



National Archives and Records Administration

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National Archives and Records Administration (NARA) Implementation of the E-Government Act of 2002 Report for FY 2009

EXECUTIVE SUMMARY

Section I: Transparency, Engagement, and Innovation

NARA's mission is unique among Government agencies -- we are charged with making the Government's historical information available to the public. We have many innovative programs and partnerships for doing so, and are pleased to report on our initiatives that are consistent with and in the spirit of the January 21, 2009, [Memorandum for Heads of Executive Departments and Agencies on Transparency and Open Government](#). In support of this memorandum, and in keeping with advances in technology, we now publish an XML edition of the daily *Federal Register*, making this critical information easier to search, organize, access, and repurpose in ways that are more meaningful to users based on their needs and interests. We have established non-exclusive partnerships with organizations that share our commitment to making fully-indexed images of our most popular holdings available on the web. We continue to increase on-line access to archival electronic records. In FY 2010, NARA will roll out a beta version of the "research" section of NARA's website that focuses on our holdings. The purpose of this project is to provide streamlined access to data drawn from stove-piped legacy systems, other archival websites and to incorporate that data with the electronic records in the Electronic Records Archives (ERA). Since our holdings are so large and so diverse, we hope to clarify for the public the resources that are available on-line, and for those resources that are not currently on-line, where they are physically located. We anticipate that our beta version will provide the public a vehicle to tell us how we can best satisfy their needs.

Section II: Information & Information Technology Management

The increased project visibility created by the IT Dashboard has increased the vigilance of our IT project managers as well as the awareness of the investment business sponsors and agency leadership. Since we are a small agency, we have been able to use the IT Dashboard as a catalyst to begin to align our IT Governance processes to the IT Dashboard reporting requirements and to realign our performance measures to the project goals. For development projects, the CIO regularly reviews Earned Value Management data, where available, and looks at user satisfaction, to make judgments regarding operational systems.

NARA continues to be committed to an integrated approach to Enterprise Architecture and Capital Planning and Investment Control. Through policy, we have instituted a governance framework to support decision-making. Since NARA is a small agency, we have one core mission line of business and no subsidiary agencies or bureaus. This facilitates the maturity of our segment architecture

efforts. NARA has included website links for questions relating to E-Government, Research and Development work, and FOIA. We have also outlined processes that define our support for Section 508, and have listed our agreements with external groups.

Section III. Implementation of E-Government Initiatives

NARA's major IT initiative, the Electronic Records Archives (ERA), is a major IT acquisition for preserving electronic records, free from dependence on any specific hardware or software, and will improve preservation of and access to computer-based records into the future. The system will manage the entire lifecycle of electronic records—from their ingestion into the system through their preservation and dissemination to customers. Over the next decade, ERA will become increasingly capable, enabling NARA to process and make available valuable Government electronic records. ERA is designed to support access by authorized users within NARA and across the Federal government, as well as by any individual who has access to the appropriate network connections.

ERA will transform the way that NARA currently works with Federal Agencies to manage their records and business information, regardless of format. The system, through its supporting workflows and communications tools, will allow agency records managers and NARA staff to collaborate on a number of archival and records management functions that are currently done manually. As the ERA's system capabilities increase over time, NARA staff will be able to provide more consistent, informed, and timely assistance to agency records officers, and will ensure NARA identifies, preserves, and makes available archival records for future generations.

ERA became operational in June 2008, providing basic transfer, storage, and search and retrieval capabilities for Unclassified and Sensitive But Unclassified electronic federal records. NARA is partnering on the use of the Federal records systems with four Federal agencies (Bureau of Labor Statistics, National Nuclear Security Administration, Naval Oceanographic Office, and the Patent and Trademark Office). During FY 2010, 25 additional agencies will be added to the Federal records system. NARA will progressively open the system to all agencies.

In December 2008, NARA added a specialized component for the electronic Presidential records of the Executive Office of the President (EOP) from the George W. Bush administration. Access to the ERA EOP system is restricted in accordance with the Presidential Records Act.

During FY 2010, it is anticipated that the system will support agency performance metric improvements, including:

- Increasing the percentage of archival electronic holdings accessible online
- Decreasing the per megabyte cost of managing electronic records

In response to the final two questions in section III:

With respect to NARA data centers, NARA is a small agency with just one “data center.” This data center, really a computer room, provides the basic infrastructure support (“operations and maintenance”) for our nationwide telecommunications and computing resources, including electronic mail, file and print services, and access to NARA's major IT applications.

NARA's telework program provides for regular, recurring telework arrangements of one or more days a week and occasional ad hoc arrangements which allow an employee to work on a specific project for one or more days. NARA recently made available to its staff RSA SecurID "tokens," which provide secure, two-factor authenticated remote access to email and work files that are stored on network servers. NARA is also expanding telework as a means of performing mission essential work during a pandemic flu or other contingency.

Section I: Transparency, Engagement, and Innovation

1. Describe major transparency initiatives undertaken in the past year and major transparency initiatives planned for the coming year.

We are pleased to report on several such transparency initiatives in the past year.

A. In direct response to the President's initiative, the Office of the Federal Register, working with its partner, the Government Printing Office, began to publish an XML edition of the daily *Federal Register*, making this critical information easier to search, organize, access, and repurpose in ways that are more meaningful to users based on their needs and interests, including social networking. Issues from 2004 to the present were also made available. The Office will expand the information available in 2010 by adding historical issues of the *Federal Register* and the entire *Code of Federal Regulations* in XML format.

B. Through our many digitization partnerships, NARA is making its holdings more accessible to the public. NARA has established non-exclusive partnerships with three organizations that share our commitment to making fully-indexed images of our most popular holdings available on the web. Two of these organizations operate subscription-based web sites (Ancestry.com and Footnote.com) and the other is a non-profit organization, FamilySearch.org. All three of our partners have been actively working on digitization projects in the Washington area since the signing of the agreements. There are also projects being developed under the terms of these partnerships at various regional locations, as well.

The partnership agreements specify that the images and required metadata created by the partners are to be donated to NARA. After five years there are no restrictions on our use of the images. Metadata and images are beginning to flow back to NARA from these partners. The metadata is being incorporated into and made available on our Archival Research Catalog (ARC), while the images are being stored in anticipation of NARA's being able to use them without restriction after five years. While on-line public access is available (for a fee) to the public through the partners web-sites (Ancestry and Footnote) for the initial five years, these web sites are available to the public free of charge in all NARA research rooms and in many public libraries nationwide.

Approximately 130 million images of NARA records are online through the web sites of partners.

- These include many records that NARA previously issued as microfilm publications, which now are available worldwide, often with the unprecedented capacity to search them to the document or page level. Our partners continue to digitize our microfilm publications with the goal of having at least 50% of them available online by 2012.
- Many original records that have never been available beyond the archives building where they are stored are beginning to be available on the web through these partnerships. The two largest and most popular series our partners are working with us to digitize are: Civil War pension case files and Homestead land entry files. (We make available to researchers more than 30,000 original files every year from these series.) We already have hundreds of thousands of pages of Civil War pension case files online, just the beginning of the millions

of pages that would result from digitization of this single series. We expect that Homestead records will begin to be available online in 2010.

C. Another example of a major transparency initiative is public access to archival electronic records. During FY 2009, funds were used for requirements analysis and design of the “research” section of NARA’s website that focuses on our holdings. The purpose of this project is to provide streamlined access to data drawn from stove-piped legacy systems, other archival websites and to incorporate that data with the electronic records in the Electronic Records Archives (ERA). Since our holdings are so large and so diverse, we hope to clarify for the public the resources that are available on-line, and for those resources that are not currently on-line, where they are physically located.

In FY 2010, NARA will roll out a beta version of the “research” section of our website that will provide the public a vehicle to tell us how we can best satisfy their needs.

2. Do you have an innovation you would like to share with the public and the Federal workforce on the Innovations Gallery?

Not at this time.

3. How many data sets does your agency have on data.gov?

As of December 17, 2009, NARA has ten data sets in the “raw data” catalog at data.gov. These include the 2000-2009 data sets of the *Federal Register*. NARA also established an internal working group to comply with requirements set forth in the Open Government Directive issued by the President on December 8, 2009.

4. Describe your progress in complying with OMB requirements to post all spending data on usaspending.gov.

NARA submits grant data monthly to USASpending.gov via email. Each submission includes data for all awards obligated throughout the previous month. NARA is preparing to transition to the online Data Submission and Validation Tool (DSVT) in the second quarter of FY 2010. Also, NARA posts all contracts, purchase orders and delivery orders to the Federal Procurement Data System (FPDS), which is a feeder system to USASpending.gov.

5. What tools is your agency using to advance citizen participation and engagement? Cite examples of how the agency has used citizen feedback.

Currently, NARA provides several online surveys to elicit public feedback regarding the usefulness of our: 1) website (<http://www.archives.gov>); 2) Archival Research Catalog (<http://www.archives.gov/research/arc>); 3) Access to Archival Databases (<http://aad.archives.gov/aad>); 4) Records Management section of archives.gov, and 5) Presidential Library websites.

The information gleaned from the surveys informs our efforts to improve our current websites and is valuable for our analysis as we consider how to best provide future online public access to our

holdings. For example, users told us that they had a difficult time finding the search button on the ARC homepage, which had become increasingly crowded with information. We redesigned the page to provide easy access to the search (see new page at: <http://www.archives.gov/research/arc>). Our search numbers soared immediately and the feedback we received in response was positive. In 2009, we launched the NARAtions blog specifically to engage the public in dialogue on a variety of archival issues (<http://blogs.archives.gov/online-public-access>). Additionally, NARA interacts with the public through a number of social media forums including multiple Facebook pages (“US National Archives” on Facebook), a Youtube channel (<http://www.youtube.com/user/usnationalarchives>), a Flickr photostream (<http://www.flickr.com/photos/usnationalarchives/>), and Twitter feeds (USatArchives, ArchivesNews, and FedRegister).

The feedback we are receiving from the public through all of these mediums is used to inform the vision and implementation of future online access and programs. Plans are currently underway to explore additional tools such as chat, wikis, and mobile phone applications to communicate effectively with federal agency records managers, the public, and our staff.

6. Is your agency currently meeting all reporting requirements of M-09-19¹? If not, what are your plans for becoming compliant?

This is not applicable. NARA is not a recipient of FFATA funds.

Section II: Information & Information Technology Management

1. How has the IT Dashboard impacted the investment management process at your agency?

The IT Dashboard provides increased visibility to the major projects in the IT Portfolio. A demonstration of the dashboard, its calculations, scoring and presence to the public has increased the vigilance of our IT project managers as well as the awareness of the investment business sponsors and agency leadership.

The increased visibility of the projects and performance data has improved the quality of the data received on project status reports. The information from these reports is used to update the IT Dashboard. We continually work with the project managers to improve reporting, however, there are timing issues with regards to updating dashboard data. Work on a milestone may have been completed and accepted on time, but it may take a month or more before all costs and invoices are tabulated in order to report actual costs. This leaves the milestones open on the dashboard.

2. Describe your agency’s efforts in complying with reporting requirements for the IT Dashboard.

NARA has adjusted the CPIC periodic status reports to capture and monitor all the data necessary to keep the IT Dashboard current. These project status reports are continually reviewed to capture the most relevant data for decision-making without unduly increasing the reporting burden on the project

¹ OMB Memorandum M-09-19, “Guidance on Data Submission under the Federal Funding Accountability and Transparency Act (FFATA).”

managers. In addition, a review of the performance measures in the dashboard (and Ex-300) is under way to ensure that the data being measured is directly attributable to the system or IT investment.

3. Describe the process your agency is using to apply CIO Evaluations for your major IT investments.

The evaluations are based on the performance of the system or IT investment from the perspective of the CIO. For development efforts, overall cost and schedule including EVM data, as well as the impact on users during implementation are taken under consideration. Overall user satisfaction is the primary factor for investments that are in operations. Mixed lifecycle investments are evaluated from both the development and operations aspect.

4. Provide your agency's Information Resources Management (IRM) Strategic Plan and EA Transition Plan.

NARA's Strategic Information Resources Management (IRM) Plan is posted to NARA's website at the following URL - <http://www.archives.gov/about/plans-reports/info-resources>

NARA's EA Transition Plan is included in our Enterprise Architecture documentation set, specifically the Business Transformation Plan, Sequencing Plan, and IT Infrastructure Segment Program Plan. These documents were part of NARA's EA submission to OMB and are attached.

5. Outline the progress of integrating the Enterprise Architecture and the Capital Planning and Investment Control processes and policies.

The Enterprise Architecture (Policy Directive 812) and Capital Planning and Investment Control (Policy Directive 801) policies are fully integrated at NARA via the Strategic Information Resources Management (IRM) Plan, the Enterprise Architecture (EA) Planning and Development Methodology, and Capital Planning and Investment Control (CPIC) process. The EA governance authority is manifested in the Architecture Review Board (ARB), which is chartered to "govern IT strategic planning, IT standards review and strategic IT product and service sourcing selections for the agency."

This is accomplished (in part) through adequate review of IT project documents and deliverables. In order to achieve this, the ARB is an integral part of the CPIC governance framework processes. During the Pre-Select Phase, the ARB verifies that all potential investments meet a business need and are aligned with the EA and Strategic Plan. One of the key activities of the ARB is to ensure that business cases are reviewed during the Select Phase in order to choose the IT investments that best support the business need, mission and comply with or extend NARA's EA via an EA Conformance Review. EA Conformance Reviews are performed for CPIC investment proposals and documented via the *NARA Product Plan Conformance and Approval Tracking* form. Non compliant items get tracked and resolved via the *CPIC Business Case Comments Grid* form. The various CPIC metrics for EA conformance reviews are documented in the EA Value Assessment report that is published with the EA. Once projects are authorized, they become part of the enterprise transition strategy; they are added to the agency project portfolio; and they can begin the IT acquisition process.

6. Provide the status and maturity of your modernization roadmap (segment architecture) activity including use by major programs and alignment on shared target architectures.

NARA is a small agency with one core mission line of business. NARA does not have subsidiary agencies or bureaus. All NARA business offices and IRM programs align to and share the same target NARA Core Business Segment architecture and the same target IT Infrastructure Segment architecture. These segments are reported to OMB via the Enterprise Architecture Segment Report (EASR) as “Complete,” and NARA is currently executing business initiatives and IT acquisitions against these two target segments.

7. For each E-Gov initiative, provide the final determinations, priorities, and schedules. Also include your agency’s information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency’s information by the public.

For each E-Gov initiative, our determinations, priorities and schedules are available on our web site for public comment at www.archives.gov/comment/web-priorities.html. The public may send comments through a link on the same page that lists the priorities and schedules.

NARA’s most effective channel for communicating with and disseminating information to its diverse customers is its website, www.archives.gov. On that site, we have links to our online researcher tools (which include catalogs of our archival holdings) found at www.archives.gov/research/tools; and our up-to-date press release page at www.archives.gov/press. Our printed publications page at www.archives.gov/publications offers books, research papers, catalogs, teaching aids, and more resources that provide information about the National Archives and its holdings, works about professional archival practice, and scholarly works on people and events of historical interest.

8. Provide your agency’s Freedom of Information Act (FOIA) handbook, the link of your agency’s primary FOIA website, and the website link where frequent requests for records are made available to the public.

- Our FOIA Handbook is at <http://www.archives.gov/foia/foia-guide.html>
- NARA’s primary FOIA website is at <http://www.archives.gov/foia/>
- Our Electronic Reading Room, the website for frequent requests, is at <http://www.archives.gov/foia/electronic-reading-room.html>

9. Describe in brief your agency efforts to comply with Section 508 in regards to information management.

Under Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794d), the National Archives and Records Administration (NARA), like all Federal Agencies, must give disabled employees and members of the public access to information that is comparable to the access available to people who do not have disabilities. NARA has a number of individuals and offices who are actively involved in working together to provide accessibility to NARA’s employees and customers.

The NARA 508 Coordinator works in NARA's Office of Information Services. The 508 Coordinator receives and coordinates requests for accessible Electronic and Information Technology (E&IT) equipment or software made by NARA's employees and customers. The 508 Coordinator provides information on Section 508 requirements, meets with individuals needing assistance and their supervisors, and requests accessible E&IT desktop equipment and software from the Computer/Electronic Accommodations Program (CAP) at the Pentagon.

The 508 Coordinator also coordinates with NARA's Equal Employment Opportunity and Diversity Program Office (NEEO), the NARA Policy and Planning (NPOL) Web Program Staff, and the Acquisition Services Division (NAA). The Equal Employment Office obtains sign language interpreters and Communication Access Realtime Translation (CART) services for NARA employees with hearing impairments. That staff also requests help from the 508 Coordinator in obtaining 508 compliant E&IT equipment, software and services needed for NARA's employees if they develop disabilities during or after an illness or injury. The NPOL Web Staff ensures compliance with Federal web design laws and guidelines such as privacy and accessibility. They review NARA's web pages and ensure that NARA's external and internal web sites meet Section 508 requirements. Information about the accessibility of NARA's web sites is published on NARA's internal and external web sites. The Acquisitions staff works ensures procurement documents for E&IT products and services include requirements for Section 508 as appropriate.

10. Provide a list of your agency's public websites disseminating research and development (R&D) information to the public, and whether or not each website provides the public information about federally funded R&D activities and/or provides the results of Federal research.

Our website relating to R&D is at www.archives.gov/era/research. This website is dedicated to research on electronic records and conducted in support of the Electronic Records Archives. The website describes information about ERA-funded R&D activities and also provides links to research information relating to ERA [Research Laboratories](#), [Partnerships and Collaborations](#), [Technical Reports](#), and [Research Papers](#).

11. Provide an inventory of formal agency agreements (e.g., contracts, memorandum of understanding, partnerships) with external entities (e.g., partnerships with State and local governments, public libraries, industry and commercial search engines) complementing your agency's information dissemination program, with a brief explanation of how each agreement improves the access to and dissemination of government information to the public.

NARA has entered into several formal agreements relating to digitization of our archival holdings. We have created a section on our public web site, www.archives.gov/digitization/, which contains information about these partnerships as well as our *Strategy for Digitizing Archival Materials for Public Access, 2007-2016*. The *Strategy* document was published in May 2008 after public review and incorporation of comments from more than 300 individuals, organizations and potential partners.

In FY 2009, NARA developed digitization projects with its partners on the following: Eight projects with Ancestry (formerly The Generations Network) to digitize naturalization records, Federal prison identification photographs, draft registration cards, and slave ship manifests;

Eight projects with Footnote including State Department death notices of citizens abroad, photographs from the Vietnam War, and digitization of the Holocaust Assets records on microfilm; Five projects with Family Search (The Genealogical Society of Utah [GSU]) to digitize World War II draft registration cards and the records identified in (1) below.

Other ongoing partnerships, which were announced in previous fiscal years, include:

1. On October 23, 2007, NARA announced a 5-year partnership with the Genealogical Society of Utah (GSU) to digitize holdings from the National Archives, beginning with case files of approved pension applications of widows of Civil War Union soldiers from the National Archives. The digitized materials are available at no charge in National Archives' research rooms in Washington, DC, and regional facilities across the country. In addition, FamilySearch will donate to the National Archives a copy of all the digital images and the associated indexes and other metadata that they create.
2. On May 20, 2008, NARA entered into a partnership with Ancestry (formerly The Generations Network), parent company of Ancestry.com, to digitize holdings from the National Archives. Ancestry.com agreed to make the digitized materials available via subscription and to provide free online access to the digitized materials in all National Archives research rooms nationwide. In addition, Ancestry will donate to the National Archives a copy of all the digital images and technical and functional metadata that will enable retrieval of the material at the level of archival control.
3. NARA has partnered with Google to make 100 moving image titles from our collection available through Google Video and through the Archival Research Catalog (ARC). The agreement was announced on February 24, 2006.
4. On June 8, 2006, NARA announced a partnership with EMC to digitize the entire collection of papers, documents, photographs and audio recordings of President John F. Kennedy, eventually making them accessible to citizens throughout the world via the Kennedy Presidential Library and Museum's web site.
5. NARA entered into a partnership with the University of Texas to create a Presidential Timeline web site to make digital copies of presidential documents available online. The Presidential Timeline was designed and developed by the Learning Technology Center in The University of Texas at Austin College of Education, in conjunction with the Presidential Libraries and Terra Incognita Productions. The Presidential Timeline Project was made possible through a grant from the National Endowment for the Humanities with additional support from The Lyndon Baines Johnson Foundation and The University of Texas Libraries. The web site was launched in February, 2007.
6. NARA's Southwest Region entered into a Memorandum of Understanding (MOU) with the Genealogy Society of Utah (GSU) to permit digitization of some Naturalization records, Dawes Commission Applications for Allotment and Applications for Enrollment to the Five Civilized Tribes. GSU had previously microfilmed such records onsite in accordance with our regulations at 36 CFR part 1254 on private microfilming, but with this project GSU began to scan the records in lieu of the microfilm. An electronic copy (CD or DVD) of the scanned image will be provided to

NARA-Southwest Region upon completion of certain milestones.

7. On January 10, 2007, NARA announced that it partnered with iArchives/Footnote to digitize selected records from our holdings, with a focus on microfilm publications. This non-exclusive agreement enables researchers and the general public to access millions of newly-digitized images of the National Archives historic records on a subscription basis from the Footnote web site <http://www.footnote.com/nara.php>. The digitized materials are available at no charge in National Archives public research rooms including those at the Presidential Libraries and regional archives across the country. After an interval of five years, the National Archives will have the option to make all images digitized under this agreement available at no charge through the National Archives web site.

8. On July 30, 2007, NARA announced another non-exclusive agreement with CustomFlix Labs, part of the Amazon.com, Inc. group of companies to make thousands of historic films from the National Archives available for purchase on Amazon.com. While the public continues to have the option to NARA's College Park, MD research room to view films and copy them at no charge, the new agreement makes our motion picture holdings much more accessible to millions of people who cannot travel to the Washington, DC, area.

12. Provide an inventory that describes your agency's NARA-approved records schedule(s) or the link to the publicly-posted records schedule(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation please report the number of systems for which a record schedule was submitted to NARA in FY 2008 and the number of systems still requiring records schedules.

NARA's records schedule is found at <http://www.archives.gov/about/records-schedule/index.html>.

NARA has integrated procedures in both its capital planning and systems development life cycle processes to ensure the inclusion of records management requirements in newly developed information systems. NARA identified 33 information systems in steady-state operation that would be subject to NARA Bulletin 2006-7. Of those, 14 systems were already scheduled either by NARA specific dispositions or GRS dispositions, leaving 19 systems that required scheduling. This number was further reduced when 5 of these systems were identified as actually being subsystems of one large system. At the beginning of FY 2009, 5 remained to be scheduled. At the close of FY 2009, all but one of these systems was either scheduled or had schedules submitted to NARA for them. As for the one unscheduled system, data from this system is awaiting possible integration into a newly created and more comprehensive system. When all issues about this system are resolved, NARA will schedule this last system as well.

Section III. Implementation of Electronic Government Initiatives

1. Describe the initiative, the methodology for identification of the initiative, and how the initiative is transforming agency operations.

Changes in the Federal Government, in our society, and in the nature of records themselves drive us to make changes in the way we do business and how we address the needs of all our users. As our nation's record keeper, we see the constantly changing benefits and demands of technology shaping the way the Government does business.

The dramatic emergence of electronic Government has brought to the forefront new records management issues that have implications beyond government business. Electronic records will continue to increase exponentially in both volume and in the number of electronic records formats over the next decade. The ability to find, organize, use, share, appropriately dispose of, and save records of all kinds—the essence of records management—is vital for the effective functioning of the Federal Government.

The Electronic Records Archives (ERA) is a major IT acquisition for preserving electronic records, free from dependence on any specific hardware or software, and will improve preservation of and access to computer-based records into the future. The system will manage the entire lifecycle of electronic records – from their ingestion into the system through their preservation and dissemination to customers. Over the next decade, ERA will become increasingly capable, enabling NARA to process and make available valuable Government electronic records. ERA is designed to support access by authorized users within NARA and across the Federal government, as well as any individual any where who has access to the appropriate network connections.

Our holdings are constantly growing as the proliferation of Government electronic records continues. New records are arriving faster than they can be processed. At the same time, the public demand for access is increasing. The expectation of easy online access to our holdings continues to grow.

In FY 2009, the volume of data stored in ERA grew from zero to 80 Terabytes (TB) (20 billion pages of printed text). Between now and 2020, the volume of records accumulated and stored within ERA is projected to grow to 227 Petabytes, the equivalent of 56.75 trillion pages of text.

ERA will transform the way that NARA currently works with Federal Agencies to manage their records and business information, regardless of format. The system, through its supporting workflows and communications tools, will allow agency records managers and NARA staff to collaborate on a number of archival and records management functions that are currently done manually. In FY 2010, NARA will expand its current records management capabilities to 25 Federal agencies.

As the ERA's system capabilities increase over time, NARA staff will be able to provide more consistent, informed, and timely assistance to agency records officers, and will ensure NARA identifies, preserves, and makes available archival records for future generations.

2. Quantify the cost savings and cost avoidance achieved through implementing the initiative (e.g., reducing or eliminating other investments in information technology).

Pending availability of requested funding, the ERA system will result a life cycle benefit through 2020 of \$14 million compared to continuing operations of existing systems. The total net present value for ERA is \$95 million.

3. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative.

To ensure continued engagement and partnership with ERA stakeholders, NARA holds monthly meetings with Federal agencies that will be using ERA, engages in a robust program of communications, advocacy and outreach with the wider archival community, including non-Federal entities, and provides support to quarterly meetings of the Federal Advisory Committee on the Electronic Records Archives (ACERA). NARA participates in the Transcontinental Persistent Archives Prototype (TPAP) with the San Diego Supercomputer Center, the University of Maryland, and the University of North Carolina. NARA also contributes to the InterPARES 2 (International Research on Permanent Authentic Records in Electronic Systems) project by identifying and characterizing records in interactive, dynamic and experiential computing environments. NARA's InterPARES work also includes work on and leading-edge problems related to preserving authentic, reusable, electronic records in computer assisted engineering, design and manufacture of complex systems.

4. Identify improved performance (e.g., outcome measures, quantifiable business impact) by tracking performance measures supporting agency objectives and strategic goals.

ERA became operational in June 2008. During FY 2010, it is anticipated that the system will support quantifiable improvements to the business of the agency by:

- Reducing cycle time for the transfer and processing of electronic records to NARA;
- Increasing the productivity of NARA program offices charged with the processing of electronic records;
- Increasing the percentage of archival electronic holdings accessible online; and
- Decreasing the per megabyte cost of managing electronic records.

5. Explain how this initiative ensures the availability of Government information and services for those without access to the Internet and for those with disabilities.

As appropriate, NARA provides Internet access at its facilities to ensure availability of Government information and services for those without access to the Internet. NARA specifies Section 508 compliance in applicable contracts, including small acquisitions to ensure that assistive technology, devices, and services are available to all NARA employees and members of the public with disabilities who use NARA information technology equipment in NARA facilities. Contractors are required to design, develop, implement, maintain and upgrade all technologies to demonstrate full compliance with all existing accessibility legislation.

6. Identify external partners (e.g., Federal, State or local agencies, industry) who collaborate on the initiative.

In its first deployment (from 2008), NARA is partnering with four Federal agencies (Bureau of Labor Statistics, National Nuclear Security Administration, Naval Oceanographic Office, Patent and Trademark Office) that served as early adopters for ERA. NARA will progressively open the system to all agencies.

In addition to the research activities described above, NARA is a member agency of National Science and Technology Council's Subcommittee on Networking and Information Technology Research and Development (NITRD).

In similar research collaborations, NARA's ERA Program supports a portfolio of collaborative research that includes:

- evaluations with the San Diego Supercomputer Center, the National Center for Supercomputer Applications, and the Pittsburgh Supercomputer Center of innovative systems technologies and advanced decision support systems demonstrating promise to reduce future operational costs for processing the very large, fast growing electronic records that support electronic government and continuity of government operations;
- investigation with the US Navy and the Department of Defense of advanced technologies to support long term robust access to complex engineering electronic records and data; and
- computer security technology test beds with the US Army Research Laboratory providing the sound foundation for high confidence safeguarding of electronic records responsive to the Nation's security and defense.

The ERA research program also participates in supporting the President's agenda for achieving the purposes of the Next Generation Internet Research Act of 1998 (Public Law 105-305). The research enriches the knowledge base required for management and preservation of electronic records and fosters the development of advanced technologies for the management of electronic records supporting current operations of government; and for the preservation and sustained access to valuable records in the National Archives, Presidential Libraries, and other agencies.

7. Explain how the project applies effective capital planning and investment control procedures.

ERA follows the capital planning and investment control procedures promulgated by NARA and executed by the NARA Chief Information Officer. ERA falls within the oversight of the NARA Information Technology Executive Committee (ITEC) and the Chief Information Officer (CIO).

The Information Technology Executive Committee (ITEC) comprises senior NARA decision makers who manage the NARA Capital Planning and Investment Control (CPIC) process and the NARA IT investment portfolio, which includes the ERA investment. Twice yearly, NARA's Capital Planning and Investment branch reviews and assesses IT projects, including ERA, from a financial investment perspective. The ITEC also ensures that ERA budget requests incorporate capital planning and investment control principals including development of a comprehensive independent government

life cycle cost estimate, economic analysis (return on investment), business case analysis, analysis of alternatives and use of an ANSI/EIA Standard Earned Value Management System.

8. Describe the established business process your agency has in place for the continued ongoing process of identification of initiatives.

NARA's Strategic Plan ([Strategic Plan](#)) guides the work that the agency undertakes. Six strategic goals, supported by long range performance targets and annual objectives and measures, provide the framework upon which all initiatives are based. Staff, customers, and stakeholders have a voice in NARA's strategic planning process, which is renewed every 3 years. Rigorous performance measurement and reporting ensures that we are staying on track on an annual basis. As initiatives are identified, they are considered through NARA's annual strategic budget process. IT initiatives also must go through a process to determine the cost benefit and return on investment for a specific IT product. IT initiatives are also evaluated against NARA's enterprise architecture and must be approved by the Architecture Review Board and Business Architecture working group. Initiatives with strategic interdependencies with other projects may receive additional attention from a Lifecycle Guidance Team, a subcommittee of NARA's Senior Staff.

9. Quantify the cost savings and cost avoidance achieved through implementation of new IT programs.

In FY2009, NARA began two major IT infrastructure initiatives that will yield cost savings: (1) Storage Network Infrastructure (SNI), and (2) Networx transition.

The SNI initiative is expected to yield \$980K in costs savings in FY10 and \$3.3M in cost savings through FY2012 (undiscounted) by virtue of achieving higher disk utilization rates when measured against NARA's current direct attached storage (DAS) approach to storage allocation.

The Networx transition initiative is already yielding \$1.4M in annualized costs savings for telecommunications as measured against prior year FTS2001 telecommunications costs.

10. Describe your efforts to consolidate, or collaborate with other agencies, to reduce the number of Federal data centers.

NARA is a small agency with one "data center." The Archives II Data Center is a computer room located at the National Archives at College Park facility. The computer room provides the basic infrastructure support ("operations and maintenance") for our nationwide telecommunications and computing resources, including electronic mail, file and print services, and access to NARA's major IT applications. We call our nationwide network "NARANet."

11. Describe the telework program at your agency, including your plans to increase your employees' ability to use Web 2.0 tools to work-at-a-distance.

NARA's Telework program provides for regular, recurring telework arrangements of one or more days a week and occasional, ad hoc arrangements which allow an employee to work on a specific project for one or more days. Telework hours are captured through entries in NARA's electronic

time and attendance system. NARA recently made available to its staff RSA SecurID “tokens” which provide secure, two-factor authenticated remote access to email and work files that are stored on network servers. Although many employees work with accessioned, historical and classified records which cannot be removed from NARA facilities, secure access to our network is expected to increase telework opportunities. NARA is also expanding telework as a means of performing mission essential work during a pandemic flu or other contingency. A directive will be issued shortly which encourages supervisors to put in place and test telework arrangements that can be implemented when NARA facilities are not available or social distancing measures are needed.