



National Archives and Records Administration (NARA)

Implementation of the E-Government Act of 2002

Report for FY 2012

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 Act

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

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.

The Citizen Archivist Initiative

The National Archives and Records Administration (NARA) is engaging the public through the Citizen Archivist Initiative to improve the online delivery of government records. NARA has elevated the importance of public participation by creating a role for "citizen archivists" and encouraging substantive contributions like tags, transcriptions, and digital images that increase public access to the records of the Federal Government.

The Citizen Archivist Initiative is a new way for NARA to work with the researchers, genealogists, and the public, so that government records can be more easily found online. NARA has developed several web based tools to enable public contributions, including tagging in their online catalog and an online transcription tool. NARA launched the Citizen Archivist Dashboard (<http://www.archives.gov/citizen-archivist/>) to centralize these activities, including external activities in online communities like Wikipedia and Flickr. In January 2012, NARA launched the National Archives Transcription Pilot Project (<http://transcribe.archives.gov/>), which enabled the public to transcribe more than 1,000 pages of records online in less than 3 weeks.

The Citizen Archivist Initiative at NARA leverages digital tools and external online communities to put government records where the people are already spending their time – in places like Wikipedia. Through the work of the agency's Wikipedian in Residence, NARA contributed 90,000

digital copies of historical records to the Wikimedia Commons. From this work, the Wikipedian community incorporated images of historical government records into thousands of articles on Wikipedia. These efforts have led to an estimated 750,000,000 views of Wikipedia articles with images of records from the National Archives in Fiscal Year 2012.

FOIAonline

During Fiscal Year 2012, the National Archives and Records Administration (NARA) worked to increase effectiveness, efficiency, and quality of services in the administration of the Freedom of Information Act (FOIA). NARA's Office of Government Information Services (OGIS) worked in partnership with the Environmental Protection Agency and the Department of Commerce to develop FOIAonline, a shared platform for agencies to manage FOIA requests.

FOIAonline (<https://foiaonline.regulations.gov/foia/action/public/home>) represents further enhancements to e-government for the administration of the Freedom of Information Act. Previously, FOIA requestors could make requests via email and, in some cases, online forms. FOIAonline more fully leverages online capabilities to provide useful services to FOIA requestors. Users can submit FOIA requests, track their progress, communicate with the processing agency, search other requests, and access previously released responsive documents and file appeals with participating agencies. Users may also communicate directly with the agency, receive electronic notification when the status of their request has changed, and generate reports on the agencies' implementation of FOIA.

In addition to the development work, NARA is one of the initial participating agencies in FOIAonline. NARA is currently using FOIAonline for the agency's operational records, which are handled by the Office of General Counsel.

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.

The project to replace NARA's current in-house email system, Novell GroupWise, with a cloud computing-based email system, is aimed at improving the availability of email services to employees, contractors and volunteers. This effort utilized 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 cloud-based email service will modernize 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 will provide increased uptime, improved backup and recovery, improved records management of email, calendaring, contacts, chat, and tasks within the email system, and improve redundancy capabilities. The cloud email solution will also improve the email support by using the cloud email provider's Tier 2 and Tier 3 support.

The contract was awarded in September 2012 and project implementation is underway. Monthly status reports (in the form of "quad" charts) tracking the scope, risks, schedule and cost will be completed by the project manager and reviewed at IT Projects meetings to monitor implementation.

The anticipated annual savings based on contract award is approximately \$250,000¹ per year, or an estimated 19% savings over the current email and records management application expenses.

Section 2: Compliance with Goals and Provisions of the 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. Currently, NARA monitors 30 IT investments, which are aligned with the enterprise technical and business architecture as well as specific business functions. Six of these are also tracked as major IT investments (Ex-300s), with multiple performance measures that 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.

All six of the major IT investments relate directly to NARA's ability to carry out major operational

¹ The \$250K per year is based on average annual maintenance cost of approximately \$1.1M for the new email system with records management capability compared to the estimated annual cost of the existing email (\$850K) and records management application (\$500K).

processes, which enable mission accomplishment. These investments support the processes and infrastructure required for NARA to preserve and protect its holdings, and provide access in an efficiently 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. 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.

Managing Government Records

On November 28, 2011, the Obama Administration released a Presidential Memorandum (<http://www.whitehouse.gov/the-press-office/2011/11/28/presidential-memorandum-managing-government-records>) on Managing Government Records. This Memorandum tasked NARA with, among other things, developing a Directive directing agency heads to reform and improve records management practices within their agencies. The Memorandum also required the Archivist to consult with “other affected agencies, interagency groups, and public stakeholders.”

In February 2011, NARA launched the “Managing Government Records” online forum (<http://govrecordmanagement.ideascale.com/>) to solicit input for the Directive. Records and information professionals, vendors, and the general public used this site to provide their ideas for improving the management of Federal records. Ideas were generated in the six categories specified in the Memorandum:

- creating a government-wide framework,
- promoting practices that enable agencies to fulfill their mission,
- maintaining accountability through documentation of actions,
- increasing open government and access,
- supporting agency compliance, and
- transitioning from paper to electronic recordkeeping when feasible.

For nearly two months, (February 16, 2012 – April 13, 2012) 180 registered users posted 88 comments and cast 273 votes on 30 specific ideas. All of this input was evaluated by the team for potential inclusion in the final Directive that was issued on August 28, 2012.

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.

E. Provide the URL(s) for your agency's activities on USA.gov.

The NARA submitted more than 90 accounts to 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>

Additionally, NARA resources are listed in a variety of topical pages:

<http://www.usa.gov/Citizen/Topics/History-American.shtml>

<http://www.usa.gov/Citizen/Topics/History-Family.shtml>

<http://www.usa.gov/Citizen/Topics/History-Culture.shtml>

<http://www.usa.gov/Topics/Reference-Shelf/Libraries.shtml>

NARA also features two apps in the Mobile Apps Gallery:

<http://apps.usa.gov/docsteach.shtml>

<http://apps.usa.gov/todays-doc.shtml>

F. Describe the on-line electronic regulatory submission capabilities at your agency (e.g., usage of Regulations.gov, Federal Docket Management System, 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. Recently, the OFR completely integrated its FederalRegister.gov website with Regulations.gov/FDMS. This includes a new Regulations.gov sidebar that provides direct access to agency dockets on FDMS. Rather than begin research from scratch on Regulations.gov, Federal Register 2.0 customers now have direct links to comment forms and supporting documents in FDMS, direct access to public comments displayed on Regulations.gov, a countdown clock of days

remaining in comment periods, a running count of comments processed, and links to dockets of completed final actions. 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.

In FY 2012, NARA's Corporate Records Management (CRM) staff implemented a major initiative to position NARA at the forefront of agency records management programs. CRM developed a Plan to Create a Model Program for NARA's Corporate Records. The Director briefed the Management Team on the plan and reported progress using a Milestone matrix. The CRM staff met with all NARA Executives and identified Information Management Officer (IMO) and Records Custodian (RC) positions to cover recordkeeping responsibilities in all major NARA business functions.

As part of the Plan, CRM's completed milestones included: benchmarking and reporting on the recordkeeping situation in each office; kicking off the network of IMOs and RCs (RIM Network); developed a new RM Policy Directive; trained the IMOs and RCs on Identifying NARA's Records and Using NARA's Records Schedule; as part of this training RCs drafted disposition plans to use in planning the disposition of NARA's legacy records.

In addition to implementing the model program plan, CRM ensures that records management requirements are included where appropriate in policies and in systems development. Examples include: procuring recordkeeping functions for NARA's new cloud email system, coordinating NARA's input to the Presidential memorandum on Improving Records Management, managing NARA's vital records program and participating in NARA's COOP exercise; participating as a pilot agency on the CRO's Email Management 2.0 Pilot; participating on multiple technical working groups; providing recordkeeping guidance to support new mailbox size limitations.

In FY13, CRM will continue implementing the model program and recordkeeping in NARA's new cloud email system.

H. Provide the URL for your agency's primary FOIA website.

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

I. Provide the URL(s) for your agency's privacy policy and the website where your agency's privacy impact assessments are available.

Privacy policy: <http://www.archives.gov/global-pages/privacy.html>

Privacy impact assessments:

<http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/>

J. Provide the URL to your agency's Information Resources Management Strategic Plan.

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

K. Provide the URL(s) that contains 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/digitalstrategy/milestones.html>

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

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

L. If your agency funds R&D activities, provide the 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		<u>Y</u>
http://polyglot.ncsa.illinois.edu/polyglot/convert.php		<u>Y</u>
http://isda.ncsa.illinois.edu/drupal/software/Software%20Server	<u>Y</u>	<u>Y</u>
http://isda.ncsa.illinois.edu/drupal/software/Versus	<u>Y</u>	<u>Y</u>
http://isda.ncsa.illinois.edu/drupal/biblio	<u>Y</u>	<u>Y</u>
http://www.ncsa.illinois.edu/News/Stories/bigdata/	<u>Y</u>	
http://www.ncsa.illinois.edu/News/Stories/ImageMiners/	<u>Y</u>	
http://ci-ber.blogspot.com/p/about-ci-ber.html	<u>Y</u>	<u>Y</u>
http://www.slideshare.net/richardjmarciano/a-system-for-scalable-visualization-of-geographic-archival-records	<u>Y</u>	<u>Y</u>
http://bit.ly/H97nJC	<u>Y</u>	
www.slideshare.net/NARACAST/	<u>Y</u>	<u>Y</u>
http://www.casc.org/papers/2012Brochure.pdf	<u>Y</u>	
http://gazette.unc.edu/2012/01/24/changing-the-research-landscape-through-%E2%80%98big-data%E2%80%99/	<u>Y</u>	
http://quipu.psc.teragrid.org/slash2/	<u>Y</u>	<u>Y</u>
http://www.hpcwire.com/hpcwire/2012-08-21/pittsburgh_supercomputing_center_deploys_disk-based_data_repository.html	<u>Y</u>	

M. 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 is 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 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 that is 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 competencies 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 of all NARA staff and annually as required. In FY 12 NARA developed Tier II training program for Information System Security Officers, IT Security Staff. Annual IT Security briefings are provided to Administrative Officers, Facilities Officers, Field Office System Administrators, and Network Operations support staff.

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 regularly.

All new employees receive a written training packet with information on privacy compliance. NARA has many term employees that may not receive access to agency computers for their jobs or may miss training cycles because of their entry and exit dates. Thus, providing hard copies of PII information is an essential part of the training program.

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, integrated into staff Individual Development Plans (IDPs), and tracked and reported on using NARA's Learning Management System.