



National Archives and Records Administration (NARA)

Implementation of the E-Government Act of 2002

Report for FY 2013

The National Archives and Records Administration annual E-Government report is provided pursuant to the E-Government Act of 2002 (Pub. L. No. 107-347) (Act). The Act requires the Office of Management and Budget (OMB) to report to Congress a summary of the information reported by agencies pursuant to Section 202(g) of the Act.

Our report comprises two sections that describe:

1. Highlights of NARA's E-Government Activities
2. Compliance with Goals and Provisions of the E-Gov Act

Section 1: Highlights of NARA's E-Government Activities

A. Describe two IT agency activities or initiatives that enhance the delivery of information and services to the public and others or making improvements in government operations. These examples should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.

Enhanced Delivery of Information and Services to the Public

During Fiscal Year 2013, the National Archives and Records Administration (NARA) continued the expansion of activities to increase online access to the historical records of the National Archives. Online access efforts included:

- adding more than 1 million digital images of records to the agency's online catalog, for a total of more than 1.9 million images;
- expansion of our social media reach in more than 100 channels, including Today's Document on Tumblr, which added almost 100,000 followers; and
- the Citizen Archivist Initiative, which included an estimated 1 billion views of National Archives records on Wikipedia.

In addition to these efforts, NARA introduced two new activities to increase online access and service delivery – the Digital Public Library of America and Google+.

The Digital Public Library of American (DPLA)

DPLA officially launched on April 18, 2013. This collaborative project, initiated by the Berkman Center for Internet and Society at Harvard University, provides online access to millions of

digital items from state and regional digital libraries and several large cultural institutions, including the National Archives, the Smithsonian, the New York Public Library, and Harvard University.

In the first quarter of FY 2013, the National Archives provided content for DPLA's joint online exhibit with Europeana: Leaving Europe: A new life in America. In March 2013 the National Archives signed a data exchange agreement with DPLA to participate in the Digital Hubs Pilot Program. The National Archives initially contributed 1.2 million digital copies of records from our online catalog for the April 2013 launch, including our nation's founding documents, the Documerica Photography Project of the 1970s, World War II posters, Mathew Brady Civil War photographs, and a wide variety of documents that define our human and civil rights. The National Archives will provide updated datasets from our online catalog on a regular basis for ingest into DPLA. As of September 2013, the National Archives has contributed more than 1.9 million digital objects from the agency's online catalog to the DPLA platform, which received more than 180,000 pages views in the month of September.

Google+

NARA joined the Google+ social platform in October 2012 to provide further access to the records of the National Archives through this social media channel. Through daily posts and creative hashtags, the National Archives' page on Google+ has been circled by more than 167,000, and has been +1ed by more than 181,000 people. One post announcing the public program on the Space Program under Presidents Nixon and Ford was shared in June 2013 and received 164 "plus ones" and 52 shares. The addition of Google+ to NARA's social media offerings has opened up another important channel to reach the public online.

B. Describe one agency IT investment, project, or activity that uses effective capital planning and investment control procedures that has achieved increased effectiveness, efficiency, or realized cost savings or cost avoidance.

NARA's in-house email system, Novell GroupWise, was recently replaced with a cloud computing-based email system to improve the availability of email services to employees, contractors, and volunteers while providing an innovative approach for email archiving.

The cloud-based email service modernized the NARA email system while reducing the government's hardware and software expenses, data center footprint, power and cooling requirements, and contract support personnel costs. The resulting system provides increased uptime, improved backup and recovery, improved records management of email, calendaring, contacts, chat, and tasks within the email system, and improved redundancy capabilities. The solution also improves the email support by using the cloud email provider's Tier 2 and Tier 3 support.

A key part of the NARA implementation was the inclusion of ZL Technologies Unified Archive (ZLUA). ZLUA provides for long term message storage, eDiscovery, and DOD 5015.2 compliant electronic records management. The ZLUA solution provides the ability to manage all

data types under a single, unified platform while providing global enterprise-wide search and global deduplication. NARA is at the forefront of adopting this approach with our new cloud email system, using Google email and the ZLUA, and we are serving as a test bed and model for the rest of the government.

This effort used the planning portion (Select Phase) of capital planning and investment control (CPIC) to efficiently highlight technical and business concerns while effectively outlining the appropriate requirements. The business needs summary was discussed at Architecture Review Board (ARB) meetings. These discussions emphasized the need for the contract solicitation to clearly articulate the Service Level Agreements (SLAs), data conversion, and reporting requirements. In addition, it prompted an assessment of current and planned bandwidth utilization and impact on NARA's network.

NARA business units then had an opportunity to review and comment on the draft business case, requirements, and objectives. These comments and other feedback were discussed at various business and technical Integrated Project team (IPT) meetings. This review and feedback process ensured that functional, operational, records management, security, and privacy requirements were clearly incorporated into the final business case and Statement of Objectives (SOO).

The contract was awarded in September 2012. Status reports (in the form of "quad" charts) tracking the scope, risks, schedule and cost were completed by the project manager and reviewed at weekly IT Projects meetings (Control Phase) to monitor implementation. Additional briefings and stage gate reviews were also held before pilot and early adopters were initiated, as well as design and risk reviews. The solution was deployed to all users in April 2013.

Section 2: Compliance with Goals and Provisions of the E-Gov Act

A. Describe how performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Discuss performance metrics that focus on customer service, agency productivity, innovative and best practices technology adoption. If applicable, include a description of your agency's valuation model and how it is used. Provide applicable URL(s) for performance goals related to IT.

NARA uses performance metrics to track progress towards achieving strategic goals and objectives. The same process is followed with an IT investment as with any mission or non-IT program. NARA recently realigned our investments into a concise set of six portfolios to better represent NARA's business practices. In addition to being aligned with the specific business functions, these portfolios and investments are aligned with the enterprise technical and business architecture. Three of these portfolios are currently also tracked as major IT investments (Ex-300s), with multiple performance measures in the areas of business results, customer results, process and activities, and technology. These metrics are reviewed regularly and have aggressive annual targets.

NARA performance based reporting is focused on public facing applications. A variety of performance metrics are tracked and reported such as availability, number of users, and cost per visit for public facing applications. In addition, customer satisfaction with NARA's helpdesk services and the percent of help desk responses that are completed within four hours are also tracked.

These portfolios relate directly to NARA's ability to carry out major operational processes, which enable mission accomplishment. These investments support the processes and infrastructure required for NARA to preserve and protect its holdings while providing access in an efficient and timely manner. For investments that are in an operations and maintenance phase, performance metrics are designed to illustrate the outcomes and results of these investments.

B. Verify or provide the URL(s) for your agency's website for section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

<http://www.archives.gov/global-pages/accessibility.html>

C. Describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.

The Office of the Chief Records Officer continued to reach out to the public and offered opportunities for public collaboration in many different ways in FY 2013. The most significant opportunities occurred during the development of NARA bulletins. NARA bulletins provide fundamental guidance to Federal agencies, who must then determine the most appropriate ways to incorporate recordkeeping requirements into their business processes and identify the specific means by which their agencies will fulfill their records management responsibilities. NARA provided the public an opportunity to comment by publishing draft bulletins on NARA's Records Express blog and requesting comments. Comments were evaluated by the bulletin development teams for inclusion in the final published Bulletin. Two NARA bulletins went through this public review process in FY 2013. In June we requested comments on the draft bulletin: Guidance on a New Approach for Managing Email. Later, we posted the draft bulletin: Guidance on Managing Social Media Records. These bulletins represent significant guidance to agencies in the management of electronic records and working with public input helped NARA develop the best guidance possible.

NARA also accepted comments from the public on a number of draft General Records Schedules (GRS). The team revising these schedules promulgated drafts via the Records Express blog to solicit comments on six draft schedules earlier this year. The team is committed to an ongoing process of reaching out to our government and public stakeholders as they continue their work on revising and updating these schedules.

In addition, on September 10, we hosted an industry day event, "The Managing Government Records Directive: A Grand Challenge for Industry," at the National Archives Building and broadcast the panel speakers via Ustream to reach as broad an audience as possible. The event

provided the Federal information management community the chance to talk directly to vendors about what automated solutions are needed to meet the goals of the Directive. The event culminated with the announcement of a Request for Information, intended to gather information about relevant products and services for the Federal records management community. Dozens of responses to the RFI were received and are available to Federal agencies on the OMB MAX wiki for the Electronic Records Management Automation Working Group.

D. Describe current activities that your agency is undertaking to achieve interoperable implementation of electronic credential authentication for transactions within the Federal Government and/or with the public.

NARA's Office of the Federal Register (OFR) accepts digitally signed documents for publication in the Federal Register from a wide range of agency customers. Agencies may use any Federal or private sector digital signature provider that operates in compliance with National Institute of Standards and Technology Digital Signature Standard FIPS 186-3. The OFR requires that Federal Register submissions be signed with a medium assurance level digital signature certificate, cross-certified by the Federal Bridge Certification Authority. Electronic original documents may be submitted as email attachments or via web portal, eliminating mailing, handling, and preservation of paper copies. OFR information technology staff work closely with the Federal PKI Policy Authority to develop new tools and processes that promote widespread adoption of digital signature applications. In FY 2013 the OFR developed a redesigned and more robust and user-friendly web portal for electronic document submission and management. The portal, which was in acceptance testing at the end of the fiscal year, facilitates the authentication and verification of both documents and users and provides new tools for both users and administrators to identify and correct problem submissions.

E. Verify the URL provided for your agency on USA.gov.

The National Archives and Records Administration (NARA) has more than 100 accounts listed on the Social Media Registry, which allows the public to verify whether a social media account is managed by the U.S. Federal Government.

- <http://www.usa.gov/Contact/verify-social-media.shtml>

NARA apps featured in the Mobile Apps Gallery:

- DocsTeach - <http://apps.usa.gov/docsteach.shtml>
- Presidential Documents App - <http://apps.usa.gov/presidential-documents-app.shtml> (NARA & GPO)
- To the Brink: JFK and the Cuban Missile Crisis - <http://apps.usa.gov/to-brink-jfk-cuban-missile-crisis.shtml>
- Today's Doc - <http://apps.usa.gov/todays-doc.shtml>

NARA resources are listed in a variety of topical pages:

- American History - <http://www.usa.gov/Citizen/Topics/History-American.shtml>
- Family History and Genealogy - <http://www.usa.gov/Citizen/Topics/History-Family.shtml>
- Culture and Ethnic Groups - <http://www.usa.gov/Citizen/Topics/History-Culture.shtml>
- Government and Public Libraries - <http://www.usa.gov/Topics/Reference-Shelf/Libraries.shtml>

Additional NARA resources on USA.gov:

- Electoral College Calculator - <http://www.usa.gov/Citizen/Services.shtml#E>
- Military Service Records Requests - <http://www.usa.gov/Citizen/Services.shtml#M>

F. Provide updated statistics relating to the FY 2013 online electronic regulatory submission capabilities at your agency (e.g., usage of Regulations.gov, FDMS, etc.).

In addition to online submission of *Federal Register* documents, referenced in item 2D, the OFR posts agency submissions to its Electronic Public Inspection Desk on OFR.gov and FederalRegister.gov (Federal Register 2.0). The Public Inspection Desk enables the public and agencies to view manuscript copies of *Federal Register* documents in PDF form at least one day before final publication in the *Federal Register*. Customers may also subscribe to email and RSS notifications of Public Inspection documents.

These services give the public and commercial entities more time to prepare comments on proposed rules or take steps to comply with new regulatory requirements. To simplify the use of data across platforms the FederalRegister.gov website is completely integrated with Regulations.gov/FDMS, including direct access from FederalRegister.gov to agency dockets on FDMS. The Federal Register 2.0 site also contains direct links to the Unified Agenda to trace the regulatory history of significant rules reviewed under E.O. 12866. The OFR manages its own regulatory actions in the Federal Docket Management System, and provides extensive guidance and technical resources to the eRulemaking program through its membership on the Advisory and Governing Boards.

G. Describe your agency's adherence to NARA recordkeeping policies and procedures for electronic information online and other electronic records. Additionally, please indicate the number of electronic records that have been scheduled with NARA and any pending scheduling for electronic systems at your agency.

In FY 2013, NARA's Corporate Records Management staff made significant progress toward electronic recordkeeping per OMB Memorandum M-12-18, Managing Government Records Directive, by implementing cloud email management, disposing of inactive paper records, and issuing an updated records management policy directive.

NARA migrated email from Novell GroupWise to Google's Gmail (Google Apps for Federal Government). As part of our cloud architecture, NARA implemented records management capabilities required by 36 CFR § 1236.22 through a cloud-hosted, DoD-STD 5015.2 v.3 certified Records Management Application (RMA). NARA has applied the Capstone email approach to automatically capture NARA email records and manage them in a cloud-based repository. The cloud-based RMA supports NARA's internal records management and litigation requirements, including the capability to identify, retrieve, and retain the records for as long as they are needed. It meets OMB-M-12-18 requirements by managing both permanent and temporary email records in an accessible electronic format.

More than 70 percent of NARA's program areas have finalized detailed plans for the disposition of internal NARA records. Through records disposition plans, Information Management Officers (IMOs) and Records Custodians (RCs) identified records maintained in program areas, linked them to the records schedule, and identified their disposition dates. Through disposition logs, nearly 60 percent of NARA's program areas identified inactive NARA records eligible for transfer to a Federal Records Center, in-office disposal, or accessioning to NARA's holdings.

In coordination with the Senior Accountable Official for records, NARA issued a new policy directive that updates program objectives and roles for implementing the responsibilities of records management laws and regulations. It establishes NARA's Corporate Records Management Program and forms the basis for a new policy framework to support electronic recordkeeping requirements and implements specific requirements of the OMB M-12-18.

In addition to these initiatives, Corporate Records Management staff ensures that records management requirements are included where appropriate in policies and systems development. Examples include procuring recordkeeping functions for NARA's new cloud email system, reviewing records paragraphs in policies, coordinating NARA's reports required by the new Managing Government Records Directive, managing NARA's vital records program, and participating in NARA's COOP exercise.

H. Verify or provide the URL for your agency's primary FOIA website.

<http://www.archives.gov/foia/>

I. Verify or provide the updated URL(s) for your agency's Information Resources Management (IRM) Strategic Plan. This plan should encompass activities in FY 2013, and should include the information required by OMB Memorandum M-13-09, and incorporate feedback provided by OMB to draft plans submitted by agencies on May 15, 2013.

IRM Strategic Plan: <http://www.archives.gov/about/plans-reports/info-resources/>

J. Verify or provide the updated URL(s) for your agency's customer service goals and activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and uses innovative technologies to improve customer service at lower costs.

Information about NARA's customer service standards, values, and commitment can be found:

<http://www.archives.gov/about/customer-service/>
<http://www.archives.gov/about/customer-service/standards.html>

Information about the NARA's implementation of the Digital Government Strategy, open government activities, and resources for developers:

<http://www.archives.gov/digitalstrategy/>
<http://www.archives.gov/open/>
<http://www.archives.gov/developers/>

K. If your agency funds R&D activities, verify or provide the updated URL(s) for publically accessible information related to those activities, and specify whether or not each website provides the public information about federally funded R&D activities and/or the results of the Federal research.

URL	Provides public information	Provides results of research
http://www.archives.gov/applied-research/	Y	
http://www.facebook.com/NARACAST	Y	Y
http://perpos.gtri.gatech.edu/	Y	Y
http://isda.ncsa.illinois.edu/drupal/project/census	Y	Y
http://isda.ncsa.illinois.edu/drupal/project/nara	Y	Y
http://isda.ncsa.illinois.edu/drupal/software/CSR	Y	Y
https://isda.ncsa.illinois.edu/NARA/CSR/php/search/conversions.php		Y
http://isda.ncsa.illinois.edu/drupal/software/polyglot		Y
http://polyglot.ncsa.illinois.edu/polyglot/convert.php		Y
http://isda.ncsa.illinois.edu/drupal/software/Software%20Server	Y	Y
http://isda.ncsa.illinois.edu/drupal/software/Versus	Y	Y
http://www.ncsa.illinois.edu/News/Stories/bigdata/	Y	
http://www.ncsa.illinois.edu/News/Stories/ImageMiners/	Y	
http://ci-ber.blogspot.com/p/about-ci-ber.html	Y	Y

URL	Provides public information	Provides results of research
http://www.slideshare.net/richardjmarciano/a-system-for-scalable-visualization-of-geographic-archival-records	Y	Y
http://www.casc.org/papers/2012Brochure.pdf	Y	
http://gazette.unc.edu/2012/01/24/changing-the-research-landscape-through-%E2%80%98big-data%E2%80%99/	Y	
http://quipu.psc.teragrid.org/slash2/	Y	Y
http://www.hpcwire.com/hpcwire/2012-08-21/pittsburgh_supercomputing_center_deploys_disk-based_data_repository.html	Y	
https://www.xsede.org/best-of-xsede13	Y	
http://www.tacc.utexas.edu/news/feature-stories/2013/hip-hip-hadoop	Y	
http://www.nagara.org/associations/5924/files/Exercises%20in%20Marchine%20Learning%20as%20a%20Tool%20for%20Archivists%20and%20Records%20Managers.pdf	Y	
http://bighumanities.files.wordpress.com/2013/09/1_4_audenaert_houston_paper.pdf	Y	
http://www.hastac.org/blogs/slgrant/2013/01/15/socializing-big-data-collaborative-opportunities-computer-science-social-sc#.UPbV74njlUR	Y	
http://www.hastac.org/blogs/slgrant/2012/12/03/big-data-meets-collaboration-difference-hastac-goes-ciber	Y	

L. Describe your agency's adherence to OMB guidance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose; in addition, describe your process for performing and updating privacy impact assessments for IT.

NARA's Senior Agency Official for Privacy is the General Counsel, and staff within that office are responsible for managing the privacy program. This ensures the privacy program staff has access to senior management officials and is abreast of the agency's large IT acquisitions and policy direction.

For each IT system the agency procures, the Privacy Program staff receives information about what, if any, personally identifiable information will be collected. If PII is collected, the staff and program office complete a Privacy Impact Assessment (PIA) and, if the Privacy Act requires, update existing or create new System of Records Notices. Two NARA internal policies cover this process.

In advance of the annual FISMA report deadline, the Privacy Program staff asks each system owner to review the PIA for their system to update it or confirm that no changes have been made to the system in the previous year. Staff responsible for public-facing social media outlets, including Facebook, Tumblr, Twitter, Ideascale, and others, must review social media specific PIAs.

NARA's internal policies also require that any time an office initiates a new information collection, updates, or renews a form covered by the Paperwork Reduction Act, Privacy Program staff review what information is collected and the (e)(3) notice statement required by the Privacy Act.

For all IT systems hosted, maintained, or accessed by contractors that contain PII, each contract includes the standard Federal Acquisition Regulation clauses for Privacy Act systems and a NARA standard clause on the protection of PII.

N. Describe your agency's IT training program, privacy training program, cross-agency development programs, and competency reviews for IT workforce.

NARA provides most of its IT training via its Learning Management System (LMS), an Internet-based software package that delivers and manages learning content and resources. Application-specific training (as needed) is provided by commercial vendors or other government agencies.

FISMA-compliant IT security training is provided at the time of on-boarding for all NARA staff (employees and contractors) and annually as required, along with training on protections for privacy-related information. In FY 2013, NARA developed a multi-level Tier II training program for System Owners, Information System Security Officers, IT Security Staff, and IT Security Support Staff. Annual IT Security briefings are provided to Administrative Officers, Facilities Officers, Field Office System Administrators, and Network Operations support staff. A training module for Business Owners and System Owners is in development and will be incorporated in the FY 2014 training cycle.

NARA provides annual privacy training on personally identifiable information and the Privacy Act to all employees as part of the online IT Security and Awareness training. In addition, employees responsible for screening archival records for release to the public receive in-depth Privacy and Freedom of Information Act training on a regular basis.

All new employees, including student and temporary employees, receive a written training packet with information on privacy compliance. NARA has many term employees that may not receive access to agency computer systems for their jobs and may miss annual training cycles because of their entry and exit dates. Thus, providing hard copies of the new employee information on PII is an essential part of the training program. Likewise, permanent employees who cannot access the online IT Security and Awareness training receive hard copies of the information for their review. Volunteers and student interns also receive the written training packet to review.

NARA provides a wide array of cross development opportunities for our IT workforce (e.g., GS-2210s). For ease of use and targeted development, the curriculum and activities are mapped to the Clinger-Cohen required competencies. Competency gaps are identified using data from the annual Clinger-Cohen Assessment, integrated into staff Individual Development Plans (IDPs), and tracked and reported on using NARA's Learning Management System.