pdf

To get a clearer view of the State Department's current policies and practices, and their policy and practices in 2011-2012 with respect to email and ARM records, it would be best to consult with the Bill Fischer, the State Department records officer. He can be reached at FisherWP@state.gov or 202-261-8369.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Thu, Feb 26, 2015 at 10:11 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,
The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
(202) 261-8369

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

NARA_05.20.15_0102

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

Kimberly Betz | House Select Committee on Benghazi
[1036 Longworth HOB](tel:1036-Longworth-HOB) | [☎ 202.226.7100](tel:202.226.7100) | <http://benghazi.house.gov>

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

NARA_05.20.15_0103

Paul Wester <paul.wester@nara.gov>
To: Kate Slauch <kate.slauch@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>

Mon, Mar 2, 2015 at 12:30 PM

Hi Kate,
I just went over with my staff the State schedules that we think the Committee staff member is interested in.

We believe all 12 schedules for the Secretary are open and valid authorities for which the State Department could be generating and otherwise managing records.

Sometimes authorities are closed, in that they cover only a certain period of time so the records can be transferred to NARA for archival purposes or to carry out some other specific disposition. And sometimes authorities are superseded for newer authorities. This does NOT appear to be the case for the authorities that our staff looked at for the Secretary of State's records that are on the website.

I am technically off today (working from home when I can), but please let me know if you need any additional information. I will be checking in periodically.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Mon, Mar 2, 2015 at 10:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

From the Committee:

one more quick question, do the categories set out in the record disposition ever expire? For example, with respect to the Sec of State, there are 12 categories. Are they all current? Thanks!

On Fri, Feb 27, 2015 at 9:48 AM, Paul Wester <paul.wester@nara.gov> wrote:

Kate,

Our staff works closely with the State Department records management staff. We have at least two staff members whose portfolio of agencies includes the State Department. Aside from regular periodic phone calls, NARA staff also meet face-to-face with the State Department records management staff to appraise records, interview program staff to understand the records better, and consult on other records management issues. This happens probably several times a month. The Research Services staff also works with State regularly on archival records transfers to NARA. The National Declassification Center staff works with the State Department on declassification issues.

Overall, the State Department records management program and staff are considered very strong. NARA has awarded the State Department two Archivist Achievement Awards in Records Management in the past decade. They also have strong Records Management Self-Assessment scores.

Like most Federal agencies, the State Department currently has a "print-and-file" policy for their email; however, like most agencies trying to meet the Managing Government Records (M-14-16) 2016 deadline for managing all email electronically, and the requirements in PL 113-187, they are considering new policies. State has also worked on a number of electronic records initiative issues to improve their business processes, including the development of the SMART (State Messaging and Archive Toolset) system. We are not privy to all of their internal deliberations, but we believe State is making good progress on the email management issue.

On the Benghazi matter, most of the records are most likely covered by the State Department records schedule for the Accountability Review Board (ARB). The following, [in blue](#), is gleaned from a quick internet search, our knowledge of the records schedules, and from posted State Department materials:

[The ARB process is a mechanism to foster more effective security of U.S. missions and personnel abroad by ensuring a thorough and independent review of security related incidents. Through its investigations and](#)

NARA_05.20.15_0104

recommendations, the ARB seeks to determine accountability, and promote and encourage improved security programs and practices. In addition, the ARB mechanism enhances the integrity of the visa issuing process by determining accountability in certain instances in which terrorist acts in the United States are committed by aliens.

A Board will be convened for the express purpose of investigating only that incident or those incidents specified by the Secretary. A Board will examine the facts and circumstances surrounding the incident or incidents, and makes written findings in accordance with 12 FAM 035.

Records of the Accountability Review Board are found among the dispositions in Chapter 2, Principle Officers of the Department of State Records Schedules. http://foia.state.gov/_docs/RecordsDisposition/A-02.pdf.

The original NARA-approved schedule is job number N1-59-99-16 (items 9a1 and 9b1). It is found on NARA's records management website at:
http://www.archives.gov/records-mgmt/racs/schedules/departments/department-of-state/rg-0059/n1-059-99-016_sf115.pdf

To get a clearer view of the State Department's current policies and practices, and their policy and practices in 2011-2012 with respect to email and ARM records, it would be best to consult with the Bill Fischer, the State Department records officer. He can be reached at FisherWP@state.gov or 202-261-8369.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Thu, Feb 26, 2015 at 10:11 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
And more specifically:

Thanks Kate – What we're trying to figure out is how the agency captures personal email that doesn't travel through the agency account for senior staff at the State Department during the period 2011-2012. Would you have a disposition schedule for those emails?

On Thu, Feb 26, 2015 at 9:43 AM, Kate Slauch <kate.slauch@nara.gov> wrote:
Hello-

She doesn't want to talk to State's records officer "at least not yet." Kim wants to know how we work with them in determining their records schedule (how often we check in with them, do they need to alter their schedules) and then, specifically she wanted to know about how they manage their e-mail. I've shared with her State's records disposition schedule, as well as information about Capstone.

Paul, can you speak specifically about State and their e-mail records management?

-Kate

On Thu, Feb 26, 2015 at 8:54 AM, Kate Slauch <kate.slauch@nara.gov> wrote:

Wonderful, thanks Paul!

On Feb 26, 2015 7:34 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Hi Kate,
The State Department posts their records schedules for the public at <http://foia.state.gov/Learn/RecordsDisposition.aspx>

Kimberly might want to check in with the State Department records officer. He is a former NARA employee and worked in our shop for a number of years.

NARA_05.20.15_0105

His contact information is

William Fischer
Department of State
SA-2, Room 5009
515 22nd Street NW
Washington DC 20522-0205
FischerWP@state.gov
[\(202\) 261-8369](tel:(202)261-8369)

Bill could guide Kimberly to more of State's internal RM policies (as opposed to the schedules themselves cited above).

Please let me know how we can be of further assistance.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Wed, Feb 25, 2015 at 6:36 PM, Kate Slauch <kate.slauch@nara.gov> wrote:

FYI, I got the email below from a staffer on the Benghazi committee. I will give her a call tomorrow.

Paul, are there any web links to State's records schedule I can share?

----- Forwarded message -----

From: "Betz, Kimberly" <Kimberly.Betz@mail.house.gov>
Date: Feb 25, 2015 5:32 PM
Subject: Time to Talk
To: "kate.slauch@nara.gov" <kate.slauch@nara.gov>
Cc:

Hi Kate – hope you are doing well. Wendy Ginsberg at CRS gave me your contact information. Would you have a few minutes tomorrow morning to talk about record management practices? Specifically, I'm looking for information relating to the State Department's record management practices. Would 9:30 work? Many thanks. Kim B.

[Kimberly Betz](#) | House Select Committee on Benghazi
[1036 Longworth HOB](tel:202.226.7100) | [☎ 202.226.7100](tel:202.226.7100) | <http://benghazi.house.gov>

—
Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

NARA_05.20.15_0106

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

--

Kate A. Slauch
Congressional Affairs
National Archives and Records Administration
[202-357-5100](tel:202-357-5100)

NARA_05.20.15_0107

Paul Wester <paul.wester@nara.gov>

Re: Fwd: New York Times, Hillary Clinton use of Personal Emails

6 messages

GaryM Stern <garym.stern@nara.gov>

Mon, Mar 2, 2015 at 1:08 PM

To: David Ferriero <david.ferriero@nara.gov>, Paul Wester <paul.wester@nara.gov>, Donna Garland <donna.garland@nara.gov>, William Bosanko <william.bosanko@nara.gov>Cc: John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Diachenko, Laura" <laura.diachenko@nara.gov>

(b) (5)

Let me know if you have any questions.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sun, Mar 1, 2015 at 2:25 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks,

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to

government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,

Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

(b) (5)

since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

NARA_05.20.15_0109

Paul M. Wester, Jr.

Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. (b) (5)

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. (b) (5)

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

Paul Wester <paul.wester@nara.gov>

Mon, Mar 2, 2015 at 1:24 PM

To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, Julie Reaves <julie.reaves@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Gary Rauchfuss <gary.rauchfuss@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>

FYI

(b) (5)

NARA_05.20.15_0110

(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

----- Forwarded message -----

From: **GaryM Stern** <garym.stern@nara.gov>
Date: Mon, Mar 2, 2015 at 1:08 PM
Subject: Re: Fwd: New York Times, Hillary Clinton use of Personal Emails
To: David Ferriero <david.ferriero@nara.gov>, Paul Wester <paul.wester@nara.gov>, Donna Garland <donna.garland@nara.gov>, William Bosanko <william.bosanko@nara.gov>
Cc: John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>, "Diachenko, Laura" <laura.diachenko@nara.gov>

(b) (5)

Let me know if you have any questions.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sun, Mar 1, 2015 at 2:25 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks,

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408

NARA_05.20.15_0111

(202-357-5900)

www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,

Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

(b) (5)

since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

NARA_05.20.15_0112

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing

reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. (b) (5)

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. (b) (5)

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804.363.6794](tel:804.363.6794) or can call you whenever. Thnx, Mike

NARA_05.20.15_0113

GaryM Stern <garym.stern@nara.gov>

Mon, Mar 2, 2015 at 8:58 PM

To: David Ferriero <david.ferriero@nara.gov>, Donna Garland <donna.garland@nara.gov>, Paul Wester <paul.wester@nara.gov>, William Bosanko <william.bosanko@nara.gov>
Cc: Laura Diachenko <laura.diachenko@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>

The reporter called me back this evening and said the story will run tomorrow.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

On Mar 2, 2015 1:08 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

(b) (5)

Let me know if you have any questions.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sun, Mar 1, 2015 at 2:25 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks,

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to

the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

(b) (5)

since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

NARA_05.20.15_0115

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government

National Archives and Records Administration
301-837-3120

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. (b) (5)

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. (b) (5)

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time). Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at 804.363.6794 or can call you whenever. Thnx, Mike

Miriam Kleiman <miriam.kleiman@nara.gov>

Mon, Mar 2, 2015 at 9:27 PM

To: Paul Wester <paul.wester@nara.gov>, GaryM Stern <garym.stern@nara.gov>

Cc: Laura Diachenko <laura.diachenko@nara.gov>, Donna Garland <donna.garland@nara.gov>, Sandra Glasser <sandra.glasser@nara.gov>

Gary and Paul,

When you have a chance, please send us basic suggested talking points and links to current guidance re: saving work-related emails in on personal and govt accounts. NARA_05.20.15_0116

Maybe something general to the extent of:

"As with all govt agencies, NARA provides guidance to the State Dept on email management and retention. This guidance includes/applies to emails from both government and personal accounts. Please see X,Y, Z...

NARA records officers continue to work with the State Department to ensure compliance with these guidelines. ..."

FYI: we have a press event first thing tomorrow and then two big TV shoots with interviews that may last into the afternoon. Of course, we will check email and will do what we can to respond ASAP to press requests. Please let us know if/how you would like us to handle interview requests (b) (5)
(b) (5)

Thanks!
Miriam

Begin forwarded message:

From: GaryM Stern <garym.stern@nara.gov>
Date: March 2, 2015 at 8:58:03 PM EST
To: David Ferriero <david.ferriero@nara.gov>, Donna Garland <donna.garland@nara.gov>, Paul Wester <paul.wester@nara.gov>, William Bosanko <william.bosanko@nara.gov>
Cc: Laura Diachenko <laura.diachenko@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>
Subject: Re: Fwd: New York Times, Hillary Clinton use of Personal Emails

The reporter called me back this evening and said the story will run tomorrow.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

On Mar 2, 2015 1:08 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:
(b) (5)

Let me know if you have any questions.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road

NARA_05.20.15_0117

College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sun, Mar 1, 2015 at 2:25 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks,

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408

NARA_05.20.15_0118

(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

(b) (5)

since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. (b) (5)

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. (b) (5)

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time).

Let me know if that makes sense for me to do that?

Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

NARA_05.20.15_0119

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at 804.363.6794 or can call you whenever. Thnx, Mike

GaryM Stern <garym.stern@nara.gov>

Mon, Mar 2, 2015 at 11:21 PM

To: David Ferriero <david.ferriero@nara.gov>, Paul Wester <paul.wester@nara.gov>, Donna Garland <donna.garland@nara.gov>, William Bosanko <william.bosanko@nara.gov>

Cc: John Hamilton <john.hamilton@nara.gov>, Laura Diachenko <laura.diachenko@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, Debra Wall <debra.wall@nara.gov>

Here's a link to the article online. Jason is quoted, as is Tom Blanton.

<http://mobile.nytimes.com/2015/03/03/us/politics/hillary-clintons-use-of-private-email-at-state-department-raises-flags.html>

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

On Mar 2, 2015 8:58 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

The reporter called me back this evening and said the story will run tomorrow.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

On Mar 2, 2015 1:08 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

(b) (5)

NARA_05.20.15_0120

Let me know if you have any questions.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sun, Mar 1, 2015 at 2:25 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks,

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
[\(202-357-5900\)](tel:202-357-5900)
www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

NARA_05.20.15_0121

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

(b) (5)

since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. (b) (5)

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. (b) (5)

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time).
NARA_05.20.15_0122

Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
301-837-3026

----- Forwarded message -----
From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at 804.363.6794 or can call you whenever. Thnx, Mike

Paul Wester <paul.wester@nara.gov> Tue, Mar 3, 2015 at 4:17 AM
To: Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Lisa Haralampus <lisa.haralampus@nara.gov>

FYI

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

----- Forwarded message -----
From: **Miriam Kleiman** <miriam.kleiman@nara.gov>
Date: Mon, Mar 2, 2015 at 9:27 PM
Subject: Fwd: New York Times, Hillary Clinton use of Personal Emails
To: Paul Wester <paul.wester@nara.gov>, GaryM Stern <garym.stern@nara.gov>
Cc: Laura Diachenko <laura.diachenko@nara.gov>, Donna Garland <donna.garland@nara.gov>, Sandra Glasser <sandra.glasser@nara.gov>

Gary and Paul,
When you have a chance, please send us basic suggested talking points and links to current guidance re: saving work-related emails in on personal and govt accounts.

Maybe something general to the extent of:
"As with all govt agencies, NARA provides guidance to the State Dept on email management and retention. This guidance includes/applies to emails from both government and personal accounts. Please see X,Y, Z...

NARA records officers continue to work with the State Department to ensure compliance with these guidelines.
..."

FYI: we have a press event first thing tomorrow and then two big TV shoots with interviews that may last into the afternoon. Of course, we will check email and will do what we can to respond ASAP to press requests. Please let us know if/how you would like us to handle interview requests (b) (5)
(b) (5)

Thanks!
Miriam

NARA_05.20.15_0123

Begin forwarded message:

From: GaryM Stern <garym.stern@nara.gov>

Date: March 2, 2015 at 8:58:03 PM EST

To: David Ferriero <david.ferriero@nara.gov>, Donna Garland <donna.garland@nara.gov>, Paul Wester <paul.wester@nara.gov>, William Bosanko <william.bosanko@nara.gov>

Cc: Laura Diachenko <laura.diachenko@nara.gov>, John Hamilton <john.hamilton@nara.gov>, Miriam Kleiman <miriam.kleiman@nara.gov>, Jay Trainer <Jay.Trainer@nara.gov>, "Wall, Debra" <debra.wall@nara.gov>

Subject: Re: Fwd: New York Times, Hillary Clinton use of Personal Emails

The reporter called me back this evening and said the story will run tomorrow.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

(b) (5)

On Mar 2, 2015 1:08 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

Let me know if you have any questions.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sun, Mar 1, 2015 at 2:25 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks,
David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue

NARA_05.20.15_0124

Washington, DC 20408
(202-357-5900)
www.archives.gov

On Mar 1, 2015 2:21 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

fyi, I just spoke to the reporter. As Paul surmised, he is covering the Benghazi issue, and has learned that when Hillary Clinton was Secretary of State, she apparently used a personal email account to conduct government business, and that the State Department has recovered 50,000 pages of emails relating to government business, 900 pages of which relate to Benghazi, which State has turned over to the House Select Committee investigating Benghazi. He wanted to know if this violated NARA's laws or regulations. I told him that I could not speak to the specifics of this matter, but could explain the general rules and policies in place at the time, as well as the new legal requirement, which I did. I referred him to the various public hearings on other officials using personal email accounts to conduct government business -- e.g., OSTP, EPA, CFTC -- and noted that NARA does look into allegations of this type, with our interest being to ensure that the agency recovers any alienated records and has policies in place to ensure prevent such events from occurring again. This case, if true, would present a concern, although it may be the case that the State Department has already taken appropriate action to recover the records. He said his story is likely to be posted online tomorrow, and asked that we not share this information outside of NARA until it runs.

We can discuss further tomorrow, unless you'd like to discuss today.

Thanks,
Gary

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Sat, Feb 28, 2015 at 3:19 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Thanks, Paul.

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 28, 2015 6:35 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

(b) (5)

, since about mid-day Thursday a staff member from the Special Committee on Benghazi has asked a series of increasingly specific questions related to the records management practices at the Department of State.

Two of the specific questions was how did the State Department capture personal emails by senior officials between 2011 and 2012 that did not go through State Department systems, and is there a records schedule that covers this material?
NARA_05.20.15_0125

Michael Schmidt appears to be a Washington-based political reporter for the NYT, but

he has done work on cyber-security and national security issues.

In doing some research, I found a September 12, 2012, NYT article where Schmidt was a contributing reporter on a [background story about the deteriorating Libyan situation and Ambassador J. Christopher Stevens](#) who had died the previous day in the Benghazi attack.

A personal email from Ambassador Stevens to his family and friends in July 2012 figures prominently in the NYT story.

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 10:44 PM, David Ferriero <david.ferriero@nara.gov> wrote:

Fine with me. (b) (5)

David

David S. Ferriero
Archivist of the United States
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202-357-5900)
www.archives.gov

On Feb 27, 2015 9:42 PM, "William Bosanko" <william.bosanko@nara.gov> wrote:

No objections from me. (b) (5)

Jay

On Feb 27, 2015 9:32 PM, "GaryM Stern" <garym.stern@nara.gov> wrote:

See query below from NY TIMES reporter for off the record chat re the new law on personal emails. I am happy to talk to him about what the law is (there are no regulations at this time).
Let me know if that makes sense for me to do that?
Thanks.

Gary M. Stern
General Counsel
National Archives and Records Administration
[301-837-3026](tel:301-837-3026)

----- Forwarded message -----

From: "Schmidt, Michael" <schmidtm@nytimes.com>
Date: Feb 27, 2015 7:45 PM
Subject: nyt
To: <garym.stern@nara.gov>
Cc:

Gary: I'm Mike Schmidt, a reporter with The New York Times. I'm working on a story about government employees who use their personal email addresses to conduct government business. I'm sorry to bother you on a weekend but do you have a second to chat? I'm not looking to talk on the record -- I just need some clarification on the regulations. I can be reached anytime at [804-363-0794](tel:804-363-0794) or can call you whenever. Thnx, Mike

3/31/2015

National Archives & Records Administration Mail - Re: Fwd: New York Times, Hillary Clinton use of Personal Emails



NARA_05.20.15_0127



Paul Wester <paul.wester@nara.gov>

SIGN IN - ad hoc telework

1 message

Paul Wester <paul.wester@nara.gov>
To: "Trainer, Jay" <jay.trainer@nara.gov>

Thu, Feb 26, 2015 at 12:03 PM

After unwinding a series of requests related to State Department records management policy from the House Benghazi Committee, (b) (5)

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

NARA_05.20.15_0128



Paul Wester <paul.wester@nara.gov>

State - Benghazi email business from yesterday

7 messages

Paul Wester <paul.wester@nara.gov>

Fri, Feb 27, 2015 at 8:14 AM

To: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, "Scheiber, Meredith" <meredith.scheiber@nara.gov>

Cc: Margaret Hawkins <margaret.hawkins@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>

Lisa and Meredith:

How is the following back to Kate?

Please let me know as soon as you can.

Thanks, Paul

Kate,

(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

Lisa Clavelli <lisa.clavelli@nara.gov>

Fri, Feb 27, 2015 at 8:17 AM

To: Paul Wester <paul.wester@nara.gov>

Lisa R. Clavelli

NARA_05.20.15_0129

On Feb 27, 2015 8:14 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Lisa and Meredith:
How is the following back to Kate?

Please let me know as soon as you can.

Thanks, Paul

Kate,
(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

Paul Wester <paul.wester@nara.gov>
To: Lisa Clavelli <lisa.clavelli@nara.gov>

Fri, Feb 27, 2015 at 8:21 AM

???

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Fri, Feb 27, 2015 at 8:17 AM, Lisa Clavelli <lisa.clavelli@nara.gov> wrote:

Lisa R. Clavelli

On Feb 27, 2015 8:14 AM, "Paul Wester" <paul.wester@nara.gov> wrote:

Lisa and Meredith:
How is the following back to Kate?

Please let me know as soon as you can.

NARA_05.20.15_0130

Thanks, Paul

Kate,
(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

Meredith Scheiber <meredith.scheiber@nara.gov>

Fri, Feb 27, 2015 at 8:22 AM

To: Paul Wester <paul.wester@nara.gov>

Cc: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>

I think what you have looks fine.

Meredith

On Fri, Feb 27, 2015 at 8:14 AM, Paul Wester <paul.wester@nara.gov> wrote:

Lisa and Meredith:

How is the following back to Kate?

Please let me know as soon as you can.

Thanks, Paul

Kate,
(b) (5)

NARA_05.20.15_0131

(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

—
Meredith L. Scheiber
Senior Appraisal Archivist
Records Management Services
8601 Adelphi Road, Rm. 2200b
College Park, MD 20740-6001
P: [\(301\) 837-0595](tel:301-837-0595)

Paul Wester <paul.wester@nara.gov> Fri, Feb 27, 2015 at 8:23 AM
To: Meredith Scheiber <meredith.scheiber@nara.gov>
Cc: "Clavelli, Lisa" <lisa.clavelli@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>

Thanks!

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 8:22 AM, Meredith Scheiber <meredith.scheiber@nara.gov> wrote:
I think what you have looks fine.

Meredith

On Fri, Feb 27, 2015 at 8:14 AM, Paul Wester <paul.wester@nara.gov> wrote:
[Lisa and Meredith:](#)
[How is the following back to Kate?](#)

NARA_05.20.15_0132

Please let me know as soon as you can.

Thanks, Paul

Kate,

(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

--

Meredith L. Scheiber
Senior Appraisal Archivist
Records Management Services
8601 Adelphi Road, Rm. 2200b
College Park, MD 20740-6001
P: [\(301\) 837-0595](tel:301-837-0595)

Lisa Clavelli <lisa.clavelli@nara.gov>

Fri, Feb 27, 2015 at 8:28 AM

To: Paul Wester <paul.wester@nara.gov>

Cc: Meredith Scheiber <meredith.scheiber@nara.gov>, Margaret Hawkins <margaret.hawkins@nara.gov>, "Brewer, Laurence" <laurence.brewer@nara.gov>

(b) (5)

NARA_05.20.15_0133

On Fri, Feb 27, 2015 at 8:23 AM, Paul Wester <paul.wester@nara.gov> wrote:

Thanks!

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Fri, Feb 27, 2015 at 8:22 AM, Meredith Scheiber <meredith.scheiber@nara.gov> wrote:

I think what you have looks fine.

Meredith

On Fri, Feb 27, 2015 at 8:14 AM, Paul Wester <paul.wester@nara.gov> wrote:

[Lisa and Meredith:](#)
[How is the following back to Kate?](#)

[Please let me know as soon as you can.](#)

[Thanks, Paul](#)

Kate,
(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

--

Meredith L. Scheiber
Senior Appraisal Archivist

NARA_05.20.15_0134

Records Management Services
8601 Adelphi Road, Rm. 2200b
College Park, MD 20740-6001
P: (301) 837-0595

—
Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

Lisa Clavelli <lisa.clavelli@nara.gov>
To: Paul Wester <paul.wester@nara.gov>

Fri, Feb 27, 2015 at 8:54 AM

Some background for you on the subject from the Foreign Affairs Manual

The Accountability Review Board (ARB) process is a mechanism to foster more effective security of U.S. missions and personnel abroad by ensuring a thorough and independent review of security related incidents. Through its investigations and recommendations, the Board seeks to determine accountability and promote and encourage improved security programs and practices. In addition, the ARB mechanism enhances the integrity of the visa issuing process by determining accountability in certain instances in which terrorist acts in the United States are committed by aliens.

A Board will be convened for the express purpose of investigating only that incident or those incidents specified by the Secretary. A Board will examine the facts and circumstances surrounding the incident or incidents, and makes written findings in accordance with 12 FAM 035.

Records of the Accountability Review Board are found among in chapter 2, Principle Officers of the Department of State Records Schedules. http://foia.state.gov/_docs/RecordsDisposition/A-02.pdf.

The NARA approved schedule is job number N1-59-99-16 (items 9a1 and 9b1).
http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-state/rg-0059/n1-059-99-016_sf115.pdf.

On Fri, Feb 27, 2015 at 8:14 AM, Paul Wester <paul.wester@nara.gov> wrote:

Lisa and Meredith:
How is the following back to Kate?

Please let me know as soon as you can.

Thanks, Paul

Kate,
(b) (5)

NARA_05.20.15_0135

(b) (5)

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

—
Lisa R. Clavelli
Supervisor, Appraisal Team 2
Records Management Services

NARA_05.20.15_0136



Paul Wester <paul.wester@nara.gov>

state talking points

5 messages

Lisa Haralampus <lisa.haralampus@nara.gov> Tue, Mar 3, 2015 at 9:47 AM
To: Paul Wester <paul.wester@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Bethany Cron <bethany.cron@nara.gov>, Christopher Magee <christopher.magee@nara.gov>, Denise Pullen <denise.pullen@nara.gov>, Preston Huff <preston.huff@nara.gov>

 **State talking points.docx**
13K

Paul Wester <paul.wester@nara.gov> Tue, Mar 3, 2015 at 9:55 AM
To: "Stern, GaryM" <garym.stern@nara.gov>
Cc: "Trainer, Jay" <jay.trainer@nara.gov>

Gary,
What do you think?

(b) (5)

Peggy should be calling me in the next 15 minutes or so.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Lisa Haralampus** <lisa.haralampus@nara.gov>
Date: Tue, Mar 3, 2015 at 9:47 AM
Subject: state talking points
To: Paul Wester <paul.wester@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Bethany Cron <bethany.cron@nara.gov>, Christopher Magee <christopher.magee@nara.gov>, Denise Pullen <denise.pullen@nara.gov>, Preston Huff <preston.huff@nara.gov>

 **State talking points.docx**
13K

NARA_05.20.15_0137

GaryM Stern <garym.stern@nara.gov> Tue, Mar 3, 2015 at 10:48 AM
To: Paul Wester <paul.wester@nara.gov>

Cc: "Trainer, Jay" <jay.trainer@nara.gov>, "Bergman, Hannah" <Hannah.Bergman@nara.gov>

See my revisions and additions.

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Tue, Mar 3, 2015 at 9:55 AM, Paul Wester <paul.wester@nara.gov> wrote:

Gary,
What do you think?

(b) (5)

Peggy should be calling me in the next 15 minutes or so.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

----- Forwarded message -----

From: **Lisa Haralampus** <lisa.haralampus@nara.gov>

Date: Tue, Mar 3, 2015 at 9:47 AM

Subject: state talking points

To: Paul Wester <paul.wester@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Bethany Cron <bethany.cron@nara.gov>, Christopher Magee <christopher.magee@nara.gov>, Denise Pullen <denise.pullen@nara.gov>, Preston Huff <preston.huff@nara.gov>



State talking points re Hillary Clinton Emails.docx

17K

Paul Wester <paul.wester@nara.gov>

Tue, Mar 3, 2015 at 10:54 AM

To: GaryM Stern <garym.stern@nara.gov>

Cc: "Trainer, Jay" <jay.trainer@nara.gov>, "Bergman, Hannah" <Hannah.Bergman@nara.gov>

Gary,
I like this very much.

Thanks, Paul

NARA_05.20.15_0138

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

On Tue, Mar 3, 2015 at 10:48 AM, GaryM Stern <garym.stern@nara.gov> wrote:
See my revisions and additions.

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
301-837-3026 (office)
301-837-0293 (fax)
garym.stern@nara.gov

On Tue, Mar 3, 2015 at 9:55 AM, Paul Wester <paul.wester@nara.gov> wrote:

Gary,
What do you think?

(b) (5)

Peggy should be calling me in the next 15 minutes or so.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
301-837-3120

----- Forwarded message -----

From: **Lisa Haralampus** <lisa.haralampus@nara.gov>

Date: Tue, Mar 3, 2015 at 9:47 AM

Subject: state talking points

To: Paul Wester <paul.wester@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Bethany Cron <bethany.cron@nara.gov>, Christopher Magee <christopher.magee@nara.gov>, Denise Pullen <denise.pullen@nara.gov>, Preston Huff <preston.huff@nara.gov>

Hannah Bergman <hannah.bergman@nara.gov>
To: Paul Wester <paul.wester@nara.gov>
Cc: GaryM Stern <garym.stern@nara.gov>, "Trainer, Jay" <jay.trainer@nara.gov>

Tue, Mar 3, 2015 at 11:31 AM

(b) (5)

Hannah

NARA_05.20.15_0139

On Tue, Mar 3, 2015 at 10:54 AM, Paul Wester <paul.wester@nara.gov> wrote:

Gary,
I like this very much.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Tue, Mar 3, 2015 at 10:48 AM, GaryM Stern <garym.stern@nara.gov> wrote:
See my revisions and additions.

Gary M. Stern
General Counsel
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740
[301-837-3026](tel:301-837-3026) (office)
[301-837-0293](tel:301-837-0293) (fax)
garym.stern@nara.gov

On Tue, Mar 3, 2015 at 9:55 AM, Paul Wester <paul.wester@nara.gov> wrote:

Gary,
What do you think?

(b) (5)

Peggy should be calling me in the next 15 minutes or so.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----

From: **Lisa Haralampus** <lisa.haralampus@nara.gov>

Date: Tue, Mar 3, 2015 at 9:47 AM

Subject: state talking points

To: Paul Wester <paul.wester@nara.gov>, Donald Rosen <donald.rosen@nara.gov>, Arian Ravanbakhsh <Arian.Ravanbakhsh@nara.gov>, Bethany Cron <bethany.cron@nara.gov>, Christopher Magee <christopher.magee@nara.gov>, Denise Pullen <denise.pullen@nara.gov>, Preston Huff <preston.huff@nara.gov>

NARA_05.20.15_0140



State talking points re Hillary Clinton Emails.hb edits.docx

19K

NARA_05.20.15_0141



Paul Wester <paul.wester@nara.gov>

Telephone Meeting Request: Tuesday, 3/3

5 messages

Paul Wester <paul.wester@nara.gov>
To: "GrafeldMP@state.gov" <grafeldmp@state.gov>

Mon, Mar 2, 2015 at 4:49 PM

Hi Peggy,
Are you available for a telephone conversation tomorrow?

I need to follow up with you on a conversation the DOS's Deputy Legal Advisor had with Gary Stern today related to the use of personal email accounts.

I am available anytime between 10:00am and 11:00am, and 3:30pm and 4:30pm, tomorrow.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

Paul Wester <paul.wester@nara.gov>
To: Julie Reaves <julie.reaves@nara.gov>

Mon, Mar 2, 2015 at 4:51 PM

FYI

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

----- Forwarded message -----
From: **Paul Wester** <paul.wester@nara.gov>
Date: Mon, Mar 2, 2015 at 4:49 PM
Subject: Telephone Meeting Request: Tuesday, 3/3
To: "GrafeldMP@state.gov" <grafeldmp@state.gov>

Hi Peggy,
Are you available for a telephone conversation tomorrow?

I need to follow up with you on a conversation the DOS's Deputy Legal Advisor had with Gary Stern today related to the use of personal email accounts.

I am available anytime between 10:00am and 11:00am, and 3:30pm and 4:30pm, tomorrow.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration

NARA_05.20.15_0142

301-837-3120

Grafeld, Margaret P <GrafeldMP@state.gov>
To: "paul.wester@nara.gov" <paul.wester@nara.gov>

Mon, Mar 2, 2015 at 10:13 PM

Greetings, Paul!

As much as I would like to accommodate your schedule to talk tomorrow, unfortunately, I won't be available
(b) (6) Would Wednesday
afternoon after 2:30 work?

In the interim, perhaps you can share the substance of the referenced conversation and the basis for the chat.

Looking forward to catching up with you.

Best,
Peggy

Margaret P. Grafeld
Deputy Assistant Secretary,
Global Information Services (A/GIS)
U.S. Department of State

From: Paul Wester [mailto:paul.wester@nara.gov]
Sent: Monday, March 02, 2015 04:49 PM
To: Grafeld, Margaret P
Subject: Telephone Meeting Request: Tuesday, 3/3

Hi Peggy,
Are you available for a telephone conversation tomorrow?

I need to follow up with you on a conversation the DOS's Deputy Legal Advisor had with Gary Stern today related to the use of personal email accounts.

I am available anytime between 10:00am and 11:00am, and 3:30pm and 4:30pm, tomorrow.

Thanks, Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

Grafeld, Margaret P <GrafeldMP@state.gov>
To: "paul.wester@nara.gov" <paul.wester@nara.gov>

Mon, Mar 2, 2015 at 11:29 PM

Paul,

I just saw the NYT article that I assume was the genesis of the conversation between our respective GC's. I can understand that our conversation probably cannot wait even a day, so I'll do my best to call you during the morning window.

Best,
Peggy
-----Original Message-----

To: Paul Wester
Subject: Re: Telephone Meeting Request: Tuesday, 3/3
Sent: Mar 2, 2015 10:07 PM

Greetings, Paul!

As much as I would like to accommodate your schedule to talk tomorrow, unfortunately, (b) (6)
Would Wednesday afternoon
after 2:30 work?

In the interim, perhaps you can share the substance of the referenced conversation and the basis for the chat.

Looking forward to catching up with you.

Best,
Peggy

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

From: Paul Wester
To: Margaret Grafeld
Subject: Telephone Meeting Request: Tuesday, 3/3
Sent: Mar 2, 2015 4:49 PM

Hi Peggy, Are you available for a telephone conversation tomorrow?
I need to follow up with you on a conversation the DOS's Deputy Legal Advisor had with Gary Stern today related to the use of personal email accounts.
I am available anytime between 10:00am and 11:00am, and 3:30pm and 4:30pm, tomorrow.
Thanks, Paul

Paul M. Wester, Jr. Chief Records Officer for the U.S. Government National Archives and Records Administration 301-837-3120
Margaret P. Grafeld
Deputy Assistant Secretary,
Global Information Services (A/GIS)
U.S. Department of State

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

Tue, Mar 3, 2015 at 4:47 AM

Peggy,
Thanks so much for getting back to me and for understanding. I really appreciate it.

Paul

Paul M. Wester, Jr.
Chief Records Officer for the U.S. Government
National Archives and Records Administration
[301-837-3120](tel:301-837-3120)

On Mon, Mar 2, 2015 at 11:29 PM, Grafeld, Margaret P <GrafeldMP@state.gov> wrote:
Paul,

I just saw the NYT article that I assume was the genesis of the conversation between our respective GC's. I can understand that our conversation probably cannot wait even a day, so I'll do my best to call you during the morning window.

Best,
Peggy

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

To: Paul Wester
Subject: Re: Telephone Meeting Request: Tuesday, 3/3
Sent: Mar 2, 2015 10:07 PM

Greetings, Paul!

As much as I would like to accommodate your schedule to talk tomorrow, unfortunately, (b) (6)
Would Wednesday
afternoon after 2:30 work?

In the interim, perhaps you can share the substance of the referenced conversation and the basis for the chat.

Looking forward to catching up with you.

Best,
Peggy

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

From: Paul Wester
To: Margaret Grafeld
Subject: Telephone Meeting Request: Tuesday, 3/3
Sent: Mar 2, 2015 4:49 PM

Hi Peggy, Are you available for a telephone conversation tomorrow?
I need to follow up with you on a conversation the DOS's Deputy Legal Advisor had with Gary Stern today related to the use of personal email accounts.
I am available anytime between 10:00am and 11:00am, and 3:30pm and 4:30pm, tomorrow.
Thanks, Paul

Paul M. Wester, Jr. Chief Records Officer for the U.S. Government National Archives and Records
Administration [301-837-3120](tel:301-837-3120)
Margaret P. Grafeld
Deputy Assistant Secretary,
Global Information Services (A/GIS)
U.S. Department of State

NARA_05.20.15_0145

From: David Langbart
To: Michael Kurtz
Date: 11/02/2009 9:38:22 AM
Subject: State: SMART

The SMART Working Group met on October 29, 2009. I attended for NARA. Lisa Haralampus and Tasha Thian represented IPS and Barry Fulton represented the SMART Program Office. We covered several items on the agenda. The following covers the most important points.

Smart Progress. Rollout continues. Five more posts have gone operational and by the end of this week, there will be another five more at the operational level. The SMART Program Office has a well-oiled procedure for roll-out at post, which takes about 2 weeks at larger posts. They tried a self-rollout, but the results were not good, so they have discontinued that. The SMART Steering Committee gave the "go" for total rollout on October 7, so the Department is now in the deployment phase. The proposed rollout for the Western Hemisphere bureau will take place very shortly and then there will be a "Thanksgiving pause" to check on scalability before moving forward with other bureaus.

Reaction. The SMART Program Office continues to survey its users. They read and analyze all comments, some of which have led to changes. IPS is looking at the "archive" and it is clear that people are using the record email function and people are promoting non-record email to record status when needed. They are still working on training issues to ensure proper and consistent implementation of the guidance.

Memos Issue. This is a huge issue on which there has been little progress. Some people are forwarding memos as attachments, but that leads to metadata problems. IPS is still running the Written Correspondence System (WCS) as part of the Archive. They are still working with the Executive Secretariat on the high-level memos issue. Earlier, it sounded like S/ES was going to rely on SMART, but it now appears that they will be establishing their own recordkeeping system as the follow-on to STARS.

The next meeting is scheduled for December 10, 2009.

CC: Brewer, Laurence; Carlson, Michael; Cummings, Ann; Lake, David; Lepore, Gregory; Margaret Hawkins; Steven Tilley

Jan. 11th

NARA / SMART Mtg.

* Flip - Lisa's project plan & Aileen's usage stats

Aileen Martinez
Spron Morris
Lisa Harabampus
Bill Fischer

Tasha Thia
Lisa Roberts
Maggie Hawkins
David Langbart

- 1) Background of TAGS from NARA perspective
- 2) Creating new TAGS - strategies for dispositions

Project Plan

Legal has no TAGS

High level & otherwise

to points

- cables & record emails - allowing staff to add new TAGS they that meet their needs (CIVIS-IV)

- Splitting of TAGS

- DS has one TAG (AS&C) might want new TAGS to cover the Bureau

- interviewing staff to see how they use TAGS

- how to structure & implement the new TAGS

* what ^{level} would NARA want to be involved

• Ultimately about Identifying subject content

• Users associate TAGS with dissemination

Large percentage should stay as is, some new ones and some split.

tie Subject & Function together for retention to make sense

Also want to address the terms id'd under each TAG. But not planning on working on them at this time. Terms Initiative at a later point. TAGS Initiative is priority at this time.

SMART is not a document mgmt. function. It is a communication mgmt. function.

Fwd: State: SMART evaluation

Date : July 1, 2011, 4:13:22 pm EDT

Size : 126.3 KB

Folder : Kevin DeVorse\archive-kevin\Cabinet\State_Dept

From : Paul Wester

To : Gregory Lepore <Gregory.Lepore@nara.gov>, Lynn Goodsell <Lynn.Goodsell@nara.gov>, David Langbart <David.Langbart@nara.gov>, Kevin DeVorse <Kevin.DeVorse@nara.gov>

Cc : Ann Cummings <Ann.Cummings@nara.gov>, Susan Cummings <Susan.Cummings@nara.gov>, Robert Spangler <Robert.Spangler@nara.gov>, Lisa Roberson <Lisa.Roberson@nara.gov>, Margaret Adams <Margaret.Adams@nara.gov>, Margaret Hawkins <Margaret.Hawkins@nara.gov>

ZL Id : DABBMGHL1JSSY11RBLX0105SCWOMF1NOA

Type : Exchange ExchangeArchive

David, Lynn, and Greg (and Kevin, for at least one of the questions):

I've looked over this, and it is very thorough. I appreciate the analysis. I have a couple questions, comments, or requests.

(1) On the test transfer, how did the technical evaluation occur? Was eyes on the documents, comparing PDFs to XML documents? I am particularly interested in the answers surrounding the major issues, and the missing text or added coding. Also, how prevalent were these problems? It reads like we found one problem or several problems, and I am not clear how representative these problems are given the body of records. Or, are these glitches with one or two or several files; or systemic problems affecting some large percentage of the test transfer (and presumably all of the SMART repository), or we don't know for sure?

(2) On major technical issues T-2 and T-3 (and particularly T-3), I am interested in Kevin's perspective on the issue, especially in light of the transfer guidance framework project and the other work. More generally, what are the implications of the staff consensus on T-2, and how do we know the resolution is too low? How representative is the lower scan resolution in the files?

(3) Are the five archival issues major or minor issues? Or are they mainly questions that need answers, which would determine the level of concern? These seem to be questions that are at somewhat different level of concern.

(4) I would like to soften the tone of the beginning and end of the letter, and offer to meet with Peggy's staff to discuss and document the resolution of as many of these issues as possible, and to have a discussion of what the significant additional metadata is needed to accompany a transfer. Do you have any problem with this letter requesting a meeting with Peggy's staff to sort out these latter issues.

I would appreciate your views on this by July 11th, with the goal of finalizing a response and sending something to State by July 18th.

Thanks - Paul

>>> Sharon Thibodeau 6/29/2011 8:50 AM >>>

Paul,

Per our conversation, here - with my endorsement - is the report of NARA's evaluation of the State Department's SMART system and a proposed draft communication with State about the results of this evaluation.

Sharon

Attachments

Enclosed_Message_2.eml(47.2 KB)

NARA_05.20.15_0149

From: David Langbart
To: Michael Kurtz
Date: 01/22/2010 7:32:19 AM
Subject: State: SMART

A truncated SMART Working Group met on January 14, 2010. I attended for NARA and Lisa Haralampus attended for State (IPS).

Lisa provided an update on key points:

1. Deployment Schedule. Overseas deployment continues. All posts in the Western Hemisphere are done and they are now working on posts in Africa. The schedule calls for world-wide deployment to be completed by December 2010. They have received generally positive feedback from posts. Domestic deployment is not going nearly as well, largely due to the complicated nature of the domestic scene. The program has been focused on the cables/email aspect of things whereas headquarters is much more into the memorandums thing. In addition, the setup of user profiles is much more complicated since the number of profiles in a bureau are greater and of a wider variety. As a result, there is no real schedule for domestic roll-out at this time.

Record email. Users are creating record email, in addition to cables. The ratio to this point is one record email for every six cables (1 to 6), not the 3-1 ration that had been expected. It is not clear why this is so. There is some suspicion that use of record email is not totally clear or that users need more and better guidance on what is a record. IPS plans to conduct a study by looking at the entire corpus of email (record/non-record) from a post to determine if posts are using the system correctly and to determine steps (such as training and guidance) to ensure proper compliance.

TAGS. IPS is planning to do some revisions to the TAGS.

Test Transfer. IPS now has enough real cables and messages to undertake the test transfer called for by the agreement between NARA and State. They would like to make an initial test in the March 2010 time frame, with the possibility of another, and larger, test at the end of the year. They are willing to send the test message either on CD or to try anon-line transfer. NWME should let me know their preference.

CC: Brewer, Laurence; Carlson, Michael; Cummings, Ann; Lake, David; Lepore, Gregory; Margaret Hawkins; Steven Tilley

From: David Langbart
To: Michael Kurtz
Date: 11/02/2009 9:38:22 AM
Subject: State: SMART

The SMART Working Group met on October 29, 2009. I attended for NARA. Lisa Haralampus and Tasha Thian represented IPS and Barry Fulton represented the SMART Program Office. We covered several items on the agenda. The following covers the most important points.

Smart Progress. Rollout continues. Five more posts have gone operational and by the end of this week, there will be another five more at the operational level. The SMART Program Office has a well-oiled procedure for roll-out at post, which takes about 2 weeks at larger posts. They tried a self-rollout, but the results were not good, so they have discontinued that. The SMART Steering Committee gave the "go" for total rollout on October 7, so the Department is now in the deployment phase. The proposed rollout for the Western Hemisphere bureau will take place very shortly and then there will be a "Thanksgiving pause" to check on scalability before moving forward with other bureaus.

Reaction. The SMART Program Office continues to survey its users. They read and analyze all comments, some of which have led to changes. IPS is looking at the "archive" and it is clear that people are using the record email function and people are promoting non-record email to record status when needed. They are still working on training issues to ensure proper and consistent implementation of the guidance.

Memos Issue. This is a huge issue on which there has been little progress. Some people are forwarding memos as attachments, but that leads to metadata problems. IPS is still running the Written Correspondence System (WCS) as part of the Archive. They are still working with the Executive Secretariat on the high-level memos issue. Earlier, it sounded like S/ES was going to rely on SMART, but it now appears that they will be establishing their own recordkeeping system as the follow-on to STARS.

The next meeting is scheduled for December 10, 2009.

CC: Brewer, Laurence; Carlson, Michael; Cummings, Ann; Lake, David; Lepore, Gregory; Margaret Hawkins; Steven Tilley

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

NARA_05.20.15_0152

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
- Records that make possible a proper scrutiny by the Congress or other duly authorized agencies of

NARA_052015_0153

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

NARA_05.20.15_0154

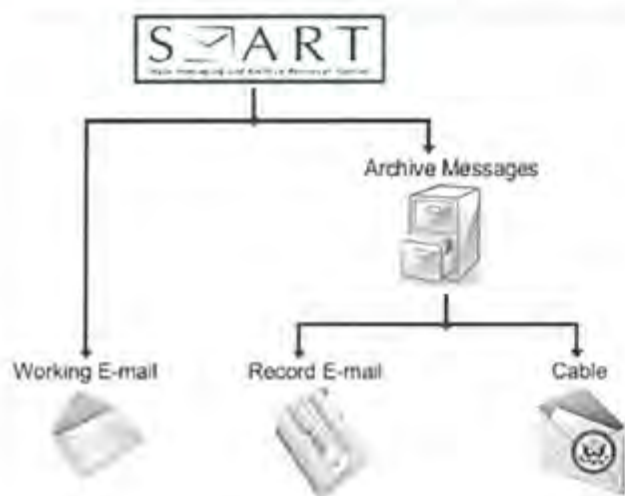
In 2006, the Department brought the development of SMART in-house. The new underlying theme to development was "keep it simple" and "use what you know". For example, SMART is technically built on Microsoft Outlook, rather than a new type of messaging platform. For records, SMART leadership reduced the 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 message 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.

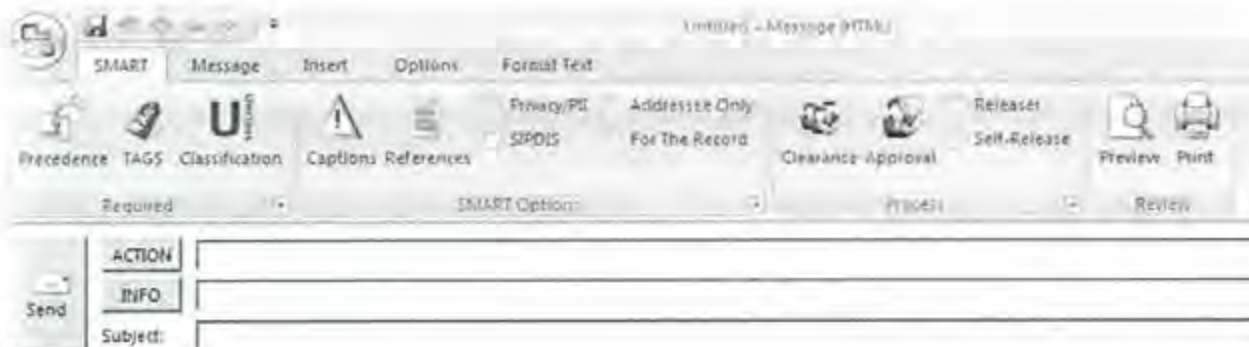
PART TWO. ISSUES OF SMART RECORD EMAIL ADOPTION

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

NARA_05.20.15_0155

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 form 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

NARA_05.20.15_0156

-----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.

NARA_05.20.15_0157

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.

NARA_05.20.15_0158

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 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.

NARA_05.20.15_0161

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).

NARA_05.20.15_0162

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>	<div style="text-align: center;"> </div> <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.

March 3, 2015

Talking Points

State Department/Hillary Clinton email

The National Archives and Records Administration is aware of the recent report in the New York Times concerning Former Secretary of State Hillary Clinton's use of a personal email account to conduct official business.

As is the case with any such report, we have reached out to the State Department to ensure all records are properly identified and managed. The State Department is also responsible for developing controls and procedures to ensure events like this will not occur in the future. We also have the authority to further examine the issues surrounding this matter.

Since 2012, we have been working to reach the milestones established by the Managing Government Records Directive. One of those goals is federal agencies will manage all their email in an electronic form by the end of next year. We continue to issue guidance, such as our Capstone policy, to assist agencies in meeting this target. This includes guidance to agencies on the records management responsibilities when employees use personal email accounts to conduct official business.

Related links:

Managing Government Records Directive, OMB M-12-18;

<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>

Guidance on a New Approach to Managing Email Records; <http://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>

Guidance for agency employees on the management of Federal records, including email accounts, and the protection of Federal records from unauthorized removal;

<http://www.archives.gov/records-mgmt/bulletins/2013/2013-03.html>

Guidance on Managing Email, OMB M-14-16; <http://blogs.archives.gov/records-express/2014/09/16/release-of-omb-m-14-16/>

May 21, 2015

Ms. Margaret Grafeld
Deputy Assistant Secretary
for Global Information Services (A/GIS)
Suite 8000, SA-2
515 22nd St. NW
Department of State
Washington, DC 20037

Dear Ms. Grafeld:

This letter concerns the recent test transfer of data from the Department's SMART System.

On April 13, 2004, the National Archives and Records Administration signed a Memorandum of Understanding with the Department of State. The subject of the memorandum was to demonstrate the electronic transfer of e-documents to NARA and to explore knowledge management technologies related to the analysis of large quantities of data. NARA has completed evaluation of the test data.

The SMART test transfer arrived at NARA on one DVD in a compressed format. Accompanying the test transfer were a cover letter and the XML Schema Definition, which defines the fields in the XML file. The messages were uncompressed into 24,458 folders, comprising approximately 7 GB of data. Each folder's name comprises 36 characters (i.e. ffb229d1-eala-43e0-9509-9eb2badf60cb). Each folder represents one message, and any attachments.

NARA staff performed technical and archival evaluations of the data, examining the records for issues which may affect access, authenticity, or comprehension. These evaluation revealed several major issues, as well as several minor issues, and other questions. The technical issues are prefaced with a "T" and the archival questions are prefaced with an "A".

T-1. Major Issue: Text is missing from PDF (i.e. "10-SAN JOSE-416.eml.pdf"). At least one PDF record had entire sentences missing from the file. This was confirmed by comparing the text in the PDF file to the text in the XML file. This issue is very serious and affects the authenticity of the record.

T-2. Major Issue: Scan resolution is too low for NARA standards in PDF (i.e. "1-Bouterse 1-27-11.PDF.pdf.pdf"). In some cases attachments to

NARA_05.20.15_0166

emails were scanned at a resolution of these images below the NARA minimum of 300dpi.

T-3. Major Issue: Scans in PDF use lossy compression (i.e. "1-Bouterse 1-27-11.PDF.pdf.pdf"). According to current NARA Transfer Guidelines, records created from scanned text may not be saved using a lossy compression format.

T-4. Minor Issue: There are possible text encoding issues in PDF (i.e. " 09-FTR-96.eml.pdf"). At least one PDF file, and the accompanying XML file, had question marks replacing letters which contained accent marks.

T-5. Minor Issue: There are possible code snippets in PDF (i.e. " 11-ISLAMABAD-506.eml.pdf.pdf"). Several files were identified which had apparent snippets of code (i.e. <![endif]->) at the beginning of the PDF. The code snippets do not occur in the XML version of the messages.

T-6. Minor Issue: There are multiple file format extensions in PDF file name. As seen above, many of the files have multiple file format extensions in the PDF file names. This may lead to confusion when searching or attempting to identify specific files.

T-7. Minor Issue: There are attachments referenced in many XML files called metadata.dat that do not appear in the record's directory (i.e. "10-FTR-14876.eml.pdf.pdf").

T-8. Minor Issue: PDF versions of several emails indicated the attachment of files which do not appear in the record's directory (i.e. "10-FTR-14876.eml.pdf.pdf").

T-9. Minor Issue: At least one PDF record contained images which were not viewable (i.e. " 11-ISLAMABAD-506.eml.pdf.pdf").

A-1. Why do all XML files have same name? All 24,000 messages were named "manifest.xml". This will cause considerable confusion when attempting to provide reference access to the records. It also makes it very difficult to properly replace a file which has been removed from its directory structure. In addition, the naming of the folders is not intuitive, nor did State provide any finding aid which links a folder name to a specific message.

A-2. Why are there both PDF and XML versions of the records? Which version is considered the record? or does the record consist of both? In the small sample reviewed, it appears a user needs both the PDF and the XML file to understand the record. The XML files include

additional record management and other metadata that is not part of the record material of the record (such as MessageID or hash codes) so it makes sense that such metadata would not be included in a "user friendly" PDF version of the record material of the record. However, it is not clear what information is used to create the "user friendly" PDF version of the record. Are the PDF files generated from the XML files or are both files generated from the message as stored in SMART? Is there a crosswalk for the fields in the PDF files vis-à-vis the fields in the XML files with an explanation for any differences?

A-3. How does the user identify what records are emails versus telegrams versus memos? It is unclear if the XML field MessageType provides this information and it appears there is nothing in the PDF to indicate this.

A-4. How does one identify or maintain the link between the two versions of the message and any attachments? This is especially problematic if all the XML files are named manifest.xml and the attachments do not contain the MRN. If the plan is to transfer the records with a folder for each record containing both versions (formats) of the record and any attachments, that would require maintaining the directory structure for preservation and access.

A-5. Is the MRN the only unique number that appears on both the PDF and XML that can be used to link the two versions?

These technical and archival issues and questions must be resolved before the actual transfer of records is attempted. In addition, significant additional metadata will need to accompany any transfer.

We appreciate the Department's cooperation and look forward to receiving your explanations and answers to the issues and question noted above. We will consider action on the MOU complete when the Department has addressed these issues to NARA's satisfaction.

Sincerely,

PAUL M. WESTER, Jr.
Chief Records Officer

(Please be sure to send cc's of the letter that goes out to Greg Lepore and Lynn Goodsell in NWME and to David Langbart in NWCT.)

