



National Archives and Records Administration (NARA)

Implementation of the E-Government Act of 2002

Report for Fiscal Year (FY) 2015

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. Enhanced Delivery of Information and Services to the Public

Describe one IT agency activity or initiative that enhances the delivery of information and services to the public and others, or makes improvements in government operations. This example should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.

In FY 2015, NARA finalized the transition from the previous version of our online portal of NARA's records (Online Public Access - OPA) to the new National Archives Catalog in May. This new release contained significant upgrades. As a consequence of these improvements, access to NARA records has substantially increased over this year. At the end of FY 2015, there were 9,563,161 descriptions and 7,278,232 objects in the National Archives Catalog. Moreover, public participation, through tagging and transcribing records in the Catalog, grew at 2.8 and 5.5 percent, respectively, over the first full quarter since the release. Additional development took place subsequent to the first release with the next version tentatively scheduled for the first quarter of FY 2016.

B. Public Access to Electronic Information

Provide the updated URL(s) that contains your agency's customer service goals and describes 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. For example, include the URL to your agency's Customer Service Plan.

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

- <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/>

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

A. Performance Integration

Describe what performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Please discuss performance metrics that focus on customer service, agency productivity, innovative technology adoption and best practices. If applicable, include a description of your agency's evaluation 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. The NARA IT portfolio is aligned into a concise set of seven programs to better represent NARA's business practices. In addition to being aligned with the specific business functions, these programs and investments are aligned with the enterprise technical and business architecture. Three of these programs are also tracked as major IT Business Cases, with multiple performance measures in the areas of customer satisfaction, financial, innovation, and strategic and business results. These metrics are reviewed regularly and have aggressive annual targets.

NARA's performance-based reporting is focused on public facing applications. A variety of performance metrics are tracked and reported, including availability, response time, number of records processed, and increase in cases worked per staff day. In addition, customer satisfaction with NARA's helpdesk and the percent of help desk initial responses provided within 12 hours are also tracked.

The NARA programs relate directly to NARA's ability to carry out major operational processes, which enable mission accomplishment. The underlying 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. Accessibility

Provide the URL(s) for your agency's website which describes actions taken by your agency in accordance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

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

C. Government-Public Collaboration

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

In FY 2015, NARA engaged the public to help develop new NARA initiatives for inclusion in the third U.S. Open Government National Action Plan (NAP), to be published in October 2015. NARA sought public feedback through blog posts on the NARAtions Blog, the National Declassification Center (NDC) Blog, and the FOIA Ombudsman. NARA also conducted in-person consultations with civil society representatives and helped host an interagency public meeting to seek feedback on the NAP. NARA reviewed suggestions and developed initiatives to strengthen open government through transparency, participation, and collaboration activities. In FY 2015, using blogs and an online collaboration tool, NARA also sought input from the public on the development of digitization priorities for the agency, reviewing almost 100 suggestions for records to be digitized. NARA engaged directly with the public to get their thoughts on the collections NARA should digitize first. Using this input as one factor, NARA compiled a digitization priority list that was made available to the public on October 2, 2015:

<http://narations.blogs.archives.gov/2015/10/02/announcing-naras-digitization-priorities/>

D. Credentialing

Describe current activities your agency is undertaking to achieve the interoperable implementation of electronic credential authentication for transactions within the Federal Government and/or with the public (e.g., agency implementation of HSPD-12 and/or digital signatures).

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 via a secure web portal, eliminating mailing, handling, and preservation of paper copies. OFR information technology staff work closely with the Federal Public Key Infrastructure (PKI) Policy Authority to develop new tools and processes that promote widespread adoption of digital signature applications. In FY 2015, the OFR increased the number of agencies submitting documents electronically by 6 percent as a result of several efforts to promote use of the PKI capability and the *Federal Register*'s redesigned web portal, which facilitates the authentication and verification of both documents and user credentials and provides new tools for both users and administrators to identify and correct problem submissions. Users also are able to view a history of past documents submitted to the OFR. The OFR promoted the use of electronic document submission at its annual conference for *Federal Register* liaisons.

E. USA.gov activities

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

NARA has more than 100 accounts listed on the Social Media Registry, which allows the public to verify social media accounts managed by the Federal Government, available at: <https://www.usa.gov/verify-social-media>.

NARA apps featured in the Mobile Apps Gallery at <http://www.usa.gov/mobileapps.shtml#N>:

- Congress Creates the Bill of Rights
- DocsTeach
- The National Archives Catalog
- To The Brink: JFK and the Cuban Missile Crisis
- Today's Doc

F. eRulemaking

Provide a description of your agency's use of online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System (FMDS).

The Office of the Federal Register (OFR) posts agency submissions to its Electronic Public Inspection Desk on OFR.gov and FederalRegister.gov (Federal Register 2.0 or FR 2.0). The Public Inspection Desk provides the public and agencies the means to view manuscript copies of *Federal Register* documents in PDF form at least one day before publication in the *Federal Register*. FR 2.0 supports email subscriptions to and RSS

notifications of Public Inspection documents, a specific agency's documents, the daily table of contents, and other advanced search results. 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, FR 2.0 is integrated with Regulations.gov/FDMS (the Federal Document Management System) to include access from FR 2.0 to agency dockets on FDMS. FR 2.0 also contains direct links to the Unified Agenda to trace the regulatory history of significant rules reviewed under Executive Order 12866. The OFR manages its own regulatory actions in the FDMS, and provides extensive guidance and technical resources to the eRulemaking Program through its membership on the Advisory and Governing Boards. In FY 2014, the OFR released a new Commenting Feature on FR 2.0 that uses the Comment Write Application Programming Interface (API) provided by the eRulemaking Program. Use of the commenting feature in FY 2015 doubled each quarter to a total of more than 8,400 comments submitted to agencies through FR 2.0. This feature is also integrated with existing *MyFR* and social media capabilities on FR 2.0.

G. National Archives Records Administration (NARA) Recordkeeping

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.

NARA's Corporate Records Management Program adheres to Federal laws and regulations when implementing internal policies and procedures for NARA's own electronic records and systems. The Corporate Records Management staff ensures records management requirements are incorporated into the planning, design, development, and implementation of new information systems, including the disposition of data. The staff performs a technical review of Capital Planning and Investment (CPIC) business cases, identifies whether records are scheduled, and works closely with business owners and IT professionals.

NARA has already met the requirement to manage all email records electronically by December 31, 2016, per the OMB Managing Government Records Directive (M-12-18). Since the agency's implementation of its email system in January 2013, the system manages over 57 million email records to date. NARA will use the new GRS 6.1, "Email Managed under a Capstone Approach," to schedule its email records.

Of the 33 major NARA IT systems, 19 are scheduled, and 14 are currently unscheduled. In addition, there are six administrative systems (such as procurement, personnel/payroll, accounting, timekeeping, and travel management) that are externally hosted and managed by other agencies that adhere to NARA recordkeeping policies and procedures. NARA has hired additional staff to work on the unscheduled records, including the unscheduled IT systems.

NARA is also working towards the 2019 goal to manage all permanent electronic records in an electronic format. NARA has begun to tackle this goal by forming a working group to look at how NARA can meet this requirement. The working group includes members from various offices within NARA including Corporate Records Management, General Counsel, Information Services, and others.

In addition, NARA requires that records instructions are included in all policy directives. Staff is also active in managing NARA's essential records program and participating in NARA's Continuity of Operations Planning (COOP) exercises.

H. Freedom of Information Act (FOIA)

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

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

I. Information Resources Management (IRM) Strategic Plan

The EGov Act requires agency websites to include the strategic plan of the agency developed under section 306 of title 5, US Code. Provide the updated URL to your agency's IRM Strategic Plan. This plan should encompass activities in FY15. If your agency does not have an updated plan, please provide the URL to the most recent plan and indicate when an updated plan will be available.

<http://www.archives.gov/about/plans-reports/info-resources/nara-irm-strategic-plan-2015.pdf>

J. Research and Development (R&D)

Provide the updated URL(s) for publicly 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	Y
http://www.facebook.com/NARACAST	Y	
http://perpos.gtri.gatech.edu/	Y	Y
http://perpos.gtri.gatech.edu/IE	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	Y
http://isda.ncsa.illinois.edu/drupal/software/Software%20Servers	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	
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	
https://github.com/pscedu/slash2		Y
http://www.psc.edu/index.php/research-programs/advanced-systems/slash2	Y	
http://nagara.org/images/downloads/2013_E_Records_Forum__Austin__TX/2013_austin__exercises_in_machine_learning.pdf	Y	Y
https://www.hastac.org/blogs/slgrant/2012/12/03/big-data-meets-collaboration-difference-hastac-goes-ciber	Y	
http://wunc.org/post/mapping-inequality-how-redlining-still-affecting-inner-cities#stream/0	Y	
http://salt.umd.edu/SRC/demo/demo.html		Y
https://sciencenode.org/feature/breaking-out-digital-graveyard-extracting-meaning-cursive-script.php	Y	
http://www.datanami.com/2014/01/06/ncsa_project_aims_to_create_a_dns-like_service_for_data/	Y	
https://www.hastac.org/blogs/slgrant/2012/12/03/big-data-meets-collaboration-difference-hastac-goes-ciber	Y	
http://www.dlib.org/dlib/january14/blanke/01blanke.html	Y	
https://www.cs.utexas.edu/~suyog/vast.pdf	Y	Y
https://www.asis.org/asist2013/proceedings/submissions/papers/90paper.pdf	Y	Y

K. Privacy Policy and Privacy Impact Assessments

Describe your agency's adherence to this provision, including adherence to OMB's 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 agency's process for performing and updating privacy impact assessments for IT.

NARA's Senior Agency Official for Privacy is the General Counsel. Staff within that office is responsible for managing the privacy program. This ensures the privacy program staff has access to senior management officials and stays abreast of the agency's large IT acquisitions and policy direction. For each IT system procured, the Privacy Program receives information about what, if any, personally identifiable information will be collected. If Personally Identifiable Information (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.

On a regular basis, the Privacy Program staff asks system owners to review the PIA for their system, and 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 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, 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 containing PII, each contract includes standard Federal Acquisition Regulation clauses for Privacy Act systems and a NARA standard clause on the protection of PII. Such contracts also include IT security clauses, which require FISMA moderate controls for data centers and applications that store or process PII.

K2. Privacy Policy and Privacy Impact Assessment Links

Provide the updated 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/>

M. Agency IT Training Programs

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

FISMA-compliant IT security training is required at the time of on-boarding and annually for all NARA staff (employees and contractors), along with training on protections for privacy-related information. In FY 2015, NARA revamped its Tier I Computer Based Training to better address emerging threats. The agency continued the development of a multi-level Tier II training program for users with elevated security responsibilities and other staff involved in Risk Management activities. Classroom instructions, along with on-site delivery of awareness training, have been scheduled and will be offered in the FY 2016 training cycle.