

# READY ACCESS TO ESSENTIAL EVIDENCE



**THE STRATEGIC INFORMATION RESOURCES MANAGEMENT PLAN**  
**OF THE**  
**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

*September 1, 2006*

*V e r s i o n 5 . 0*

## Foreword

As our national recordkeeper, the National Archives and Records Administration is a public trust that safeguards the records on which our citizens depend for documenting their rights, ensuring the accountability and credibility of national institutions, and analyzing the national experience. Both the Government and the citizen rely on NARA to meet an almost unlimited range of information needs from records. Literally thousands of people, including genealogists, lawyers, historians, veterans, newspaper and television journalists, and government employees, do research in our facilities each year. Thousands more write or call with inquiries for records or information from our holdings, while millions of “visitors” access our web pages, and more than 150 million documents are retrieved from electronic editions of the *Federal Register*, the *Code of Federal Regulations*, and related NARA publications.

Recognizing the citizen’s expectation for ever-higher levels of performance and accountability, the President has set a government-wide goal to provide high-quality service at reduced cost, make government services more accessible, and increase government transparency and accountability. NARA’s Strategic Plan sets five goals for meeting citizen expectations regarding our nation’s records – effective management, accessible e-records, easy access, exacting preservation, and expanding capabilities. NARA’s Strategic Information Resources Management (IRM) Plan and Enterprise Architecture bolster the President’s intent to meet citizen expectations, amplify NARA’s strategic goals, and describe our strategic IRM Initiatives.

The NARA Strategic Plan is being updated in accordance with the normal 10-year cycle and as a result of new leadership and a constantly changing environment. Working groups have been meeting over the past 18 months to develop the substance of the new Strategic Plan. This version of the Strategic IRM Plan is being incrementally updated to continue to bridge the gap in advance of the revised NARA Strategic Plan. Key elements being added to this update include Security, e-Government Initiatives, and Records Management.

As our nation continues its shift from an industrial to a knowledge-based economy, information resources become more and more important to government. For NARA, this importance manifests itself in the unique challenge of dealing with an overwhelming proliferation of electronic records. Successfully meeting this technology challenge requires that we will continue to adhere to NARA’s strategic direction as described in our Strategic Plan, Strategic IRM Plan, and the Enterprise Architecture. Together, these documents represent the direction in which NARA’s technology will evolve. The ultimate goal of this evolution is providing high quality, accessible, transparent, and secure service that satisfies customer needs.

To help reach NARA’s ambitious goals and to continue to meet citizen expectations, we must use our IT resources to better advantage. The Strategic IRM Plan and the Enterprise Architecture will assist us in doing so.

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# READY ACCESS TO ESSENTIAL EVIDENCE NARA'S STRATEGIC IRM PLAN

## MISSION

**NARA ensures, for the Citizen and the Public Servant,  
for the President and the Congress and the Courts,  
ready access to essential evidence.**

## GOALS

**Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.**

**Electronic records are controlled, preserved, and made accessible for as long as needed.**

**Essential evidence is easy to access regardless of where it is or where users are for as long as needed.**

**All records are preserved in an appropriate environment for as long as needed.**

**NARA strategically manages and aligns staff, technology, and processes to achieve our mission.**

## STRATEGIC IRM INITIATIVES

Electronic Records Archives	Electronic Records Archives	Electronic Records Archives	There are no strategic IRM Initiatives that support this goal	Electronic Records Archives
Record Center Reimbursable	Customer Service	Customer Service		Customer Service
Records Management Lifecycle	Record Center Reimbursable	Record Center Reimbursable		Records Center Reimbursable
	Records Management Lifecycle	Records Management Lifecycle		Records Management Lifecycle
				Support and Infrastructure

## ARCHITECTURAL VALUES



## **Background**

In the past, each of the National Archives and Records Administration's offices generally built its own applications to support business processes. Although this most often led to implementation of systems that satisfied user requirements, the status quo is becoming untenable as technology increasingly influences how we fulfill our mission and as the scale of our information technology investment grows. NARA's Strategic Information Resources Management Plan and Enterprise Architecture describe how we will leverage investments by making choices consistent with our strategic direction. In developing this direction, we carefully considered the impact of technology on NARA's five strategic goals and our current state of automation. The outcome is five strategic IRM Initiatives that, when taken together, will produce substantial progress toward fulfilling our mission, meeting our strategic goals, and serving the citizen.

### **The Impact of Technology**

Three crosscutting technology issues influence how NARA fulfills its mission. First, accommodating an ever-evolving range of electronic record formats presents a significant challenge. This includes thousands of Federal agency databases, millions of email messages, vast scientific "archives" of information pertaining to weather tracking and space exploration, and countless other records involving digital images, digital sound, geographic information systems, web sites, and other electronic record formats.

Second, the Federal Government is already using technology to produce a tremendous volume of records. During the 1990s, our holdings of electronic records increased from a few thousand files to several hundred thousand. We expect that growth will accelerate in the future. During the Clinton Administration, for example, White House staff used several electronic records management systems. Among the electronic records we accessioned from the White House were Presidential memorandums and documents, National Security Council cable traffic, the President's daily diary, and millions of email messages. We anticipate at least a ten fold increase from the George W. Bush Administration. The State Department is estimated to have more than 25 million diplomatic messages in electronic form that will be transferred to us in blocks averaging a million messages a year, every year, indefinitely.

Third, users increasingly expect immediate electronic access to information at no cost. The growth of web access and e-Government, the availability of electronic access under the Freedom of Information Act, as amended by the Electronic Freedom of Information Act, and provisions of the Government Paperwork Reduction Act will further increase demands for online records and services. Consequently, we must preserve electronic records in a way that makes them usable, ensures their authenticity and reliability, and guards against tampering while ensuring a full and accurate representation of the transactions, activities, or facts to which they attest.

### **NARA's Current State of Automation**

In working to fulfill our mission, meet our strategic goals, and satisfy our customers, NARA must resolve a number of inadequacies with its systems. In general, these inadequacies fall into three categories: duplicating existing functionality, providing unnecessary functionality, and not providing required functionality. Examples include duplication in our correspondence control and tracking systems, finding aids, and researcher registration systems; unnecessarily supporting "one of a kind"

requirements rather than standard, enterprise-level requirements; and providing only minimal capability to accession, manage, and preserve the most simple electronic records.

Additionally, our existing IT infrastructure needs to become more reliable and efficient to support the current state of operations and to meet the challenges of the future.

In planning to resolve these inadequacies, we embraced a set of IT concepts that describe how we will build and implement applications: that is, how we will reach our “target” architecture that implements fully functional, secure, enterprise-level applications that meet meaningful requirements.<sup>1</sup> These concepts –founded on our architectural values of *simplifying* business processes and plans, *satisfying* user needs, *standardizing* software and institutionalizing standard processes for acquiring it, and *securing* our systems and data – state that we will:

- ▶ Maintain and update a strategic IRM;
- ▶ Thoroughly understand, evaluate, and improve business processes before automating them;
- ▶ Design and build IT systems that meet customer needs;
- ▶ Ensure that the IT infrastructure is available, regardless of a customer’s location;
- ▶ Deploy IT capabilities in phases;
- ▶ Manage data as a valuable asset that is critical to the operation of the Agency;
- ▶ Manage the Total Cost of Ownership (TCO) for IT Initiatives;
- ▶ Outsource the IT components and services we require whenever practical;
- ▶ Reuse IT components whenever practical;
- ▶ Acquire systems that are flexible and adaptable to change;
- ▶ Use managed processes to specify, acquire, and deliver IT capabilities;
- ▶ Align technology acquisition with the formal and de facto IT standards that are prevalent in the IT market;
- ▶ Address business continuity, security, privacy, and records management issues as an integral part of all IT system Initiatives; and
- ▶ Verify the operational readiness of all IT components prior to placing them in production.

We believe that adhering to these concepts is vital, in that adherence will accelerate reaching the target architecture and increase our return on IT investments.

### **Five Strategic IRM Initiatives**

Technology clearly influences how we will fulfill our mission. In this context, our Target Architecture identifies five Initiatives that will produce substantial progress toward that end: Electronic Records Archives, Customer Service, Record Center Reimbursable, Records Management Lifecycle, and Support and Infrastructure. Each of these Initiatives, currently a mix of new ideas, on-going projects, and operational systems, provides important functionality that crosscuts our strategic goals.

Although overlap exists in the components of these Initiatives, NARA’s Enterprise Architecture and Information Technology Investment management processes will ensure that we capitalize on commonality – analyzing, reengineering, developing, and reusing common processes and functionality across Initiatives. The Enterprise Architecture provides information to guide the acquisition, use, and

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<sup>1</sup> Our target architecture is fully described in the *National Archives and Records Administration Enterprise Architecture (EA) Version 4.5*, February 28, 2006.

management of the Agency's IT capabilities and assets from varying perspectives (or views) to include: business, data, applications, systems, technology, operations, security, records management services, and sequencing.

The first Initiative, the Electronic Records Archives (ERA), is NARA's strategic response to meeting the challenges associated with electronic records. ERA will accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future. In doing so, ERA will provide a modular, flexible design to accommodate future data formats and technologies; web-based customer access and delivery of records; as well as privacy and security features to protect those records.

The second Initiative, Customer Service, is NARA's vehicle for providing access to and delivery of our holdings, information products, and services to our customers. The Customer Service Initiative will eliminate redundancy and provide needed functionality, including the use of electronic documents and databases, electronic forms, and online transactions (including credit card orders) in a secure environment.

The third Initiative, Records Management Lifecycle, is the ongoing redesign of NARA's scheduling, appraisal, and accessioning process which provides NARA and Federal agencies the tools and processes they need to ensure that records are kept according to established records schedules and are destroyed when they are no longer needed, or if permanently valuable, transferred to the National Archives for preservation. Approving the disposition of records is the most critical statutory responsibility of the Archivist of the United States because it determines how long records must be kept to protect individual rights, provide accountability in Government, and document the national experience. Revising NARA's records disposition policies, processes, and tools is identified as a key business strategy to meet the primary goal that "essential evidence will be created, identified, appropriately scheduled, and managed for as long as needed."

The fourth Initiative, Records Center Reimbursable, concentrates on NARA's program for providing fee-based records storage and services to Federal agencies. In conjunction with the Customer Service Initiative and the Records Management Lifecycle Initiative, the Records Center Reimbursable Initiative provides a framework for delivering the services our customers need, including:

- ▶ Improving the inventory capability and space management functions in the records center program system;
- ▶ Reducing cost by automating support for the records operations;
- ▶ Providing an automated activity measurement tool;
- ▶ Sharing data across NARA and agency automated systems;
- ▶ Providing information in real time to records centers and customers when needed; and
- ▶ Ensuring the compartmentalization of customer records and controlled access to them through strong privacy and security controls.

The fifth Initiative, Support and Infrastructure, is critical to the success of the other Initiatives. The importance of infrastructure, which includes our local area networks, telephone systems, and internal administrative applications, lies in its under-girding capacity to ease the implementation of value-added systems that span business functions. Accomplishing NARA's Electronic Records Archives, Customer Service, Records Management, and Records Center Reimbursable Initiatives depends on having a

flexible, robust, secure, scalable technology infrastructure that leads to the citizen's experience of easy and reliable electronic access to government services. Providing protection from a variety of threats to our networks and applications is a key aspect of the Support and Infrastructure Initiative. By FY 2008 we must be ready to meet our customers' demands for new and expanded services. We will evolve an infrastructure that moves us forward strategically. This infrastructure requires a hardware and software investment that supports redundant technology and mass storage solutions. We will also be developing and implementing architectural designs for the next generation IT infrastructure that include the incorporation of IPv6 (Internet Protocol Version 6).

NARA is diligently managing a comprehensive and robust IT Security Program to support IT systems development and integration. NARA will ensure that customers' privacy is protected and mitigate the risks associated with fraud, error, and misuse. Systems will be built that provide services for authentication, access control, data confidentiality, data integrity, availability, and non-repudiation. Our three fundamental goals for the IT Security Program and the IT Security Architecture are to ensure the availability, confidentiality, and integrity of information. NARA regularly updates its IT Security Program Plan to address all levels of security management. High-level management issues, operational procedures, and technology use are all addressed in the plan. The goal of the IT Security Program Plan is to logically sequence necessary improvements to the IT Security Program to enable NARA's future use of information technology. As a result, we will provide a service oriented approach: that includes risk-based planning and decision making; that promotes security as an enabling technology to the business; and that includes policy and guidance, training and awareness, risk management, engineering, and continuous monitoring and incident response.

The remainder of this plan is divided into two parts. The first part aligns our five Initiatives with NARA's overall strategic goals and performance targets. The second part, "Enabling Actions," describes a number of actions that we will take over the next several years to facilitate the application of information technology in implementing our strategic IRM Initiatives and reaching our target architecture. It is important to note that since the Agency will issue a revised NARA strategic plan on September 30, 2006, we will adjust our Strategic IRM Plan, schedule and goals to ensure alignment with and support of the Agency's future direction.

## **Strategic Goal One: Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.**

Only by assisting agencies with the management of their records from the time when those records are created can we ensure that essential documentation is available for the Government itself, today's citizens, and future generations. Achievement of this goal requires that we rethink our policies, processes, and programs in records management, and deliver more effective, practical, front-end guidance and assistance to Presidential administrations, Congressional staff, the U.S. Courts, and agency records managers. We must also accelerate research and development on problems in managing electronic records, appraising their value, preserving them permanently, and enabling the public to access them electronically.

### ***Strategic IRM Initiatives***

- ▶ Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.
- ▶ Continue to implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed, for as long as needed.
- ▶ Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.

**Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.**

Rapid changes in the use and types of information technology challenges NARA’s capability to store and manage electronic records. As the government creates more and more electronic records as a by-product of conducting business, our records management challenges will be exacerbated. NARA must be able to accept, manage, preserve, and provide access to U.S. Government records regardless of the form in which they are presented. Today NARA can perform these functions for paper-based documents, but not for most electronic materials. NARA must be able to overcome technology obsolescence, and ensure the authenticity of electronic records regardless of how technology evolves. This capability will be applied not only in preserving records of continuing value in the National Archives and Presidential Libraries, but also in providing guidance regarding, and storage and access to, electronic records which agencies need to maintain under their control.

The ERA Initiative will facilitate accessioning, managing, preserving, and accessing any kind of electronic record in any data format.

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>We will change our own records lifecycle work processes to minimize and simplify routine scheduling requirements and support more effectively and efficiently the needs of our customers.</p> <p>We will stress that agencies may choose a variety of means to manage their records, including traditional records management programs, automated tools, or other approaches. Our concern will be how well records are managed, not whether agencies have all the elements of a traditional records management program.</p> <p>We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records management. Our experience shows that we are more effective in</p>	<ul style="list-style-type: none"> <li>• By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.</li> <li>• By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.</li> <li>• By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archival Declassification, Review and Redaction System (ADRRES)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• Presidential Electronic Records Library (PERL)</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<ul style="list-style-type: none"> <li>• E-Records Management</li> <li>• Geospatial LOB</li> </ul>

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>partnerships than working alone. Potential partners include standards organizations, state and local governments, other countries, and the private sector.</p> <p>We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support solutions to electronic records issues and problems.</p> <p>We will stress that there is no one level to which all records must be managed. Resources, techniques, and tools will be allocated based on business needs for the records as information assets, legal requirements (e.g. the Federal Records Act, the Freedom of Information Act, and the Privacy Act), risks, and resources.</p>			

**Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.**

NARA’s records centers store and account for over 20,000,000 cubic feet of Federal records – enough to fill the Washington Monument more than 900 times – using a hodgepodge of redundant systems and business processes. NARA anticipates a consistent 2.5% annual growth in demand for records center storage capacity as Federal agencies struggle to keep up with increasing volumes of records, with proliferating forms and quantities of electronic records, and with orders from the courts and the Congress to protect and/or produce records. At the same time, customers are becoming increasingly familiar with technology and have ever-growing expectations for improved service delivery.

The Records Center Reimbursable Initiative will provide customers with services comparable to those offered by the private sector, including web-based access to records inventories and reference request services, ad hoc reporting capabilities, and itemized invoices.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will stress that there is no one level to which all records must be managed. Resources, techniques, and tools will be allocated based on business needs for the records as information assets, legal requirements (e.g. the Federal Records Act, the Freedom of Information Act, and the Privacy Act), risks, and resources.</p> <p>We will stress that agencies may choose a variety of means to manage their records, including traditional records management programs, automated tools, or other approaches. Our concern will be how well records are managed, not whether agencies have all the elements of a traditional records management program.</p> <p>We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records</p>	<ul style="list-style-type: none"> <li>• By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.</li> <li>• By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.</li> <li>• By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.</li> </ul>	<ul style="list-style-type: none"> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• NARS5</li> <li>• NWMW Disposal Log</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Space Information System (SIS)</li> <li>• TASK</li> <li>• Records Center Program Operating System (RCPOS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<ul style="list-style-type: none"> <li>• E-Records Management</li> </ul>

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>management. Our experience shows that we are more effective in partnerships than working alone. Potential partners include standards organizations, state and local governments, other countries, and the private sector.</p> <p>We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support solutions to electronic records issues and problems.</p>			

## **Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed for as long as needed.**

As the nation’s recordkeeper, NARA manages the lifecycle of records. This entails a series of important records management actions including creation, scheduling, appraising, accessioning, storing, maintaining, preserving, declassifying, and disposing of records. Unfortunately, the current method for accomplishing these actions is time-consuming and burdensome for NARA and the agencies. Today, most records are created electronically, while the process for managing them has been in place – largely unchanged – since the 1950s.

The Records Management Lifecycle Initiative will update, simplify, and standardize the Government’s records management and archival processes and systems. Within NARA, we will effect these changes and eliminate isolated records systems put in place to meet unique requirements. It is important to effectively manage this process and ensure that NARA’s operating records are properly managed in accordance with standard records management practices and NARA-issued regulations and guidance. Our Records Management Initiatives will continue to provide a framework to meet these unique requirements.

<b>Specific NARA Strategies Supported</b>	<b>Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>We will stress that there is no one level to which all records must be managed. Resources, techniques, and tools will be allocated based on business needs for the records as information assets, legal requirements (e.g. the Federal Records Act, the Freedom of Information Act, and the Privacy Act), risks, and resources.</p> <p>We will stress that agencies may choose a variety of means to manage their records, including traditional records management programs, automated tools, or other approaches. Our concern will be how well records are managed, not whether agencies have all the elements of a traditional records management program.</p> <p>We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records management. Our experience shows that we are more effective in partnerships than working alone. Potential partners include standards organizations, state and local governments, other countries, and the private sector.</p>	<ul style="list-style-type: none"> <li>• By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.</li> <li>• By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.</li> <li>• By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.</li> </ul>	<ul style="list-style-type: none"> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archival Declassification, Review and Redaction System (ADRRES)</li> <li>• Artifacts Management System (SNAP) iO</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• Control and Tracking System (CATS)</li> <li>• Interim Space Management System (Spaceman)</li> <li>• JFK Assassination Collection System</li> <li>• Master Location Register (MLR)</li> <li>• NARS5</li> <li>• NWMW Disposal Log</li> <li>• PERPOS</li> </ul>	<ul style="list-style-type: none"> <li>• E-Records Management</li> </ul>

Specific NARA Strategies Supported	Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support solutions to electronic records issues and problems.</p> <p>We will change our own records lifecycle work processes to minimize and simplify routine scheduling requirements and support more effectively and efficiently the needs of our customers.</p>		<ul style="list-style-type: none"> <li>• Public Programs Database</li> <li>• Records Management Applications (RMA)</li> <li>• SF258 Log</li> <li>• SF258 Superlog</li> <li>• Space Information System (SIS)</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> <li>• Knowledge Information Tracking System (KITS)</li> <li>• Records Management Applications (RMA) II</li> <li>• Toolkit for Managing Electronic Records (ERM Toolkit)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	

## **Strategic Goal Two: Electronic records are controlled, preserved, and made accessible for as long as needed.**

Increasingly, we communicate electronically. In the Federal Government, electronic records are as indispensable as their paper counterparts for documenting citizens' rights, the actions for which officials are accountable, and the nation's history. Effective democracy depends on access to such records. Unless we find a way to preserve and keep these records accessible indefinitely, we will lose the millions being created daily in an overwhelming array of electronic forms.

### ***Strategic IRM Initiatives***

- ▶ Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.
- ▶ Implement a Customer Service Initiative to provide access to and delivery of NARA's holdings, information products, and services to our customers in a manner that is timely, easy to use, and cost effective.
- ▶ Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.
- ▶ Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed for as long as needed.

**Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.**

NARA’s mission is to ensure, for the Citizen and the Public Servant, for the President and the Congress and the Courts, ready access to essential evidence. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

The ERA Initiative will facilitate accessioning, managing, preserving, and accessing any kind of electronic record in any data format.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will be a leader in innovation in electronic records archiving.</p> <p>In coordination with our Federal agency partners, we will develop policy and technical guidance to enable responsible electronic records creation and management.</p> <p>The Information Security Oversight Office, which is administratively part of NARA, will recast existing policies governing the classification and declassification of information to reflect the Government’s electronic operating environment.</p> <p>With help from our research partners, we will develop and maintain the technical capability to capture, preserve, describe, access, and appropriately dispose of any Government electronic record.</p> <p>We will manage a coherent,</p>	<ul style="list-style-type: none"> <li>• By 2008, NARA’s Records Center Program accepts and services electronic records.</li> <li>• By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.</li> <li>• By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.</li> <li>• By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.</li> <li>• By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archival Declassification, Review and Redaction System (ADRRES)</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• PERPOS</li> <li>• Presidential Electronic Records Library (PERL)</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<ul style="list-style-type: none"> <li>• E-Records Management</li> </ul>

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>nationwide, and sustainable system for permanent archival electronic records of the Federal Government. We will develop the capability to manage Federal agency electronic records within the NARA Records Center Program.</p> <p>We will ensure that anyone, at any time, from anyplace, has access to the best tools to find and use the electronic records we preserve.</p>			

**Implement a Customer Service Initiative to provide access to and delivery of NARA’s holdings, information products, and services to our customers in a manner that is timely, easy to use, and cost effective.**

To meet its customer service needs, NARA must provide ready access to a diverse customer population including the public, NARA employees, and other government agencies. This means NARA must provide standardized, secure entry and access to records in the National Archives of the United States and our Presidential Libraries, while maintaining the privacy and security of the records in our custody. NARA must also provide these capabilities for records in Federal Records Centers for agencies that hold legal title to them. These records enable people to inspect what the Government has done, allow officials and agencies to review their actions, and help citizens hold the Government accountable. They are a rich and varied source of information that Americans use to answer questions they have about our past. NARA’s web site is a strategic tool for ensuring access to this information.

The Customer Service Initiative will eliminate redundancy and provide an easy to use, consistent level of service to our customers across all NARA services.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will be a leader in innovation in electronic records archiving.</p> <p>In coordination with our Federal agency partners, we will develop policy and technical guidance to enable responsible electronic records creation and management.</p> <p>The Information Security Oversight Office, which is administratively part of NARA, will recast existing policies governing the classification and declassification of information to reflect the Government’s electronic operating environment.</p> <p>With help from our research partners, we will develop and maintain the technical capability to capture, preserve, describe, access, and appropriately dispose of any Government electronic record.</p>	<ul style="list-style-type: none"> <li>• By 2008, NARA’s Records Center Program accepts and services electronic records.</li> <li>• By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.</li> <li>• By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.</li> <li>• By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.</li> <li>• By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.</li> <li>• By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archival Declassification, Review and Redaction System (ADRRES)</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• PERPOS</li> <li>• Presidential Electronic Records Library (PERL)</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> <li>• Expanding NARA Online Services (ENOS)</li> <li>• Electronic Document Management System (e-DOCS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<ul style="list-style-type: none"> <li>• USA Services</li> <li>• E-Authentication</li> <li>• E-Rulemaking</li> </ul>

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will manage a coherent, nationwide, and sustainable system for permanent archival electronic records of the Federal Government.</p> <p>We will develop the capability to manage Federal agency electronic records within the NARA Records Center Program.</p> <p>We will ensure that anyone, at any time, from anyplace, has access to the best tools to find and use the electronic records we preserve.</p>		<ul style="list-style-type: none"> <li>• Toolkit for Managing Electronic Records (ERM Toolkit)</li> </ul>	

**Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.**

NARA provides fee-based records storage and services to more than 370 Federal agencies. The purpose of the Records Center Reimbursable Initiative is to manage this program’s resources, services, and reimbursements and meet our customer’s ever-growing expectations for improved service delivery.

The Records Center Reimbursable Initiative will provide customers with services comparable to those offered by the private sector, including web-based access to records inventories and reference request services, ad hoc reporting capabilities, and itemized invoices.

Specific NARA Strategies Supported	Performance Targets Supported	Component Applications
<p>We will demonstrate that effective records management adds value to agency business processes. Our guidance, training, and assistance to agencies will focus on using records management as an important tool for supporting agency business processes.</p> <p>We will stress that there is no one level to which all records must be managed. Resources, techniques, and tools will be allocated based on business needs for the records as information assets, legal requirements (e.g. the Federal Records Act, the Freedom of Information Act, and the Privacy Act), risks, and resources.</p> <p>We will stress that agencies may choose a variety of means to manage their records, including traditional records management programs, automated tools, or other approaches. Our concern will be how well records are managed, not whether agencies have all the elements of a traditional records management program.</p> <p>We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records management. Our experience shows that we are more effective in partnerships than working alone. Potential partners include standards organizations, state and local governments, other countries, and the</p>	<ul style="list-style-type: none"> <li>• By 2008, NARA’s Records Center Program accepts and services electronic records.</li> <li>• By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.</li> <li>• By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.</li> <li>• By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.</li> <li>• By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.</li> <li>• By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.</li> <li>• By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.</li> </ul>	<ul style="list-style-type: none"> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• NARS5</li> <li>• NWMW Disposal Log</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Space Information System (SIS)</li> <li>• TASK</li> <li>• Records Center Program Operating System (RCPOS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>

Specific NARA Strategies Supported	Performance Targets Supported	Component Applications
<p>private sector.</p> <p>We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support solutions to electronic records issues and problems.</p> <p>We will change our own records lifecycle work processes to minimize and simplify routine scheduling requirements and support more effectively and efficiently the needs of our customers.</p> <p>We will develop and improve our systems and processes for quickly receiving and answering records requests, particularly at the Military Personnel Records Center in St. Louis.</p> <p>We will build a practical, affordable automated system for tracking and using records throughout their life cycle. This system will integrate and make available information gathered about records during the process of creation, scheduling and appraisal, maintenance in records centers, destruction or archival accessioning, preservation, and continuing use.</p>		

**Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed for as long as needed.**

As the nation’s recordkeeper, NARA manages the lifecycle of records. This entails a series of important records management actions including scheduling, appraising, accessioning, storing, maintaining, preserving, declassifying, and disposing of records. Unfortunately, the current method for accomplishing these actions is time-consuming, burdensome, and antiquated. Today, most records are created electronically, while the process for managing them has been in place – largely unchanged – since the 1950s.

The Records Management Lifecycle Initiative will update, simplify, and standardize the Government’s records management and archival processes and systems. Within NARA, we will effect these changes and eliminate isolated records systems put in place to meet unique requirements.

Specific NARA Strategies Supported	Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will be a leader in innovation in electronic records archiving.</p> <p>In coordination with our Federal agency partners, we will develop policy and technical guidance to enable responsible electronic records creation and management.</p> <p>The Information Security Oversight Office, which is administratively part of NARA, will recast existing policies governing the classification and declassification of information to reflect the Government’s electronic operating environment.</p> <p>With help from our research partners, we will develop and maintain the technical capability to capture, preserve, describe, access, and appropriately dispose of any Government electronic record.</p> <p>We will manage a coherent, nationwide, and sustainable system for permanent archival</p>	<ul style="list-style-type: none"> <li>• By 2008, NARA’s Records Center Program accepts and services electronic records.</li> <li>• By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.</li> <li>• By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.</li> <li>• By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.</li> <li>• By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archival Declassification, Review and Redaction System (ADRRES)</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• PERPOS</li> <li>• Presidential Electronic Records Library (PERL)</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> <li>• Knowledge Information Tracking System (KITS)</li> <li>• Toolkit for Managing Electronic Records (ERM toolkit)</li> </ul>	<ul style="list-style-type: none"> <li>• E-Rulemaking</li> <li>• E-Records Management</li> <li>• Geospatial LOB</li> </ul>

<b>Specific NARA Strategies Supported</b>	<b>Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>electronic records of the Federal Government.</p> <p>We will develop the capability to manage Federal agency electronic records within the NARA Records Center Program</p>		<ul style="list-style-type: none"> <li>• Electronic Document Management System (e-DOCs)</li> <li>• Records Center Program Operating System (RCPOS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	

## **Strategic Goal Three: Essential evidence is easy to access regardless of where it is or where users are for as long as needed.**

The records that constitute our archives belong to the citizens, and providing ready access is no incidental service. Although new technologies are making it easier to reach all users in their homes, schools, and workplaces, achieving this goal requires that we diligently work to understand and meet our customers' records access needs. This will mean creating comprehensive catalogs and indexes to our holdings so users can find the records they need; making documentary material, including maps, photographs, sound and film recordings, and electronic records, available through the Internet; improving reference service at our Military Personnel Records Center; helping Presidents plan for public access to their records in Presidential libraries; mounting traveling and Internet exhibits to bring documentation of our national experience to a wider audience; and opening information declassified under Executive Order 12958, as amended.

### ***Strategic IRM Initiatives***

- ▶ Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.
- ▶ Implement a Customer Service Initiative to provide access to and delivery of NARA's holdings, information products, and services to our customers in a manner that is timely, easy to use, and cost effective.
- ▶ Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.
- ▶ Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed for as long as needed.

**Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.**

More and more we communicate by computer, and more and more NARA’s customers require access to essential evidence in any location, at any time. In this regard, our customers – the citizen, businesses, educators, and other government organizations – must be able to take advantage of continuing improvements in information technology to discover and access records of interest. Moreover, we must enable electronic records to be delivered to users in formats suitable for use on their preferred technologies, whether for the transaction of business, the study of history or the exercise of their rights.

The ERA Initiative will facilitate accessioning, managing, preserving, and accessing any kind of electronic record in any data format.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will expand current efforts to build a nationwide, integrated online information delivery system that educates citizens about NARA and our facilities, services, and holdings. This system also will extend opportunities for educational uses of documentary material, make available digital copies of high-interest documents, and contain an online ordering capability.</p> <p>We will implement policies and standards that facilitate development of an integrated agency-wide information infrastructure.</p> <p>We will work in partnership with former Presidents to ensure that Presidential records are available for research as soon as possible after the opening of a Presidential library.</p>	<ul style="list-style-type: none"> <li>• By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.</li> <li>• By 2008, 80 percent of NARA archival holdings are described in an online catalog.</li> <li>• By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.</li> <li>• By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.</li> <li>• By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.</li> <li>• By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archival Declassification, Review and Redaction System (ADRRES)</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• Presidential Electronic Records Library (PERL)</li> <li>• PERPOS</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<ul style="list-style-type: none"> <li>• E-Records Management</li> <li>• Geospatial LOB</li> <li>• Grants.gov</li> </ul>

**Implement a Customer Service Initiative to provide access to and delivery of NARA’s holdings, information products, and services to our customers in a manner that is timely, easy to use, and cost effective.**

NARA is a public trust that plays a key role in fostering effective and responsible government through sustained access to historically valuable records in the National Archives and the Presidential Libraries. These records enable people to inspect what the Government has done, allow officials and agencies to review their actions, and help citizens hold the Government accountable. They are a rich and varied source of information that Americans use to answer questions they have about our past. NARA’s web site is a strategic tool for ensuring access to this information.

The Customer Service Initiative will eliminate redundancy and provide an easy to use, consistent level of service to our customers across all NARA services.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will expand current efforts to build a nationwide, integrated online information delivery system that educates citizens about NARA and our facilities, services, and holdings. This system also will extend opportunities for educational uses of documentary material, make available digital copies of high-interest documents, and contain an online ordering capability.</p> <p>We will work in partnership with the Government Printing Office to ensure that all Federal Register online and print publications are current and easy to search and use.</p> <p>In addition to expanding electronic access to our holdings, we will ensure microfilm or digital copies of our holdings of interest to genealogists and others are more broadly available in our research rooms nationwide.</p> <p>While recognizing the need to protect national security interests and personal privacy rights, we will represent</p>	<ul style="list-style-type: none"> <li>• By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.</li> <li>• By 2007, 70 percent of NARA services are available online.</li> <li>• By 2008, 80 percent of NARA archival holdings are described in an online catalog.</li> <li>• By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.</li> <li>• By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.</li> <li>• By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act</li> <li>• By 2007, 90 percent of all NHPRC-assisted projects</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archives Declassification, Review and Redaction System (ADRRES)</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• Donor Tracking</li> <li>• Electronic Document Management System (e-DOCS)</li> <li>• E-Mail Management</li> <li>• JFK Assassination Collection System</li> <li>• NARA Online Archives Library Catalog</li> <li>• NHPRC Grants Tracking System</li> <li>• NWMW Disposal Log</li> <li>• Expanding NARA Online Services (ENOS)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• Public Programs Database</li> <li>• Researcher Registration</li> </ul>	<ul style="list-style-type: none"> <li>• Grants.gov</li> <li>• E-Rulemaking</li> <li>• Business Gateway</li> <li>• USA Services</li> <li>• Grants Management LOB</li> </ul>

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>within the Government the public interest in seeing that material is not classified or otherwise closed unnecessarily or longer than necessary.</p> <p>We will work in partnership with former Presidents to ensure that Presidential records are available for research as soon as possible after the opening of a Presidential library.</p> <p>With the support of public-private partnerships, we will create the National Archives Experience, both physically and on the Internet, to expand access to our holdings and educate the public about the importance of Government records in a democracy.</p> <p>We will develop and improve our systems and processes for quickly receiving and answering records requests, particularly at the Military Personnel Records Center in St. Louis.</p> <p>We will work in partnership with the grant program of the National Historical Publications and Records Commission to increase nationwide public access to historical records by strengthening the nation's archival infrastructure through Federal-state-local collaboration, funding research and development on preserving and making accessible important documentary sources in electronic form, and publishing major documentary collections.</p>	<p>produce results promised in grant applications approved by the Commission.</p>	<p>System</p> <ul style="list-style-type: none"> <li>Unclassified Redaction and Tracking System (URTS)</li> </ul>	

**Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.**

As the Federal Government uses technology to produce an increasing volume of records, NARA’s records centers store and account for Federal records using a patchwork of inflexible and redundant systems and business processes. At the same time, users increasingly expect immediate electronic access to information at no cost. The growth of web access, e-Government, and provisions of the Government Paperwork Reduction Act will further increase demands for online records and services.

The Records Center Reimbursable Initiative will provide customers with services comparable to those offered by the private sector, including web-based access to records inventories and reference request services, ad hoc reporting capabilities, and itemized invoices.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will expand current efforts to build a nationwide, integrated online information delivery system that educates citizens about NARA and our facilities, services, and holdings. This system also will extend opportunities for educational uses of documentary material, make available digital copies of high-interest documents, and contain an online ordering capability.</p> <p>We will implement policies and standards that facilitate development of an integrated, agency-wide information infrastructure.</p> <p>We will expand and enhance our web site, which is our portal for increasing electronic access to our holdings, information, and services.</p> <p>While recognizing the need to protect national security interests and personal privacy rights, we will represent within the Government the public interest in seeing that material is not classified or</p>	<ul style="list-style-type: none"> <li>• By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.</li> <li>• By 2007, 70 percent of NARA services are available online.</li> <li>• By 2008, 80 percent of NARA archival holdings are described in an online catalog.</li> </ul>	<ul style="list-style-type: none"> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• NARS5</li> <li>• NWMW Disposal Log</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Space Information System (SIS)</li> <li>• TASK</li> <li>• Records Center Program Operating System (RCPOS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<p>E-Records Management</p>

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>otherwise closed unnecessarily or longer than necessary.</p> <p>We will develop and improve our systems and processes for quickly receiving and answering records requests, particularly at the Military Personnel Records Center in St. Louis.</p>			

## **Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed for as long as needed.**

As the nation's recordkeeper, NARA manages the lifecycle of records. This entails a series of important records management actions including scheduling, appraising, accessioning, storing, maintaining, preserving, declassifying, and disposing of records. Unfortunately, the current method for accomplishing these actions is time-consuming, burdensome, and antiquated. Today, most records are created electronically, while the process for managing them has been in place – largely unchanged – since the 1950s.

The Records Management Lifecycle Initiative will update, simplify, and standardize the Government's records management and archival processes and systems. NARA for its own IT systems, has developed the System Development Lifecycle Guidelines document that provides detail on how to integrate records management awareness and compliance into NARA's Capital Planning Process and the System Development Lifecycle. The most effective way to manage electronic records is to build records management requirements into systems during the design and development phases.

Within NARA, we will effect these changes and eliminate isolated records systems put in place to meet unique requirements.

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>We will expand current efforts to build a nationwide, integrated, online information delivery system that educates citizens about NARA and our facilities, services, and holdings. This system also will extend opportunities for educational uses of documentary material, make available digital copies of high-interest documents, and contain an online ordering capability.</p> <p>While recognizing the need to protect national security interests and personal privacy rights, we will represent within the Government the public interest in seeing that material is not classified or otherwise closed unnecessarily or longer than necessary.</p> <p>We will work in partnership with former Presidents to ensure that Presidential records are available for research as soon as possible after the opening of a Presidential library.</p> <p>We will develop and improve our systems and processes for quickly receiving and answering records requests, particularly at the Military Personnel Records Center in St. Louis.</p>	<ul style="list-style-type: none"> <li>• By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.</li> <li>• By 2007, 70 percent of NARA services are available online.</li> <li>• By 2008, 80 percent of NARA archival holdings are described in an online catalog.</li> <li>• By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.</li> <li>• By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.</li> <li>• By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.</li> </ul>	<ul style="list-style-type: none"> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Artifacts Management System (SNAP) iO</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• Control and Tracking System (CATS)</li> <li>• Interim Space Management System (Spaceman)</li> <li>• JFK Assassination Collection System</li> <li>• Master Location Register (MLR)</li> <li>• NARS5</li> <li>• NWMW Disposal Log</li> <li>• PERPOS</li> <li>• Public Programs Database</li> <li>• Records Management Applications (RMA)</li> <li>• SF258 Log</li> <li>• SF258 Superlog</li> <li>• Space Information System (SIS)</li> </ul>	<ul style="list-style-type: none"> <li>• Business Gateway</li> <li>• E-Rulemaking</li> <li>• E-Records Management</li> </ul>

**Strategic Goal Four: All records are preserved in an appropriate environment for use as long as needed.**

We cannot provide public access to records for as long as needed unless we can preserve them for as long as needed. Few people realize that the records they use in our reference rooms are there only because archivists have inspected them, conserved them, stored them appropriately, and protected them from fire, flood, and theft.

*Strategic IRM Initiatives*

There are no Strategic IRM Initiatives that support this goal.

## **Strategic Goal Five: NARA strategically manages and aligns staff, technology, and processes to achieve our mission.**

Technological innovations and changing demographics will continuously provide challenges in our work and opportunities to improve it. To meet these challenges and take advantage of opportunities they present, we must aggressively make use of new technologies and develop partnerships for solving problems. Our technology infrastructure must be capable of supporting re-engineering, process innovations and communications among our staff members and between NARA and the agencies and citizens we serve.

### ***Strategic IRM Initiatives***

- ▶ Develop an Electronic Records Archives to accession, manage, preserve, and access any kind of electronic record, in any data format, today and in the future.
- ▶ Implement a Customer Service Initiative to provide access to and delivery of NARA's holdings, information products, and services to our customers in a manner that is timely, easy to use, and cost effective.
- ▶ Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.
- ▶ Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, appropriately scheduled, and managed for as long as needed.
- ▶ Apply information technology to support our strategic Initiatives.

## Develop an Electronic Records Archives to preserve and provide access to any type of electronic record created within the Federal Government.

NARA is recognized both nationally and internationally as a leader in the field of digital preservation. This leadership is recognized not only in the arena of government records, but also in other domains including scientific data, digital libraries, and private business. As the government creates more and more electronic records as a part of conducting business, NARA's role as a leader must consequently expand, including strengthening our partnerships with Federal agencies, universities, the private sector, and other governments; leading the implementation of NARA's Target Architecture to enable further expansions of capabilities; and applying the right mix and quantity of expertise to continually improve our processes and quality.

The ERA Initiative will facilitate accessioning, managing, preserving, and accessing any kind of electronic record in any data format.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will seek out new approaches, best practices, and partnerships, particularly on electronic records issues, from Federal, state, and local government agencies, universities, professional associations, private businesses, and other nations' archival institutions.</p> <p>We will build a practical, affordable automated system for tracking and using records throughout their life cycle. This system will integrate and make available information gathered about records during the process of creation, scheduling and appraisal, maintenance in records centers, destruction or archival accessioning, preservation, and continuing use.</p> <p>We will streamline our production processes for publishing Federal Register publications and develop a means for Federal agencies to submit Federal Register documents to us electronically.</p>	<ul style="list-style-type: none"> <li>By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i>.</li> <li>By 2008, all public network applications are available 99.9 percent of the time.</li> </ul>	<ul style="list-style-type: none"> <li>Access to Archival Database (AAD)</li> <li>Accessions Management Information System (AMIS)</li> <li>Archival Electronic Records Inspection and Control System (AERIC)</li> <li>Archival Preservation System (APS)</li> <li>Archival Research Catalog (ARC)</li> <li>Archival Declassification, Review and Redaction System (ADRRES)</li> <li>Case Management Reporting System (CMRS)</li> <li>Order Fulfillment and Accounting System (OFAS)</li> <li>PERPOS</li> <li>Unclassified Redaction and Tracking System (URTS)</li> <li>Electronic Records Archives (ERA)</li> <li>Electronic Document Management System (e-DOCS)</li> </ul>	<ul style="list-style-type: none"> <li>E-Records Management</li> </ul>

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>We will build a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure to support our work processes and public access to our holdings.</p> <p>We will reduce the proliferation of uncoordinated projects by instituting a rigorous process for analyzing their benefits, costs, and relevance to the needs of users and to priorities in our plan.</p>			

**Implement a Customer Service Initiative to provide access to and delivery of NARA’s holdings, information products, and services to our customers in a manner that is timely, easy to use, and cost effective.**

Information technology has transformed the ways citizens communicate, learn, use information, and conduct commerce. Government too is being affected, with information technology providing new, more responsive, and efficient ways of delivering services and information – and it is the citizen’s desire to access government services and information using the Internet. It is precisely this desire that is leading Federal organizations to rethink their business processes and reconsider how their customers need, perceive, and digest information in an electronic format. Translating our awareness of the citizen’s needs and desires into better and more efficient citizen-centric service is the challenge.

The Customer Service Initiative will eliminate redundancy and provide an easy to use, consistent level of service to our customers across the spectrum of services that NARA provides.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will ensure we hire, develop, sustain, and retain staff according to the competencies needed to achieve our strategic goals.</p> <p>We will undertake Human Capital Management planning for key positions and redesign our human resource development processes for our entire workforce.</p> <p>Valuing and encouraging diversity in our workforce, we will recruit and promote people with a broad range of educational backgrounds, work experiences, and career interests to meet our strategic needs.</p> <p>We will create career development programs and explore curricular partnerships with agencies, universities, and others to develop leaders for the agency's future, to educate staff about electronic technologies, life-cycle records strategies, rigorous new business processes, and other strategic competencies, and to provide learning opportunities for staff at all levels nationwide.</p>	<ul style="list-style-type: none"> <li>• By 2008, the average time a leadership position remains unfilled is 30 days or less.</li> <li>• By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.</li> <li>• By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i>.</li> <li>• By 2008, all public network applications are available 99.9 percent of the time.</li> </ul>	<ul style="list-style-type: none"> <li>• Access to Archival Database (AAD)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Archives Declassification, Review and Redaction System (ADRRES)</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• Donor Tracking</li> <li>• Electronic Document Management System (e-DOCS)</li> <li>• JFK Assassination Collection System</li> <li>• NARA Employee Locator</li> <li>• NARA Online Archives Library Catalog</li> <li>• NHPRC Grants Tracking System</li> <li>• NWMW Disposal Log</li> <li>• OnLine Ordering</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• Public Programs Database</li> <li>• Researcher Registration System</li> <li>• Unclassified Redaction and Tracking System (URTS)</li> </ul>	<ul style="list-style-type: none"> <li>• Grants.gov</li> <li>• E-Rulemaking</li> <li>• USA Services</li> <li>• Grants Management LOB</li> <li>• E-Records Management</li> </ul>

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will redesign our performance appraisal processes to assign clear responsibilities for stewardship, ensuring that both managers and staff are accountable for their work.</p> <p>We acknowledge that we do not have all the answers on how best to achieve the tasks set out in this plan.</p> <p>We will expand opportunities for our customers to inform us about information and services they need.</p> <p>We will streamline our production processes for publishing Federal Register publications and develop a means for Federal agencies to submit Federal Register documents to us electronically.</p> <p>We will build a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure to support our work processes and public access to our holdings.</p> <p>We will reduce the proliferation of uncoordinated projects by instituting a rigorous process for analyzing their benefits, costs, and relevance to the needs of users and to priorities in our plan.</p>			

**Implement a Records Center Reimbursable Initiative to manage all resources, services, and reimbursements associated with providing fee-based records storage and services to Federal Agencies.**

NARA’s records centers store and account for Federal records using redundant systems and business processes. In many cases, the design of these systems prohibits their cost-effective upgrading and integration. At the same time, customers are becoming increasingly familiar with technology and have ever-growing expectations for improved service delivery.

The Records Center Reimbursable Initiative will provide customers with services comparable to those offered by the private sector, including web-based access to records inventories and reference request services, ad hoc reporting capabilities, and itemized invoices.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	E-Government Initiatives
<p>We will ensure we hire, develop, sustain, and retain staff according to the competencies needed to achieve our strategic goals.</p> <p>We will undertake Human Capital Management planning for key positions and redesign our human resource development processes for our entire workforce.</p> <p>Valuing and encouraging diversity in our workforce, we will recruit and promote people with a broad range of educational backgrounds, work experiences, and career interests to meet our strategic needs.</p> <p>We will create career development programs and explore curricular partnerships with agencies, universities, and others to develop leaders for the agency's future, to educate staff about electronic technologies, life-cycle records strategies, rigorous new business processes, and other strategic competencies, and to provide learning opportunities for staff at all levels nationwide.</p> <p>We will redesign our performance appraisal processes to assign clear responsibilities for stewardship, ensuring that both managers and staff are accountable for their work.</p>	<ul style="list-style-type: none"> <li>• By 2008, the average time a leadership position remains unfilled is 30 days or less.</li> <li>• By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.</li> <li>• By 2008, all public network applications are available 99.9 percent of the time.</li> </ul>	<ul style="list-style-type: none"> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• NARS5</li> <li>• NWMW Disposal Log</li> <li>• Records Center Program Billing System (RCPBS)</li> <li>• Space Information System (SIS)</li> <li>• TASK</li> <li>• Records Center Program Operating System (RCPOS)</li> <li>• Electronic Records Archives (ERA)</li> </ul>	<ul style="list-style-type: none"> <li>• E-Records Management</li> </ul>

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	E-Government Initiatives
<p>We acknowledge that we do not have all the answers on how best to achieve the tasks set out in this plan.</p> <p>We will seek out new approaches, best practices, and partnerships, particularly on electronic records issues, from Federal, state, and local government agencies, universities, professional associations, private businesses, and other nations' archival institutions.</p> <p>We will build a practical, affordable automated system for tracking and using records throughout their life cycle. This system will integrate and make available information gathered about records during the process of creation, scheduling and appraisal, maintenance in records centers, destruction or archival accessioning, preservation, and continuing use</p> <p>We will build a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure to support our work processes and public access to our holdings.</p> <p>We will reduce the proliferation of uncoordinated projects by instituting a rigorous process for analyzing their benefits, costs, and relevance to the needs of users and to priorities in our plan.</p>			

**Implement a Records Management Lifecycle Initiative to ensure that records are created, identified, maintained and appropriately scheduled for as long as needed.**

As the nation’s recordkeeper, NARA manages the life cycle of records. This entails a series of important records management actions including scheduling, appraising, accessioning, storing, maintaining, preserving, declassifying, and disposing of records. Unfortunately, the current method for accomplishing these actions is time-consuming, burdensome, and antiquated. Today, most records are created electronically, while the process for managing them has been in place – largely unchanged – since the 1950s. This process does not provide the flexibility needed to accommodate the variety and volume in today’s records, nor does it help provide acceptable levels of service to the citizen.

The Records Management Lifecycle Initiative will update, simplify, and standardize the Government’s records management and archival processes and systems. Within NARA, we will effect these changes and eliminate isolated records systems put in place to meet unique requirements.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We will ensure we hire, develop, sustain, and retain staff according to the competencies needed to achieve our strategic goals.</p> <p>We will undertake Human Capital Management planning for key positions and redesign our human resource development processes for our entire workforce.</p> <p>Valuing and encouraging diversity in our workforce, we will recruit and promote people with a broad range of educational backgrounds, work experiences, and career interests to meet our strategic needs.</p> <p>We will create career development programs and explore curricular partnerships with agencies, universities, and others to develop leaders for the agency's future, to educate staff about electronic technologies, life-cycle records strategies, rigorous new business processes, and other strategic competencies, and to provide learning opportunities for staff at all levels nationwide.</p> <p>We will redesign our performance appraisal processes to assign clear responsibilities for stewardship,</p>	<ul style="list-style-type: none"> <li>• By 2008, the average time a leadership position remains unfilled is 30 days or less.</li> <li>• By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.</li> <li>• By 2008, all public network applications are available 99.9 percent of the time.</li> <li>• By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i>.</li> </ul>	<ul style="list-style-type: none"> <li>• Accessions Management Information System (AMIS)</li> <li>• Archival Electronic Records Inspection and Control System (AERIC)</li> <li>• Archival Preservation System (APS)</li> <li>• Archival Research Catalog (ARC)</li> <li>• Artifacts Management System (SNAP) iO</li> <li>• Case Management Reporting System (CMRS)</li> <li>• Centers Automated Reporting System (CARS)</li> <li>• Centers Information Processing System (CIPS)</li> <li>• Control and Tracking System (CATS)</li> <li>• Interim Space Management System (Spaceman)</li> <li>• JFK Assassination Collection System</li> <li>• Master Location Register (MLR)</li> <li>• NARS5</li> </ul>	<ul style="list-style-type: none"> <li>• Business Gateway</li> <li>• E-Rulemaking</li> <li>• E-Records Management</li> </ul>

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>ensuring that both managers and staff are accountable for their work.</p> <p>We acknowledge that we do not have all the answers on how best to achieve the tasks set out in this plan.</p> <p>We will seek out new approaches, best practices, and partnerships, particularly on electronic records issues, from Federal, state, and local government agencies, universities, professional associations, private businesses, and other nations' archival institutions.</p> <p>We will build a practical, affordable automated system for tracking and using records throughout their life cycle. This system will integrate and make available information gathered about records during the process of creation, scheduling and appraisal, maintenance in records centers, destruction or archival accessioning, preservation, and continuing use.</p> <p>We will build a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure to support our work processes and public access to our holdings.</p> <p>We will reduce the proliferation of uncoordinated projects by instituting a rigorous process for analyzing their benefits, costs, and relevance to the needs of users and to priorities in our plan.</p>		<ul style="list-style-type: none"> <li>• NWMW Disposal Log</li> <li>• PERPOS</li> <li>• Public Programs Database</li> <li>• Records Management Applications (RMA)</li> <li>• SF258 Log</li> <li>• SF258 Superlog</li> <li>• Space Information System (SIS)</li> <li>• Electronic Document Management System (e-DOCS)</li> </ul>	

## Apply information technology to support our Strategic Initiatives.

An important key to the success of NARA's IRM Initiatives and meeting our strategic goals is to plan for and implement an increasingly sound technical infrastructure – ultimately leading to the citizen's experience of easy and reliable electronic access to government services. The importance of IT infrastructure lies in its capacity to ease the implementation of value-added applications that often span business functions. Accomplishing NARA's ERA, Customer Service, Records Center Reimbursable, and Records Management Initiatives depends on having a flexible, robust, secure, scaleable technology infrastructure that supports web-based customer access to electronic records, lifecycle records management, and billable services. Requirements for these capabilities are imbedded in – and are critical to – each of NARA's strategic IRM Initiatives. We also need to work to ensure that our IT infrastructure becomes more reliable and efficient to support the current state of operations and to meet the challenges of the future.

Specific NARA Strategies Supported	Key Performance Targets Supported	Component Applications	e-Government Initiatives
<p>We acknowledge that we do not have all the answers on how best to achieve the tasks set out in this plan.</p> <p>We will seek out new approaches, best practices, and partnerships, particularly on electronic records issues, from Federal, state, and local government agencies, universities, professional associations, private businesses, and other nations' archival institutions.</p> <p>We will build a practical, affordable automated system for tracking and using records throughout their life cycle. This system will integrate and make available information gathered about records during the process of creation, scheduling and appraisal, maintenance in records centers, destruction or archival accessioning, preservation, and continuing use.</p> <p>We will streamline our production processes for publishing Federal Register publications and develop a means for Federal agencies to submit Federal Register documents to us electronically.</p> <p>We will build a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure to</p>	<ul style="list-style-type: none"> <li>• By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i>.</li> <li>• By 2008, all public network applications are available 99.9 percent of the time.</li> </ul>	<ul style="list-style-type: none"> <li>• Comprehensive Human Resources Integrated System (CHRIS)</li> <li>• Enterprise Access and Monitoring System (EACM)</li> <li>• Electronic Time and Attendance Management System (E-TAMS)</li> <li>• NARA Employee Locator</li> <li>• NARA Enterprise Information Technology Repository (NEITR)</li> <li>• Order Fulfillment and Accounting System (OFAS)</li> <li>• Bureau of Public Debt (BPD)</li> <li>• Performance Measurement and Reporting System (PMRS)</li> <li>• PRISM</li> <li>• PROMT</li> <li>• Property Management</li> <li>• Record Center Program Billing System (RCPBS)</li> </ul>	<ul style="list-style-type: none"> <li>• Federal Asset Sales</li> <li>• Disaster Management</li> <li>• E-Training</li> <li>• Recruitment One-Stop</li> <li>• EHRI</li> <li>• E-Travel</li> <li>• Integrated Acquisition Environment</li> <li>• Novell SmartBUY</li> <li>• WinZip SmartBUY</li> <li>• Internet Protocol Version 6 (IPv6)</li> </ul>

<b>Specific NARA Strategies Supported</b>	<b>Key Performance Targets Supported</b>	<b>Component Applications</b>	<b>e-Government Initiatives</b>
<p>support our work processes and public access to our holdings.</p> <p>We will reduce the proliferation of uncoordinated projects by instituting a rigorous process for analyzing their benefits, costs, and relevance to the needs of users and to priorities in our plan.</p>			

## **Enabling Actions**

The next few years hold enormous potential for NARA to serve and satisfy our customers in new ways through information technology. The following information summarizes some of the enterprise-wide actions that we plan to take to facilitate the application of information technology in implementing our strategic IRM Initiatives and reaching our target architecture.

### **Strengthening Information Security and Privacy**

Effective and continually improving information security is essential to the expansion of e-Government. As NARA moves to improve service to its customers and provide citizens with the capability to conduct a full range of online business – including transactions involving personal or financial data – citizens must be assured that their transactions are secure. Consequently, we must carefully analyze any privacy and security risks associated with new applications or uses of electronic data in an environment complicated by hacker attacks, Web page defacing, and identity theft.

NARA's long-term goal is to achieve a fully integrated, continuously improving information security program. To achieve this goal, NARA will focus on integrating information security into people, processes, and technology across the agency. While reaching for operational excellence, the information security program will focus on a customer service oriented approach with risk based planning and decision-making. Therefore, the information security office becomes an ally to the business rather than a hindrance. For example, services such as strong authentication, identity management, host and network intrusion detection, consolidated auditing and analysis are just a few services that can enable e-Government initiatives while keeping IT risks to an acceptable level.

### **Institutionalizing a Sound Enterprise Architecture**

Recent history has shown that attempts to modernize IT environments without an architecture that simplifies the complexities of how an agency operates today, how it wants to operate in the future, and how it will get there often results in unconstrained investment and systems that are duplicative and ineffective. Although extremely critical to the success of NARA's efforts to transform the way it does business and serves the public, developing and then using a sound enterprise architecture to guide and bound our operational and technological environments is a formidable undertaking. At stake is the ability of NARA to not only effectively transform our operations and their supporting systems, but to elevate our performance, effectively work with other agencies, and implement integrated e-Government solutions. It is our goal to complete the development of the major NARA e-Government initiatives so that they are secure and reliable.

To better position NARA to meet our customer's future expectations, the annual updates to the enterprise architecture involve recurrent assessments of the ability of our systems to support NARA's business objectives, provide input for long-term automation planning, and result in annual updates to this Plan. To date, four versions of the Enterprise Architecture have been released. The initial release of the Enterprise Architecture reflected the Agency's first consolidation of IT information and established the initial EA documentation set. Version 2.0 and Version 3.2 made significant progress in the Enterprise Architecture process, IT security, IT operations, and improved Enterprise Architecture publications. Version 4.0 and Version 4.5 provides a full security architecture, a business flow for lifecycle management processes, and identifies the data classes associated with process flows. We have

also helped NARA's strategic business units develop several key "to be" documents, including a concept of operations, business risk assessment, and continuity plan. To ensure that our enterprise architecture and IT activities align with these plans, NARA has formalized and adheres to an enterprise architecture governance process that includes participation from across the Agency. NARA's IT governance structure includes the IT Executive Steering Committee that oversees new investments, priorities, Enterprise Architecture changes, security policy changes, and provides support for enforcement.

We also continue to strengthen our enterprise architecture program management processes; develop further decompositions of our target architecture to include security controls and baseline operations engineering specifications; and refine our high-level model that depicts the flow of information across the Agency. Finally, an important step in ensuring the success of these efforts is to develop and implement an advocacy plan that champions the enterprise architecture effort, promotes its value, and educates stakeholders on how they can participate in the governance process to ensure that their business and IT needs are met. Together, the governance process and our advocacy efforts should effectively embed the concept and practice of enterprise architecture deep into NARA's culture and core business processes. We will provide the business units in NARA with secure, cost-effective, and reliable enterprise-wide IRM solutions consistent with business processes by:

- ▶ Developing new business architecture work products, such as the business risk profile and continuity plan. Additionally, ensure appropriate performance metrics are included for all major business sub-process areas;
- ▶ Establishing, executing, and enforcing agency-wide Enterprise Architecture governance process;
- ▶ Establishing a core team to develop Enterprise Architecture version 5.0;
- ▶ Performing the annual Enterprise Architecture Maturity Model Framework (EAMMF) self-assessment; and
- ▶ Refining the conceptual data model to integrate the ERA Domain Model and address the remaining subject areas.

### **Keeping Pace with Changing Technology**

Three technology issues influence how NARA fulfills its mission: accommodating an ever-evolving range of electronic record formats; handling the Federal Government's tremendous volume of electronic records that is already growing at an accelerating rate; and meeting users' expectations of immediate electronic access to information. As recognized in our agency Strategic Plan, NARA needs to ensure that we use technology and automation effectively to achieve our mission.

The primary IT solution to assist in NARA's efforts to keep pace with changing technology is the Electronic Records Archives (ERA) project. Since 1998, NARA has performed research to better understand the problems associated with the migration and preservation of electronic records. To explore the possibilities, we have established partnerships with Federal agencies, state and local governments, universities, other national archives, the scientific community and private industry. Currently, NARA is focusing its research efforts in the areas of preservation, authenticity, and scalability to further the development of tools and technologies for records management. At the same time, the ERA program is in its development phase with the deployment of its first increment scheduled for September 2007.

## **Developing IT Human Capital Strategies**

The challenges facing the government in maintaining a high-quality IT workforce are long-standing and widely recognized. For NARA, strengthening the skills of our employees is critically important. Without fully developing staff capabilities, NARA stands to miss out on the potential customer service benefits presented by technology and the expansion of e-Government. To ensure that NARA's Office of Information Services (NH) has a workforce to manage technology and that has the knowledge, skills, and abilities to operate effectively in today's rapidly changing environment, we must continually upgrade the skills of our IT project management staff

*Upgrading the skills of our IT project management staff.* Changing technology makes upgrading the skills of our IT staff and the skills of our primary business owners a necessity. As the IT staff begins branching out into new methodologies and techniques for tackling the crosscutting technology issues that influence how we fulfill our mission, we must assess their skill level to identify training needs and then provide that training through the most cost-effective means available (whether through formal classroom sessions, on-the-job learning, Web-based training courses, mentoring, or other techniques). The ongoing challenge will be to ensure that all employees keep pace, receiving the training necessary to understand, acquire, and exploit new technology to better capitalize on our investments. It is our strategic goal to identify the full range of training needs to ensure that skill gaps are filled through the most cost-effective means available.

## **Fostering Mature Systems Acquisition, Project Management, and Operational Practices**

It is important to understand both the technical side and business side of information technology. We recognize the impact of changing technology, upgrading the skills of our IT staff, recruiting qualified staff, and using training programs to develop qualified staff. As a result, it is our goal to provide effective, performance based, customer focused project management services to meet these challenges. Our framework for project management services include:

- ▶ Simplifying the Systems Development Lifecycle, which is based on the SEI's CMMI, and better integrating the major strategic planning and process across the agency;
- ▶ Establishing an Project Management Guide based on the Project Management Institute's publication "Guide To Project Management Body of Knowledge" which provides a single-point of reference to key project management practices, while relating them to the NARA IT project environment;
- ▶ Implementing Earned Value Management (EVM) for major IT Initiatives;
- ▶ Implementing Microsoft Project 2003 for managing and monitoring all projects;
- ▶ Conducting an assessment of the gaps that exist in project management capabilities, and filling those gaps through training or acquisition; and
- ▶ Working to achieve 100% of project management staff in NARA's Systems Development Division (NHV) are qualified as per OMB Memorandum M-04-19 "Information Technology Project Manager Qualification Guidance".

In FY 2006, we took steps to better ensure improved execution and performance as well as to promote more effective oversight for all new IT projects and ongoing major IT development projects. Specifically, we followed these principles:

- ▶ Establish and validate performance measurement baselines with clear costs, schedules, and performance goals;
- ▶ Manage and measure projects within 10% of baseline goals through the use of an Earned Value Management System (EVMS) that complies with the guidelines in ANSI/EIA STD – 748 or, for steady-state projects, we will perform operations analyses;
- ▶ Assign to each project a qualified project manager;
- ▶ Avoid duplication by leveraging inter-agency and Government-wide investments to support common missions or other common requirements; and

High-quality software is essential for NARA's information systems to support the mission functions of the Agency and to provide reliable management, financial, and administrative information. The quality of software – whether acquired externally or developed internally – is governed largely by the quality of the repeatable processes followed during its acquisition or development. In the current environment, geared toward providing greater electronic service delivery, it is essential to remember that fundamental, repeatable practices of good IT planning and management remain paramount to the success of acquiring a portfolio of integrated, customer-centric, Web-based applications. Some of these fundamentals, that NARA strives to meet, include:

- ▶ Developing a well-defined purpose and scope for each project;
- ▶ Setting clear and specific system requirements;
- ▶ Understanding and improving business processes before applying technology;
- ▶ Performing risk assessments and developing appropriate risk mitigation strategies;
- ▶ Using appropriate industry standard technology and solutions;
- ▶ Adopting and abiding by pertinent data standards;
- ▶ Thoroughly training and supporting users; and
- ▶ Reviewing and evaluating business performance metrics.

## **Appendix 1. Status of Strategic IRM Initiatives**

### **Electronic Records Archives (ERA)**

To deal with the complex challenges we face in preserving and managing electronic records we are taking both short-term and long-term approaches. In the short-term, we are extending and expanding our existing systems that handle electronic records processing because that is the only means we currently have to control these records. We purchased Digital Linear Tape drives for the Archival Preservation System (APS) and the Archival Electronic Records Inspection and Control System (AERIC) so that they could accommodate large files (such as scanned images). And we revised the APS application code so that it can process larger volumes of files.

In FY 2003 we made substantial progress in building the administrative infrastructure necessary for development of the Electronic Records Archives (ERA) system. All the processes needed to ensure a successful acquisition were implemented and documented in conformance with the Institute of Electrical and Electronics Engineers (IEEE) standards. Recruitment for remaining ERA government positions was completed by the end of the 2003 calendar year. We developed a detailed work breakdown structure and put in place cost and schedule baselines for the program that align the program control activities in compliance with the ANSI-748A standard for earned value management. Acquisition activities were initiated with the release of requests for comments (RFCs) and requests for information (RFIs), direct interaction with interested vendors and contractors, and the release of the draft request for proposal (RFP).

In FY 2004, we ran a rigorous competitive process and awarded two contracts for the development of ERA – the award heralds the shift in the Electronic Records Archives Program's focus to the system analysis and design phase. In FY 2005, the ERA system analysis and design was completed and Lockheed Martin was chosen to develop the system. Development began in FY 2006, which will culminate in achievement of Initial Operational Capability (IOC) in FY 2007. NARA anticipates that there will be four additional increments of ERA, one to be delivered in each of FY 2008, FY 2009, FY 2010, and FY 2011. The FY 2011 deployment will represent Full Operational Capability (FOC).

### **Customer Service**

NARA's Strategic Plan calls for expanding the services offered through our web site. In accordance with the Administration's government-wide initiative to expand electronic government, we have aggressively looked for opportunities to increase electronic access to our records, information about our records, and our services. We plan to have 70 percent of our services available online to our customers by 2007.

NARA has made significant progress in pursuing its efforts to enhance NARA's online services. NARA has implemented a technical infrastructure to support this effort, designed and delivered new Web-based services, and continues to play an active role in several e-Government Initiatives including E-Rulemaking, Grants Management LOB, Grants.gov, Recruitment one stop, E-Travel, Business Gateway, Geospatial LOB, and E-Records Management. To further support e-Government, we are the Managing Partner for E-Records Management.

We launched *Order Online!* in FY 2004, allowing customers for the first time to place orders for reproductions of selected archival records and pay for them electronically. Throughout the year, we also expanded the types of orders customers could make using this tool, and provided online registration, payment, and acknowledgment for public events, workshops, and classes. In addition, we provided the public access to a press conference through the web; we gave job seekers the ability to submit an online job application; and we provided Federal agencies the online capability for publishing public information, requesting assistance with a regulation, and requesting and receiving technical assistance through the *Federal Register*. In addition, we contracted with human factors engineers to help us evaluate our online service offerings. This expertise helped NARA ensure that its online solutions effectively meet the needs of our customers. It helped us create interface and application designs that are intuitive, easy to use, and minimize user errors.

In FY 2005, we expanded the current Order Online! functionality and provided customers the ability to purchase merchandise and to rent and purchase microfilm online. In FY 2006, we further expanded Order Online! functionality in order to make available online ordering of and payment for copies of Bankruptcy Case, Civil Case, Criminal Case, and Court of Appeals Case files. In addition, this release made available online ordering of and payment for reproductions of Naturalization and World War I Draft Registration Cards.

*Case Management and Reporting System (CMRS)*. The Military Personnel Records Center (MPR) in St. Louis, Missouri, has served as the primary source for military service information that 20th-century veterans and their families need for access to obtain such rights and benefits as health care, home loan guaranties, education, employment, service-connected injury compensation, and burial allowances. A Business Process Re-engineering (BPR) project was conducted in 1997. As a result of this effort, CMRS was developed to manage the case backlog through automated workflow and improved business processes. The CMRS system uses Siebel COTS software to provide a seamless electronic information flow and tool set to support the Reference Service mission at the MPR facility. On the front end of the system, all new cases are received electronically or converted to electronic images in the mailroom as they are received. CMRS software then guides the cases through team and caseworker assignment.

### **Records Center Reimbursable**

Since October 1, 1999, NARA's records center program has been fully reimbursable. This allows us to be more flexible in responding to agency records needs and requires us to meet those needs in a cost-effective and efficient way. NARA's vision is to become the record center service provider of choice for the Federal government.

*Records Center Program Operating System (RCPOS)*. NARA needs to replace its record center legacy systems for inventory and space management with modern systems that provide enhanced functionality at a reasonable cost. All of the current Records Center Program (RCP) applications are mainframe-based, written in COBOL and have been operational for 15-25 years. Most importantly, these systems no longer fully support the reimbursable financial environment. RCPOS will provide robust inventory and space management for more than 20 million cubic feet of records; web-based, interactive support for all business transactions such as the recall of records by Federal agencies; a management information system to measure all facets of RCP performance; and easy to use data sharing capabilities with the RCP customers. It will work alongside ERA by providing the physical control of electronic records in

NARA's records centers while ERA manages their content. In FY 2006, we have begun prototyping based on the finalized ERA system requirements.

### **Records Management Lifecycle**

Revising NARA's records disposition policies, processes, and tools is identified in our Strategic Plan as key to meeting the Agency's primary goal that "essential evidence will be created, identified, appropriately scheduled, and managed for as long as needed." Without effective records management, the records needed to document our citizens' rights, actions for which Federal officials are responsible, and the historical experience of our nation will be at risk of loss, deterioration, or destruction.

In FY 2003, NARA completed the initial phase of an agency wide records lifecycle business process reengineering (BPR) project. Phase 1 of the BPR, conducted between January and August 2003, resulted in high-level process models for the records lifecycle, as well as a benchmarking study and a validation of requirements for the Electronic Records Archives (ERA) Program.

Phase 2 of the BPR produced detailed "As-Is" workflows for targeted records lifecycle processes, including scheduling and appraisal and processing of Federal electronic records. The analysis of these targeted processes was integrated with benchmarking and metrics collection activities to validate and modify the process models developed in Phase 1, and to develop detailed "To-Be" workflows for the targeted processes. Phase 2 took place between December 2003 and June 2004.

Phase 3 built on the work of Phase 2 by producing more detailed "To-Be" workflows for other targeted records lifecycle processes including: reference services; processing of non-electronic Federal records; special access and FOIA review of Federal records; and reference services and space management in Federal records centers. The Phase 2 "To-Be" processes for electronic records processing, scheduling and appraisal, and transfer and disposition were also further validated and modified. Phase 3 took place between July 2004 and January 2005.

Implementation of a subset of the redesigned processes is scheduled to be part of the IOC of ERA. In addition, these processes will support the prototyping of RCPOS.

### **Support and Infrastructure**

Our Strategic Plan commits us to a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure to support our work processes and public access to our holdings. In fact, poorly performing applications could hinder staff performance and discourage the public from relying on NARA as a first provider of ready access to essential evidence. Given the vast number of requests for information that NARA fulfills each year and NARA's strong reliance on technology, deterioration in the level of support for our systems could have significant mission impact.

In FY 2006 we began our planning to meet our customers' demands for new and expanded services. We will evolve our infrastructure to move us forward strategically and aligning it to NARA's business requirements. This infrastructure requires investments in tools, systems, services and resources that support redundant technology and storage requirements. We will also enhance our current operations contract support to operate as a consolidated Network Operations Center (NOC) and Security Operations Center (SOC). This support will address Intrusion Detection Systems (IDS), annual

penetration testing, and firewall upgrades to strengthen security monitoring and prevention. In addition, we began planning for implementing IPv6.

We must also increase our bandwidth to meet our 2008 Strategic Plan goal of 99.9 percent system availability, by implementing redundant network switches and routers and architecting a mesh data network that would provide multiple information routing schemas and move towards a converged IP backbone. Increased bandwidth is also essential for the new applications we must support, the most important of which is ERA, though it is certainly not the only application that we need to be able to support. Our goal is to achieve an IT infrastructure that more effectively supports both current and emerging systems and applications.

## Appendix 2. List of Strategic Initiative Component Applications

Component Application	Current Status	Description
Access to Archival Databases (AAD)	Production	AAD provides web access to accessioned electronic records that are in database format.
Accessions Management Information System (AMIS)	Production	AMIS tracks accessions of electronic records as they are processed.
Archival Electronic Records Inspection and Control System (AERIC)	Production	AERIC preserves the logical structure of databases, and verifies that the records received are those supported by the accompanying documentation.
Archival Preservation System (APS)	Production	APS preserves electronic files, including copying them onto tape and other media, and maintains a catalogue database of the technical specifications of the electronic data files.
Archival Research Catalog (ARC)	Production	ARC is the online catalog of all of NARA's holdings.
Archives Declassification, Review and Redaction System (ADRRES)	Production	ADRRES automates the process of reviewing and redacting sensitive and classified materials in response to legal mandates.
Artifacts Management System (SNAP) iO	Production	(SNAP) iO is the standalone artifacts management system located in each Presidential library.
Bureau of Public Debt (BPD)	Production	NARA has an Interagency Agreement to provide financial management services. This service is provided by BPD via the PRISM system in FY 2006.
Case Management Reporting System (CMRS)	Production	CMRS provides improved workload management and processes related to fulfilling requests for military records.
Centers Automated Reporting System (CARS)	Production	CARS is used by each Federal Records Center to report monthly staff day expenditures and volume statistics for direct, IRS reimbursable, and other reimbursable functions.
Centers Information Processing System (CIPS)	Production	CIPS supports the electronic processing of reference requests by Federal agencies storing records at the NARA regional records facilities or the Washington National Records Center.
Comprehensive Human Resource Integrated System (CHRIS)	Production	CHRIS is the GSA human resources management system used by NARA.
Control and Tracking System (CATS)	Production	CATS tracks NARA review status of agency-proposed record schedules.
Donor Tracking System	Production	The Donor Tracking system tracks gifts and donations to NARA and identifies and contacts prospective donors.
Enterprise Access Control Management (EACM)	Planning	EACM will enhance security, increase Government efficiency, reduce identity fraud, and protect personal privacy by establishing a mandatory, Government-wide standard for secure and reliable forms of identification issued by the Federal Government.
Electronic Document Management System (e-DOCS)	Production	e-DOCS is a business process reengineering effort to consolidate and automate current Federal Register processes into one integrated system.
Electronic Records Archives (ERA)	Development	ERA will be a comprehensive and dynamic means for preserving virtually any kind of electronic record, free from dependence on specific hardware or software.

Component Application	Current Status	Description
		ERA will make it easy for NARA customers to find records and easy for NARA to deliver them.
Toolkit for Managing Electronic Records (ERM toolkit)	Production	ERM toolkit provides agencies tools to support better records management within the Federal Government.
Electronic Time and Attendance Management System (ETAMS)	Production	ETAMS is the GSA time and attendance system used by NARA.
E-Mail Management	Pilot	NW system to handle e-mail received via Inquire. The project applies RMA technology to manage these e-mail records.
Government Paperwork Elimination Act (GPEA)/Expanding NARA Online Services (ENOS)	Initial Operational Capability in Production.	Develops, documents strategies for, and implements web-enabled solutions to increase electronic access to records, information about records, and services.
Interim Space Management System (Spaceman)	Production	Spaceman identifies and tracks available space for textual records in Archives I and Archives II.
JFK Assassination Collection System	Production	The JFK Assassination Collection System is an electronic index to many (but not all) documents from the JFK Assassination Records Collection in the National Archives.
Knowledge Information Tracking System (KITS)	Production	KITS provides information about unscheduled systems, including prioritized resource allocation ratings based on the permanent values of the records and their impact on rights and accountability
Master Location Register (MLR)	Production	The MLR provides an inventory control system that identifies location, volume, physical measurements, quantity, and preservation status of archival textual materials.
NARA Employee Locator	Production	The NARA Employee Locator is an online system that provides the name, office symbol, location, room, telephone number, and FAX number of NARA employees.
NARA Enterprise Information Technology Repository (NEITR)	Production	Provides a metadata repository application to support NARA business and customer needs.
NARA Online Archives Library Information Center (ALIC)	Production	ALIC is an online library catalog of books, periodicals, and other materials contained in Archives I and II and book collections located in other facilities.
NARS-5	Production	NARS-5 supports the processing, storage, servicing, and retirement of records in the physical custody of Federal Records Centers.
National Historical Publications and Records Commission (NHPRC) Grants Lifecycle Tracking System	Production	This NHPRC system tracks grants that supports Grant.gov activities to identify, preserve, publish, and increase public access to non-Federal sources that document the history of the United States. NARA plans to procure services from NEH, a Grants LOB service provider for small granting agencies.
Washington National Records Center (NWMW) Disposal Log	Production	The NWMW disposal log identifies and tracks disposal of holdings in accordance with Federal agency approved disposition schedules.
Order Fulfillment and Accounting System (OFAS)	Production	OFAS is the financial management system that tracks and provides accounting of customer service requests for reproductions of NARA holdings. This system

Component Application	Current Status	Description
		tracks orders for copies of records in Archives I, and processes customer transactions via Point-of-Sale in Archives II and the regions.
Presidential Electronic Records Processing Operational System (PERPOS)	Prototype complete and prototype data analyzed.	PERPOS tools will assist in the processing of electronic records. These tools will help staff distinguish personal or political materials from government records, identify records of temporary value, relate electronic records to filing systems, identify information that is exempt from release, and respond to FOIA and other requests for materials.
Performance Measurement and Reporting System (PMRS)	Production	PMRS is a data warehouse that allows NARA to define and consistently measure data critical to the analysis of progress on strategic and annual performance plans. PMRS is the official source of statistical data about NARA. The system collects performance data from other databases and systems, verifies that the data is "clean" and stores it in a central warehouse for reporting purposes via an Online Analytical Processing tool that allows users to create reports themselves. Although PMRS is in production, enhancements are underway.
Presidential Electronic Records Library (PERL)	Production	Clinton automated systems
Project Management Tool (PROMT)	Production	Enterprise-wide Project Management Tool (PROMT) provides the agency with a standardized yet adaptable project management platform to support NARA's strategic, IT, capitalized, and cross-office projects
Property Management	Production	NARA system for tracking property inventory.
Public Programs Database	Production	The Public Programs Database supports management of NARA materials that are on, or proposed for, public exhibit.
Records Center Program Billing System (RCPBS)	Production	This system supports the records center programs (RCP) in producing invoices for the storage (NARS-5) and servicing of NARA's Regional Record Centers. The transaction level billing for services is obtained through the regions via web interface.
Records Center Program Operating System (RCPOS)	Planning	RCPOS will enable customers to request records center services, and access holdings and activity information via the Internet. Additionally, the use of bar coding technology will allow control at the box or folder level.
Records Management Applications (RMA2)	Pilot	Pilot Records Management Application to test the capabilities of managing electronic records via automated system.
Remedy	Production	Provides user help desk tracking and control functionality.
Researcher Registration System	Production	Automated system that manages the researcher application, registration, and access process in Archives I and II.
Agreement to Transfer Records to the National Archives of the United States (Standard Form 258) Log	Production	Tracks SF-258 through the Office of Records Services, Washington, DC, to include all textual, non-textual, and regional holdings.
Agreement to Transfer	Production	Tracks the SF-258 for textual holdings.

Component Application	Current Status	Description
Records to the National Archives of the United States (SF-258) Superlog		
Space Information System (SIS)	Production	SIS, in conjunction with NARS-5, manages record storage space in the Federal records centers, identifies vacant space for storing new accessions, and reserves space for incoming records.
TASK	Production	TASK documents activities performed in Federal records centers at the employee level through work units called "tasks". Tasks are components of workload items funded in the operating budget of the Federal records centers.
Unclassified Redaction and Tracking System (URTS)	Production	URTS extends the ADDRES system for the processing of Presidential records, including sensitive materials to be redacted.