



## Memorandum of Understanding

### National Archives and Records Administration And Department of State

#### E-Records Management E-Government Initiative

#### I. Purpose

The purpose of this memorandum of understanding (MOU) between the National Archives and Records Administration (NARA) and the Department of State (sometimes referred to as "participants" or "agencies") is to support the development and implementation of electronic records management in the context of each agency's E-Government roles and responsibilities, including their roles and responsibilities regarding the Electronic Records Management (ERM) Initiative, which is one of the 24 E-Government initiatives supporting the President's Management Agenda.

The purpose of the MOU is to further two common objectives:

- Demonstration of the electronic transfer of e-documents to NARA; and
- Exploration of relevant knowledge management technologies in the context of research activities conducted under the aegis of NARA's Electronic Records Archives Program virtual archives laboratory.

In so doing, the MOU will provide mutual advantages and benefits to both agencies in the near term, other government agencies in the future, and the general public ultimately.

## II. Background

NARA is the lead agency for the 2002 E-Government Initiative entitled Electronic Records Management (ERM). In this role, NARA provides policy guidance to help agencies manage their electronic records, so that records information can be effectively used to support timely and effective decision making, enhance service delivery, and ensure accountability. ERM includes four major issue areas: Correspondence Management, Enterprise-wide ERM, Electronic Information Management Standards, and Transferring Permanent Records to NARA.

This MOU will focus on Issue Area 4 (Transferring Permanent Electronic Records to NARA) and, in particular, on supporting expansion of the number of formats NARA can accept and the media that can be used by Federal agencies when transferring their permanent electronic records to the National Archives of the United States.

State is uniquely positioned to work with NARA on this important effort, because the Department has initiated the program known as the State Messaging and Archive Retrieval Toolset (SMART), which will replace the Department's disparate legacy messaging systems with a single system that provides modern messaging, dynamic archiving and information sharing of its contemporary archive at the desktop. The SMART system will generate e-documents rich in both format variations and multimedia attachments.

The corporate nature of the Department's contemporary archives and the high public interest in its permanent records of foreign affairs underscore the importance of this effort. Through this MOU, NARA and the Department will endeavor to solve e-document transfer issues well in advance of the due date for their transfer. The MOU will also enable NARA to explore in depth various modern technological methods to provide the public with full, efficient and effective access to these records once they are permanently transferred to NARA.

## III. Activities of the Participants

NARA and the Department will demonstrate the electronic transfer of records to NARA using an unclassified and non-sensitive subset of SMART e-documents during the SMART Program Pilot Phase and beyond. NARA will explore the knowledge management technology options potentially

applicable to manage, preserve and support sustained access to such records in the context of research conducted under the aegis of its Electronic Records Archives Program virtual archives laboratory. The anticipated process for this transaction involves the following components:

- A. Identification of Target Collections - The Department, in consultation with NARA, will identify one or more target test collections of records from the SMART system. The Department will determine the range of records eligible for inclusion in the target test collections. Such records will be rich in format and encompass various multimedia types. The records will be unclassified and non-sensitive at the time of transfer.
- B. Transfer Target Collections to NARA - Using simplified delivery processes, the Department will transfer identified target collections and their associated metadata to NARA on an experimental basis. In the context of collaborative research activities supported by NARA's Electronic Records Archives Program, the National Science Foundation, and the U.S. Army Research Laboratory, the Department's target test collections will be used as sample data sets in the course of knowledge management technology research conducted at the San Diego Supercomputer Center, the University of Maryland, the National Center for Supercomputing Applications, and/or the Georgia Tech Research Institute.
- C. Evaluation Transfer Process - The Department will evaluate the effectiveness of the delivery processes enabled by SMART to improve future transfers. Together, NARA and the Department will refine the process to define the standard for the transfer of records by other government agencies. NARA and the Department will also explore alternatives for electronic access by both the public and other government agencies to the Foreign Affairs record under appropriate controls acceptable to both agencies. Such controls will be designed to preserve the status of records and protect such records from unauthorized disclosure.
- D. Explore Knowledge Management Options - NARA, in the context of ongoing research activities supported by its Electronic Records Archives Program virtual archives laboratory, will explore knowledge management options including:

- Ultra-large-scale data-mining technologies for rapid mining, filtering, correlating, and assessing of vast quantities of heterogeneous and unstructured data; intelligent search agents; tools for abstraction and summarization.
- User-oriented frameworks and interfaces for analysis, reporting, and presentation.
- Data storage and management technologies:
  - Tools for collecting, indexing, archiving, and synthesis;
  - Digital classification frameworks and interoperable search architectures;
  - Metadata technologies and tools for distributed multimedia archives; and
  - Test beds for prototyping and evaluating integration of types of digital content, software functionality, and large-scale applications.

E. Data Handling and Completion - The copies of the files transferred to NARA under this MOU are to be used only for the purposes of this MOU. Throughout this research, NARA will exercise all due diligence to ensure that NARA and its research partners appropriately safeguard the copies of the files and prevent the unauthorized disclosure of these materials. Upon completion of the test/evaluations period, as determined by NARA and State, NARA will exercise all due diligence to ensure that NARA and its research partners destroy all copies of the transferred test collections used in this research.

#### IV. Anticipated Project Benefits

The MOU provides mutual advantages and benefits to NARA and the Department.

- For the Department of State, the MOU provides an opportunity to strengthen the business case for SMART by illustrating the full records management life cycle application of SMART functionality from message creation through disposition. The transfer demonstration will also provide the Department with the opportunity during the SMART Program Pilot Phase to test and refine the metadata assigned to each e-document (i.e., the wrapper) in terms of its external utility and transferability. It will also be able to evaluate the effectiveness of the delivery processes enabled by SMART and

resolve issues that may arise before it has accumulated 25 years' worth of records.

- For NARA, the MOU will support the research objectives of this agency by providing a test bed for further research in technologies potentially applicable to preserve, manage, and support sustainable access to federal electronic records collections. It will also assist NARA in standardizing an electronic transfer method across the Federal Government, which will ultimately improve citizen access to the archive. As such, the MOU will support the President's Management Agenda's objective of strengthening citizen centric services.

## V. Funding

The MOU will not require joint NARA and Department of State program funding. Each agency will use such resources as are available to it to fund its participation in and fulfill its undertakings under this MOU.

## VI. Resolution Mechanism

In the event of any disagreement arising under this agreement, NARA and the Department of State will, in good faith, negotiate a resolution of the disagreement.

## VII. Agency Points of Contact

The following persons will serve as agency liaisons to facilitate accomplishment of the general purposes of this MOU and the specific activities of the participants:

The NARA point-of-contact for technical issues is Robert Chadduck, (Computer Engineer, Electronic Records Archives Program Office, Office of Human Resources and Information Services, the National Archives and Records Administration, telephone: 301-837-1585, robert.chadduck@nara.gov).

The Department of State point-of-contact is Ms. Margaret Grafeld, Director, Office of Information Programs and Services, Bureau of Administration, telephone: 202-261-8300, GrafeldMP@state.gov and the alternate point-of-

contact is Dr. Robert Barry Fulton, Senior Consultant, Office of the Under Secretary for Management, telephone: 202-647-0188, FultonRB@state.gov.

VIII. Effective Date, Modification, and Duration

This MOU will become effective when signed by representatives of both NARA and the Department. It may be modified in writing by mutual consent of the participants. It will remain in effect until completion of the activities set forth in Section III, unless terminated earlier upon 30 days' written notification from either participant.

IX. Approvals

The following agree to the terms and conditions of this memorandum of understanding:



Colin L. Powell  
*Secretary of State*  
*United States Department of State*

13 Apr 04  
Date



John W. Carlin  
*Archivist of the United States*  
*National Archives and Records*  
*Administration*

4-13-04  
Date