National Archives and Records Administration (NARA)

Implementation of the E-Government Act of 2002

Report for Fiscal Year (FY) 2016

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 – Sec. 202(g)
      Section 202(g) of the E-Gov Act requires agencies to provide information on how electronic government is used to improve performance in delivering programs to constituencies. In no more than 250 words, 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.

> FY 2016 marked the start of a new approach to customer service for NARA. With the launch of History Hub (https://www.history.gov), NARA is transforming how people find answers to their questions. By harnessing the power of the crowd, we are building a support community for researchers, citizen historians, archival professionals, and open government advocates. History Hub offers tools like discussions boards, blogs, and community pages to bring people together around historical topics of interest. It is a place for the public to share information, work together, find people based on their experience and interests, and get help with their research from experts across the country. In the months since launch, we have seen rising participation from the public on the platform, including over 1,700 registered users who have posted and responded to 400 questions. About 40 percent of users are returning visitors and they read about four pages in three minutes. These early statistics are good indicators of the "sticky" nature of the community. Over the next two years, NARA will expand the pilot to incorporate the platform into our workflow, market it to a wider audience, and

collaborate with similar organizations like the Library of Congress and Smithsonian, as well as state and local archives, who can offer expertise in answering questions.

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 – Sec. 202(b)
   *The E-Gov Act requires agencies to develop performance metrics that demonstrate how electronic government supports agency objectives, strategic goals, and statutory mandates. **In no more than 250 words**, 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. Four 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 system availability, response time, first call resolution, records entries processed, and 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 as well as inventory accuracy.

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 – Sec. 202(c) and (d)
    The E-Gov Act requires agencies to consider the impact of implementing policies on persons without access to the internet, and ensure accessibility to people with disabilities. 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 – Sec. 202(e)
    The E-Gov Act requires agencies to sponsor activities that use information technology to engage the public in the development and implementation of policies and programs. **In no more than 250 words**, *describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.*

    NARA created a robust dialog and consultation process for the development of the agency's fourth Open Government Plan in FY 2016. Internal and external engagement efforts brought in more than 180 discrete ideas, suggestions, and proposals for strengthening open government at NARA. During Sunshine Week in March 2016, NARA's external engagement kicked off with blog posts on the NARAtions Blog, NDC Blog, Records Express, the FOIA Ombudsman, and social media posts on Facebook and Twitter. The Open Government Team at NARA also monitored ideas and comments submitted on the Open Government space on the History Hub site. The Archivist and Senior Executives also held their first Open Government webinar with an overview and presentations, and feedback from the public. NARA published its plan in September 2016, utilizing Github and making the code to the plan publicly available. This functionality allows the agency to continue to receive comments and suggested edits so that the document changes over time. Additionally, GSA forked the code repository and utilized this for their own agency

Open Government Plan.

D. Credentialing – Sec. 203

*The E-Gov Act seeks to achieve interoperable implementation of electronic signatures for appropriately secure electronic transactions with Government. **In no more than 250 words,** 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 2016, the OFR increased the number of agencies submitting documents electronically by 14 percent as a result of ongoing 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, with several notices to Federal Liaisons, and to help agencies respond to tighter personnel security protocols for individuals submitting documents in person at the office.

E. USA.gov activities – Sec. 204 and Sec. 207(f)

In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with Section 207(f) (3), provide the URL(s) 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://usdigitalregistry.digitalgov.gov/

NARA apps and mobile sites featured in the Mobile Apps Gallery at https://www.usa.gov/mobile-apps

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

[1] Agencies may include activities that support Executive Order 13571: Streamlining Service Delivery and Improving   Customer Service and Digital Government Strategy.

F. eRulemaking – Sec. 206
The E-Gov Act seeks to assist the public, including the regulated community, in electronically submitting information to agencies under Federal requirements, by reducing the burden of duplicate collection and ensuring the accuracy of submitted information. **In no more than 250 words**, *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 at FederalRegister.gov. 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*. FederalRegister.gov 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, FederalRegister.gov is integrated with Regulations.gov/FDMS (the Federal Document Management System) to include access from the website to agency dockets on FDMS. FederalRegister.gov 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. Use of the Commenting feature on FederalRegister.gov more than quadrupled in FY 2016 from the previous year to a total of more than 74,000 comments submitted to agencies through FederalRegister.gov. This feature is also integrated with existing *MyFR* and social media capabilities on the website.

G. National Archives Records Administration (NARA) Recordkeeping – Sec. 207(d-e)
The E-Gov Act requires agencies to adopt policies and procedures to ensure that chapters 21, 25, 27, 29, and 31 of title 44, United States Code, are applied effectively and comprehensively to Government information on the Internet and to other electronic records. **In no more than 250 words,** *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.[2]

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. In addition, NARA requires that records filing and retention instructions are included in all policy directives.

Of the 33 major NARA IT systems, 19 are scheduled, and 14 are currently unscheduled mainly due to the original retention schedule for the content only covering paper records. NARA will be addressing those unscheduled systems as part of a larger project to revise schedules based on function and not format or office. In addition, there are six administrative systems (such as procurement, personnel/payroll, accounting, timekeeping, and travel management) that are covered by the General Records Schedules (GRS) as well as email records being covered by GRS 6.1. NARA website records also have approved retention schedules. Schedules are pending for two systems from the Office of Inspector General.

NARA is also working towards the 2019 goal to manage all permanent electronic records in an electronic format. Last year, NARA established a working group with members from various offices within NARA including Corporate Records Management, General Counsel, Information Services, and others. This working group produced a requirements document to present the requirements for implementing Goal 1.1 which is necessary for meeting the 2019 goal for electronic records keeping. This document is currently under internal NARA review.

H. Freedom of Information Act (FOIA) – Sec. 207(f)(A)(ii)
    The E-Gov Act requires agency websites to include direct links to information made available to the public under the Freedom of Information Act. Provide the updated URL for your agency's primary FOIA website.

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

[2] NARA Bulletin 2006-02

I. <u>Information Resources Management (IRM) Strategic Plan – Sec. 207(f)(A)(iv)</u>
   The E-Gov 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.[3]

   The URL to the most recent plan is https://www.archives.gov/about/plans-reports/info-resources

   The next update to the plan will be in 2017.

3   OMB Memorandum M-14-08, "*Fiscal Year 2014 PortfolioStat.*"

J.   <u>Research and Development (R&D) – Sec. 207(g)</u>

If your agency funds R&D activities, 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
https://github.com/pscedu/slash2/wiki	Y	
http://www.psc.edu/index.php/research-programs/advanced-systems/slash2	Y	
https://nagara.starchapter.com/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	

URL	Provides public information	Provides results of research
http://www.dlib.org/dlib/january14/blanke/01blanke.html	Y	
http://www.ijdc.net/index.php/ijdc/article/viewFile/152/215		
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 – Sec. 208(b)

The E-Gov Act requires agencies to conduct a privacy impact assessment; ensure the review of the privacy impact assessment by the Chief Information Officer, or equivalent official, as determined by the head of the agency; and if practicable, after completion of the review under clause, make the privacy impact assessment publicly available through the website of the agency, publication in the Federal Register, or other means. In no more than 250 words, 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. The Chief Privacy Officer, also within the General Counsel, is a member of the IT governance boards which reviews and approves all new IT projects. As part of the governance process, the CPO provides input on how privacy concerns will be addressed in any IT system which processes personally identifiable information. 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 - Sec. 208 (b)
In addition to the narrative provided above in section K, 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 – Sec. 209 (b) (2)
*The E-Gov Act calls for agencies to establish and operate information technology training programs. The act states that such programs shall have curricula covering a broad range of information technology disciplines corresponding to the specific information technology and information resource management needs of the agency involved; be developed and applied according to rigorous standards; and be designed to maximize efficiency, through the use of self-paced courses, online courses, on-the-job training, and the use of remote instructors, wherever such features can be applied without reducing the effectiveness of the training or negatively impacting academic standards. **In no more than 250 words**, 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 2016, 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 2017 training cycle.