Preserving the Past
to Protect the Future

NATIONAL
ARCHIVES

THE STRATEGIC INFORMATION RESOURCES MANAGEMENT PLAN

OF THE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

March 2014

V e r s i o n   (5 . 6 . 7 a)

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Approved by   Date

PRESERVING THE PAST TO PROTECT THE FUTURE

MISSION

Our Mission is to provide public access to Federal Government records in our custody and control. Public access to government records strengthens democracy by allowing Americans to claim their rights of citizenship, hold their government accountable, and understand their history so they can participate more effectively in their government.

VISION

We will be known for cutting-edge access to extraordinary volumes of government information and unprecedented engagement to bring greater meaning to the American experience.

VALUES

Collaborate - **Create an open, inclusive work environment that is built on respect, communication, integrity, and collaborative team work.**

Innovate - **Encourage creativity and invest in innovation to build our future.**

Learn - **Pursue excellence through continuous learning and become smarter all the time about what we know and what we do in service to others.**

STRATEGIC GOALS

- ### *Goal 1: Make Access Happen*

Make Access Happen **establishes "public access" as NARA's core purpose. It affirms that public access is the ultimate outcome of all of our work. Make Access Happen also signals a significant shift in strategy and purpose: We will reach beyond the traditional role of making records available for others to discover, and will make access happen by providing flexible tools and accessible resources that promote public participation.**

- ### *Goal 2: Connect with Customers*

Connect with Customers **challenges us to continuously improve customer service, cultivate public participation, and generate new understanding of the importance of records in a democracy. We will continuously engage with and learn from our customers - individuals, organizations, and other Federal agencies. We will build long-term, positive, effective relationships, and provide a consistent customer experience across programs, platforms and locations. We will be an exemplary culture of open government.**

- ### *Goal 3: Maximize NARA's Value to the Nation*

Maximize NARA's Value to the Nation **recognizes public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of our records. We will continue to be an effective steward of the government resources that we hold in trust and will constantly strive to be a responsive 21st-century government agency. We will strive to implement new business practices to achieve greater efficiency and effectiveness in all we do and ensure institutional sustainability.**

- ### *Goal 4: Build Our Future Through Our People*

Build Our Future Through Our People **is our commitment to provide all employees with the training and opportunities necessary to successfully transition to a digital environment. We have an opportunity to "become more" – to find ways to be more supportive of our staff, better at our jobs, savvier in our decisions, and bolder in our commitment to leading the archival and information professions to ensure continued relevance and flourishing of archives in a digital society. We will build a modern and engaged workforce, develop the next generation of leaders, and encourage employees to collaborate, innovate, and learn. We will provide a workplace that fosters trust, accepts risk, and rewards collaboration.**

Foreword

As our national record keeper, the National Archives and Records Administration (NARA) 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 in Federal Government agencies, 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. 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 challenge requires that we adhere to NARA's strategic direction as described in our Strategic Plan, and support the mission and goals of the Strategic Plan in accordance with the guidance documented in our Enterprise Architecture.

> *This Strategic Information Resources Management (IRM) Plan provides an overview of NARA's strategy for managing IRM activities in alignment with the agency's strategic goals, business programs, and Enterprise Architecture.*

Contents of the Plan

Background

In the past, each National Archives and Records Administration (NARA) business office generally built their own applications to support their business processes. Although this often led to the implementation of systems that satisfied user requirements, this approach is becoming unmanageable as technology increasingly influences how we fulfill our mission. As the scope and scale of our information technology investment grows, the need to integrate technology capabilities and business processes across all agency business offices and with external customers, partners, and stakeholders becomes imperative.

To address these increasingly complex needs for information system integration and support, NARA will establish and execute agency policies and Information Resources Management (IRM) processes to ensure that we align investments in information technology (IT) with the agency's strategic goals and business performance objectives. NARA's Chief Information Officer (CIO), in alignment with Federal law and Office of Management and Budget (OMB) guidelines, has established the Architecture Review Board (ARB) as the overarching IRM governance body for the agency. NARA integrates the Capital Planning and Investment Control (CPIC), Program Management, Performance Management, IT Security, and Systems Development Lifecycle (SDLC) processes under the direction of the ARB, and governs these processes to ensure alignment with the agency's Enterprise Architecture (EA) and Strategic Plan across all IRM activities.

This is a fundamental shift in our approach to IRM that moves us away from a program-oriented, budget-centric approach to investment planning and management toward an integrated, agency-wide (sometimes government-wide), architecture-based approach. Our EA helps us better leverage our IRM investments by making choices that are consistent with the strategic direction of our business.[1] While we develop and evolve our EA, we carefully consider the impact of technology on both our strategic goals and our current state of IT deployment. We also consider how to comply with OMB directives such as *IT Shared Services Strategy, Federal Cloud Computing Strategy, Digital Government Strategy*, and the *Common Approach to Enterprise Architecture* in a manner that is most advantageous to NARA. The outcome is a comprehensive set of guidance that helps us to fulfill our mission, meet our strategic goals, and serve our customers more effectively.

At its core, IRM and EA are business driven processes. For this reason our EA methodology starts with an analysis of business needs and includes a comprehensive business element. We recognize that the most significant determinant of the effectiveness of our IRM approach is the degree to which the business owns and participates in IRM activities and how effectively we align IRM activities and EA guidance with our business strategy. For this reason, we position the *Business Architecture* as the driving element of our EA. The Business Architecture is expressed in business terms and is owned and managed by the business. The Business Architecture Working Group (BAWG) is

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[1] Our EA is fully documented in the *National Archives and Records Administration Enterprise Architecture.*

established as a permanent committee under the ARB to guide and manage the development of the Business Architecture. The active participation by the business offices on the BAWG provides input to our EA that is critical to developing EA guidance that is useful, and relevant to the agency's mission.

The Impact of Technology

There are three key technology considerations that 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, geospatial data, 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.

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 (FOIA), 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.

Effectively integrating IT capabilities within our business programs is imperative to fulfilling our mission. Guidance expressed in our Enterprise Architecture will help ensure that we capitalize on opportunities to standardize and reuse IRM resources by analyzing, reengineering, developing, and implementing common IRM processes and functionality across business programs, and in conjunction with Government-wide initiatives. Our EA provides agency-wide planning information that we use to guide the acquisition, use and 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, and IRM transitioning.

NARA's Principles of Information Resources Management (OMB Requirement DXXA)
At NARA, our Executive for Information Services and CIO works under the mandates of laws, regulations, executive orders, OMB directives, and NARA internal policies - and is empowered to guide, lead, and govern NARA's IT investment portfolio. Our CIO's roles and responsibilities have been outlined in the following documents:

- NARA 101 – *Organization and Delegation of Authority Manual*;
- NARA 812 – *Enterprise Architecture*
- NARA 801 – *Capital Planning and Investment Control*;
- NARA 805 – *Systems Development Lifecycle;*
- Charter – *Information Systems Steering Committee (ISSC)*;
- Charter – *Architecture Review Board*;

NARA's strategic goals provide the basis from which we develop and embrace a set of IRM strategic goals – goals that guide NARA's IRM methods and practices as we develop our EA, and as we acquire IT components and services. These concepts are rationalized as a set of *Principles* in our EA and are founded on our architectural values of *simplifying* business processes and plans, *satisfying* user needs, *standardizing* commodity IT and software development approaches and institutionalizing standard processes for acquiring them, and *securing* our systems and data. The Principles are fundamental philosophies that express how NARA plans for, acquires, deploys, uses, and manages IRM resources as an enterprise: that is, how we will implement fully functional, secure, enterprise-level information systems that meet the needs of the business. The EA Principles state that we will:

- Maintain and update an Enterprise Architecture in alignment with the agency's strategic goals and business strategy;
- Thoroughly understand and evaluate our business processes before automating them;
- Design and build enterprise-level IT systems that address customer needs;
- Ensure that the IT infrastructure is available, regardless of a customer's location;
- Deploy IT capabilities in six- to nine-month increments;
- Manage data as a valuable asset that is critical to the operation of the agency;
- Manage the Total Cost of Ownership (TCO) for IRM Initiatives;
- Use Shared Services whenever practical;
- Use "as-a-service" for Commodity IT 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;

> Identify and 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.

The CIO authorities, as outlined in OMB's M-11-29, together with our EA principles will increase our return on IRM investments, accelerate the realization of our business strategies, and ensure alignment with NARA's Strategic Goals.

IRM Strategies
NARA has identified eight key strategies for effective Information Resources Management that we must address. Addressing these strategies will better enable us to fulfill our mission, meet our strategic goals, and satisfy business needs, and meet customer expectations. The eight strategies are listed below. Each of these strategies is further addressed in subsequent sections of this plan.

IRM STRATEGIES

(1) *Mission Alignment* – **Align all IRM activities with NARA's business strategy, agency performance targets, and all applicable government-wide programs.**

(2) *Work Force* – **Develop and nurture NARA staff to lead and support our mission.**

(3) *Customer Service* – **Develop and enhance enterprise-wide customer service programs through surveys and analytics**

(4) *Enterprise Architecture* – **Develop enterprise-wide IRM plans and guidance as necessary to support our business programs.**

(5) *IRM Process Integration* – **Improve the management and execution of agency programs by better integrating our IRM policies and processes.**

(6) *Risk Management and Information Assurance* – **Manage risk from an enterprise perspective, address information assurance needs within our business processes, and maintain an IT Security Program to assure the security and privacy of NARA's information assets.**

(7) *IRM Governance* – **Maintain IRM governance committees to oversee all IRM activities and assure conformance with business needs, EA guidance, and all applicable Federal laws, regulations, and guidelines.**

(8) *IT Infrastructure Support* – **Engineer, maintain, and operate a robust IT infrastructure.**

IRM Strategy 1: Mission Alignment

Align all IRM activities with NARA's business strategy, agency performance targets, and applicable government-wide programs.

Overview

It is imperative that we derive all IRM requirements from NARA's strategic goals and business strategy. To accomplish this, we develop and maintain a comprehensive *Business Architecture*.[2]

The content of the Business Architecture is expressed in business terms and is owned and managed by the business. The Business Architecture specifies our business goals and performance objectives, the products and services we currently provide, what additional products and services we desire to provide in the future, how we expect to leverage technology and information systems, how we identify and manage business risk, and how we prioritize and sequence changes to our business processes and services.

The Business Architecture also considers factors such as the timing and prioritization of business change, legal and regulatory restrictions, and rules of operation. The goal of the Business Architecture is to define and document the near-term and strategic intent of the agency to a level of detail that helps us: (a) plan and manage program initiatives and their integration, (b) define and launch IT system acquisitions in alignment with business needs, and (c) guide the implementation and integration of business and technology change.

Strategic Alignment

NARA recently promulgated a new Strategic Plan for FY2014 – FY2018. This will necessitate that the Strategic IRM Plan undergo a significant revision in the second half of FY2014, in accordance with NARA's revised goals and objectives. The table below shows how NARA's current portfolio of IRM initiatives aligns with the initiatives described in the updated Strategic Plan.

IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives	
Goals, Objectives, Initiatives	**Supporting IRM Activities**
Goal 1: Make Access Happen	
• *Objective 1: Make all records available to the public in digital form to ensure that anyone can explore, discover, and learn from NARA holdings*	

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[2] The *Business Architecture* is documented as part of the *National Archives and Records Administration Enterprise Architecture*.

IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives

Goals, Objectives, Initiatives	Supporting IRM Activities
o Initiative 1: Describe all holdings online to make them easy to use and provide archival context.	• Online Public Access (OPA) • Description and Authority Services (DAS) • Textual Processing: Reduce Backlog
o Initiative 2: Digitize all analog archival records to make them available online.	• Textual Processing: Reduce Backlog • Enterprise Identity Management (EIM) • Digitization: Expand • Archives.gov to Cloud
o Initiative 3: Accelerate processing of analog and digital records to quickly make our records available to the public. This solution is consistent with the Digital Processing Environment (DPE) outlined in the FY 2014 President's Budget submission.	• DPE • Digitization: Expand • NDC: Implement • Evaluate NARA's Records Management (RM) Programs • Federal Records Center Program (FRCP): eServices • Enterprise Storage Management Strategy
Goal 2: Connect With Customers	
• *Objective 1: Improve internal and external customer engagement to cultivate and sustain public participation*	
o Initiative 1: Integrate customer service activities to more proactively respond to and effectively understand our customer needs.	• Central Registry System
o Initiative 2: Expand our use of public participation and crowd-sourcing tools to improve public access and engagement.	• Collaboration Initiatives • Unified Communications (UC) Strategy
o Initiative 3: Create a unified national outreach program (exhibitions, educational, and public programming) that engages diverse audiences in learning about government records and inspires them to more actively participate in America's democratic process.	• To Be Identified (TBI)
o Initiative 4: Develop a virtual regulatory environment to increase transparency and	• Federal Register Initiatives

IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives	
Goals, Objectives, Initiatives	**Supporting IRM Activities**
expand public participation in the Federal rule-making process.	
Goal 3: Maximize NARA's Value to the Nation	
• *Objective 1: Reform and modernize records management policies and practices within the Federal Government to effectively support the transition to a digital government*	
o Initiative 1: Establish requirements for Federal agencies to manage all permanent electronic records in an electronic format to support the transition to a digital government.	• TBI
o Initiative 2: Stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities.	• TBI
• *Objective 2: Drive public and commercial use and re-use of government records to create measurable economic activity*	
o Initiative 1: Provide direct access to record data in machine-readable forms, to allow efficient use of the information in our holdings.	• Digitization: Expand • OPA • Web Application Programming Interfaces (APIs) • Federal Register: Increase publishing to Data.gov
Goal 4: Build Our Future Through Our People	
• *Objective 1: Create and sustain a culture of empowerment, openness, and inclusion*	
o Initiative 1: Foster an employee development culture to promote learning and leadership by all.	• Agency Transformation: Organizational Restructuring
o Initiative 2: Cultivate a robust, well-connected internal communications environment to support informed actions at all levels.	• Agency Transformation: Collaboration & Feedback Tools • Collaboration Initiatives • UC Strategy • Internal Communications Network (ICN)

IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives	
Goals, Objectives, Initiatives	**Supporting IRM Activities**
	Mobile
• *Objective 2: Ensure we have a diverse workforce with the skills necessary to fulfill our mission*	
Initiative 1: Implement innovative practices and tools to recruit, sustain, and retain a 21st Century workforce.	• Strategic Human Capital Plan (SHCP): Implement Plan
Initiative 2: Create new career paths for NARA employees to ensure that we have the necessary competencies and skills in a digital environment.	• SHCP: Implement Plan • Evaluate Records Management Programs: Modernize RM Training

The following table identifies and briefly describes the business activities that we are managing to achieve our business goals, and shows the IRM investments that support those business activities.[3]

Table 1. NARA Business Activities

Business Activity	Description	Supporting IRM Investments
Strategic Planning	**Strategic Plan: Development of a New Plan** In FY 2014, NARA will execute the new Strategic Plan that covers the years FY 2014 to FY 2018. **Annual Performance Plan (APP) Metrics: Refine for 2014** NARA will develop our APP metrics for FY 2015 to reflect the new Strategic Plan, changing budget levels, and the deployment of new technological capabilities.	• Currently a Business Office operating budget investment
Agency Transformation	NARA will evaluate the effectiveness of the Transformation and adjust activities, as needed, to achieve Transformation goals.	• Currently a Business Office operating budget investment

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[3] More detailed information regarding the business activities is documented in the *Business Transformation Plan.*

Business Activity	Description	Supporting IRM Investments
Enterprise Risk Management Plan	NARA will review and revise its Enterprise Governance, Risk, and Compliance (EGRC) program, policy, and processes in response to new or revised regulations and guidance concerning risk management and internal control in the Federal government; and based on feedback and lessons learned from carrying out the program in the prior year.	• Currently a Business Office operating budget investment
Electronic Records Archives (ERA)	NARA will prepare to support FOIA requests for the George W. Bush (Bush 43) Presidency through the Executive Office of the President (EOP) instance of ERA. EOP to OPA integration should be in place with only refinements remaining. Improvements to ERA Base will continue. The cloud-based environment for development and test will scale as necessary as corrective and adaptive tasks are defined. Data center consolidation will continue with the goal of seeing continued decreases in electricity usage.	• ERA • EA program • IT Infrastructure
Description and Authority Services	DAS will interface with the Holdings Management System (HMS) and ERA to enable the review and approval of preliminary unprocessed records descriptions by importing preliminary description data exported from HMS and ERA in Extensible Markup Language (XML) format. HMS, ERA, and Archives and Records Center Information System (ARCIS) will have the option of subscribing to the authority services provided by the DAS or receiving updates in XML and/or Genericode format.	• DAS/Archival Research Catalog (ARC)
Federal Records Center Program	NARA will seek continuous improvement in FRCP operations under the guidance of the Process Reengineering team (PRE Team). FRCP will continue deploying the ARCIS customer portal and will begin	• ARCIS

Business Activity	Description	Supporting IRM Investments
	developing a pricing strategy for portal versus non-portal transactions.	
Continuity of Operations Program (COOP)	The COOP program will complete a base-line business impact assessment (BIA) in the format required by the Federal Continuity Directive 2 (FCD-2). It will also refine Continuity and Reconstitution plans and test them in conjunction with an external continuity exercise evaluated by the Federal Emergency Management Agency (FEMA). The COOP program will undertake activities to sustain the readiness achieved in prior years. This includes continuous improvement of a fully developed Test, Training and Exercise Program; a Life Cycle Management Program for COOP equipment and resources; and Programs for Employee Readiness, Personal Preparedness and Family Support. It will also undertake activities to comply with revisions to the FCDs which define its responsibilities.	• COOP • IT Infrastructure
Textual Processing	NARA units having less than 95% of their total holdings processed will process at least 10 percent of their unprocessed entries in HMS to the point where researchers can have efficient access to them. Units that have processed 95% or more of their total holdings will process at least 90% of their unprocessed entries.	• HMS
Digitization	NARA will continue its efforts to digitize its most popular holdings.	• Currently a Business Office operating budget investment
National Declassification Center (NDC)	NARA will continue to improve interagency declassification processes, to include continued efforts to standardize data collection across government declassification programs, and build efficient interagency declassification	• Archival Declassification Review and Redaction System (ADRRES) / Unclassified Redaction and Tracking System (URTS)

Business Activity	Description	Supporting IRM Investments
	review and training processes within the NDC.	
Office of Government Information Services (OGIS)	**OGIS: Review of FOIA Policies, Procedures, and Compliance by Agency** OGIS will continue to analyze Federal agencies' annual FOIA reports and Chief FOIA Officer reports to develop policies and best administrative practices, to determine agency FOIA compliance, and to make recommendations to Congress and to the President to improve the FOIA process. OGIS will identify new ways to review agency FOIA compliance. **OGIS: Mediation Services** OGIS will continue to solicit and receive complaints and questions from the public and from Administrative Agencies regarding the administration of the FOIA, and will use this information to improve processes used by OGIS, Federal agencies and the general public. OGIS will continue to offer mediation services to resolve disputes and will publish OGIS's final actions in cases. **OGIS: Training** OGIS will continue to provide dispute resolution skills training to Federal FOIA professionals. OGIS also will educate the public regarding its mission and the FOIA process, and will continue to provide "train the trainer" programs. **OGIS: Advisory Opinions** In appropriate cases, OGIS will issue advisory opinions and will publish its final actions in cases. **OGIS: Compliance Policies** OGIS will continue to work with the requester community and with Federal agencies to develop FOIA administrative best practices, and will publish updated	• Currently a Business Office operating budget investment

Business Activity	Description	Supporting IRM Investments
	best practices. **OGIS: Mediation Services** OGIS will continue to refine policies for handling its cases and for identifying issues best suited for mediation, with a view to preventing litigation. **OGIS: Advisory Opinions** OGIS will refine and update procedures for identifying issues to address in advisory opinions.	
Evaluate Records Management Programs	**Evaluate Records Management Programs: Improve RM Oversight** We will continue to manage the RM inspection and agency self-assessment programs and make appropriate improvements, as needed, focusing on how to conduct more inspection activities. **Evaluate Records Management Programs: Modernize RM Training** We will finish converting all of our records management training classes to an online delivery format by the end of FY 2014. **Evaluate Records Management Programs: Capture Permanent Records** We will continue to develop the first uniformly understood strategy for capturing (identifying, prioritizing, and accessioning) permanent records in all media. **Evaluate Records Management Programs: Redesign Scheduling Process** We will implement Automated Disposition Authority Processing Tool (ADAPT) for the appraisal and scheduling workflow.	• M-12-18 Managing Government Records Directive • Currently a Business Office operating budget investment

Business Activity	Description	Supporting IRM Investments
	We will continue to redesign the records scheduling and appraisal process by December 31, 2015.	
FRCP e-Services	**FRCP Electronic Records Services: Expand Electronic Records Services** FRCP is refining our document conversion capabilities and expanding our portfolio of electronic records management services to meet Federal agency needs. Through the Temporary Records Information Portal (TRIP) the FRCP provides storage, access, management, and disposition services for Federal agency-owned electronic records. **FRCP Electronic Records Services: Feasibility Study** In support of the Managing Government Records Directive, NARA will begin a feasibility study to determine whether it is practical to offer electronic storage and management services through an expanded use of cloud computing resources.	• FRCP Document Conversion Project
Preservation	**HMS: Deploy New Features** HMS will continue to develop and begin to deploy any high-priority needs identified in FY 2014 - FY 2017.	• HMS
Federal Register	**Federal Register: Begin Upgraded Electronic Editing and Publishing System (eDOCS) Implementation** NARA will begin implementation of the upgraded eDOCS. **Federal Register: Stronger Integration of Regulations.gov with FR 2.0** NARA will work with U.S. Environmental Protection Agency (EPA) and the Regulations.gov team to develop stronger integration with FR 2.0 to better	• eDOCS

Business Activity	Description	Supporting IRM Investments
	facilitate public participation in federal rulemaking.	
Holdings Protection (HP)	**HP: Holdings Protection Improvement** The HP initiative will continue its work to improve the protection of NARA's archival holdings and records, and share best practices with other US Government agencies and the archival community generally.	• HMS • Central Registry System
Strategic Human Capital Plan	**SHCP: Implement Plan** NARA will continue to implement SHCP, established in FY 2009. NARA will use this plan to develop implementation plans focused on actions and strategies to support achievement of strategic human capital goals. The strategic human capital plan will eventually be integrated into the agency's strategic plan and no longer be a separate document, but the elements of the strategic human capital plan and its goals will still exist. For purposes of this documents, when the SHCP is mentioned it should be considered as the strategic human capital "plan" within the agency's strategic plan.	• Currently a Business Office operating budget investment
Collaboration Activities	**Collaboration: Activities - Execution** NARA will continue to explore emerging technologies that support remote access and collaborative activities supporting Transformation.	• Currently a Business Office operating budget investment
Locations	**Locations: Provide Appropriate Space** NARA will undertake several related actions to ensure appropriate storage of its holdings. NARA will perform the work in accordance with the operating capital plans for storage and facilities, as outlined in the APP's Long Range Performance Target 2.5. This will include:	• Currently a Business Office operating budget investment

Business Activity	Description	Supporting IRM Investments
	George W. Bush Library: The construction needed to ensure that the facility meets NARA's architectural and design standards for Presidential libraries will be completed.	
	Franklin D. Roosevelt Library: NARA will continue Phase 2 renovations to the building.	
	Washington National Records Center: NARA will continue planning to lease a new Build-To-Suit facility in the Washington, DC, area, to replace the current Washington National Records Center building.	
	Denver: NARA will complete the move to the new Federal Records Center.	
	Fort Worth: NARA will begin construction of a 2,700-square-foot addition to the Fort Worth Records Center to reconfigure the space for improvements to operations and to provide appropriate space for archival processing.	
	Kansas City, MO: A new underground build-to-suit temporary records storage facility was leased through U.S. General Services Administration (GSA) in 2012 and the first temporary records storage bay was completed in late November 2012. A second temporary records storage bay was completed in March 2013. Currently there are options in the lease for two additional temporary records storage bays. Options in the original lease for 4 additional temporary records storage bays are being renegotiated between GSA and the developer to allow for the construction of two new archival storage bays with options for an additional six archival storage bays.	
	Work continues on the National Archives Experience, Phase 2 project at	

Business Activity	Description	Supporting IRM Investments
	the Archives I facility. Sequence 1, the reconfiguration of the ground floor of the Research complex was completed in 2012. Sequence 2 is nearing completion with improvements to the monumental stairs between tier 5 and the basement. Work on the Visitor Orientation Plaza (Sequence 3) began in December 2012 following the opening of the new retail store at its new location. The final increment, Sequence 4, the new exhibit gallery is currently being constructed.	
	Major Presidential Library projects related to Building Condition Reported deficiencies include finishing elevator projects at the Gerald R. Ford Library and Gerald R. Ford Museum, elevator replacements at the Eisenhower Library, Heating, Ventilation, and Air Conditioning (HVAC) renovations at the Eisenhower Visitor Center and the Place of Meditation, storefront renovations to the Visitors Center at the Eisenhower Center, completion of paving repairs at the Eisenhower Center, a HVAC renovation of the Hoover Library, completion of the replacement of the emergency generator at the Jimmy Carter Library, roof repairs at the Carter Library, an Americans with Disabilities Act (ADA) restroom project at the Carter Library, structural repairs at the Carter Library, replacement of a roof at the Nixon Library, replacement of the fire alarm components at the Reagan Library , duct cleaning and lightning protection repairs at the Truman Library and repairs to the glass curtain wall at the George H. W. Bush Library.	
	Scheduled to be performed in FY 2013 at Archives II is the replacement of the "building 3" roof.	

Business Transition Strategy

NARA maintains a *Business Transformation Plan* to describe the strategy by which we will transition from the current state of business operations to the new business operating environment we will need to meet the goals of our Strategic Plan.

Business change management needs in the areas of products, services, policies, distribution channels, customer interactions, organizational structures, and employee roles are identified, assessed, integrated, and documented via the development of our business architecture and our ongoing business transformation planning activities. The figure below provides an overview of the business transition strategy. Key IT activities are noted in the *Systems* section of the figure. The *Sequencing Plan* aligns business activities, system development activities, and IT infrastructure activities.[4]

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[4] See the *NARA Enterprise Architecture Sequencing Plan* section of the *National Archives and Records Administration Enterprise Architecture*.

Figure 1. Overview of the Business Transformation Plan Strategic Initiatives

Element	FY14 Q1	Q2	Q3	Q4	FY15 Q1	Q2	Q3	Q4	FY16 Q1	Q2	Q3	Q4	FY17 Q1	Q2	Q3	Q4

Key Work Activities
- Strategic Plan: Develop New Plan
- Strategic Plan: Implement New Plan
- Strategic Plan: Execute Strategic Plan (2014-2018)
- APP Metrics: Refine for FY2015
- APP Metrics: Refine for FY2016
- APP Metrics: Refine for FY2017
- APP Metrics: Refine for FY2018
- Transformation: Evaluation
- Electronic Records Archives (ERA): Operations & Maintenance and Adaptation
- Description & Authority Services (DAS): Production Rollout
- Digitization: Expand
- NDC: Implement
- Records Management Programs (RM): a) Improve Oversight, b) Modernize Training, c) Capture Permanent Records
- FRCP Electronic Records Services (eServices): Expand Electronic Records Services
- FRCP eServices: Feasibility Study
- Federal Register: a) Workflow Reviews, b) Digitization of FR Library, c) Online CFR Index, d) XML Downloads of Privacy Act Compilation Files
- Strategic Human Capital Initiative (SHCI): Integrate with NARA's Strategic Plan
- SHCI: Implement Plan
- Collaboration Activities: Execution

Policy
- Strategic Plan: Continuous Improvement
- NDC: Refine Policies & Procedures
- Federal Register: Eliminate Print Edition of the United States Government Manual
- SHCI: a) Continuous Improvement b) Accountability

Business Process
- ERA: Support FOIA Requests on Bush 43 Records
- Digitization: Process Flows
- NDC: Process Flows
- RM: Redesign Scheduling Process
- FRCP eServices: a) Develop SOPs b) Pricing
- FRCP eServices: Customer Requirements
- FRCP eServices: Expanding Functionality
- SHCI: Reviews

Data
- ERA: Legacy Data Migration
- DAS: EAC-CPF
- NDC: Data Flows
- FRCP eServices: a) Data Model & Architecture b) System Performance
- FRCP eServices: System Integration
- FRCP eServices: Support Accessioning
- Federal Register: Training Tools

Systems
- PMRS: Support 2015 APP Metrics
- PMRS: Support 2016 APP Metrics
- PMRS: Support 2017 APP Metrics
- PMRS: Support 2018 APP Metrics
- Transformation: Collaboration & Feedback Tools
- ERA: Systems and Instances
- ERA: Digital Processing Environment
- DAS: Production Rollout
- DAS: Integration
- Digitization: Infrastructure
- NDC: Infrastructure
- FRCP eServices: TRIP
- FRCP eServices: Transition to Enterprise Management System
- FRCP eServices: eFRC
- Federal Register: a) Begin Upgraded eDOCS Implementation b) Stronger Integration of Regulations.gov w/ FR 2.0
- Federal Register: a) eDOCS Upgrade into Production b) Create Point-in-Time eCFR System c) GPO Composition Replacement System: Web-First Approach
- Federal Register: USGM Mobile App
- SHCI: System Considerations
- SHCI: HR Systems Monitoring
- Collaboration: Tools

Organizational Change
- Transformation: Organizational Restructuring
- ERA: Program Office change
- NDC: Change Management
- FRCP eServices: Skills
- Federal Register: Hire Director, Publication and Services Division
- Federal Register: Plan and Finalize Logistics for Move to GPO Facilities
- Federal Register: Move Workforce to GPO Facilities
- SHCI: Strategic Alignment
- Collaboration: Support Transformation

IRM Strategy 2: Work Force

Develop and nurture NARA staff to lead and support our mission.

Overview

To successfully achieve our mission, NARA depends greatly in its staff -- our number one asset. Our agency-wide workforce planning process provides our leadership teams with the opportunity to identify the dynamic nature of work in the digital era. Our Executive for Information Service / CIO constantly evaluates and identifies how IT work is changing, which areas to prioritize and divest and how the changes map to workforce needs across the organization. With this map, the CIO can prioritize resources and make data-driven staffing decisions from an enterprise-wide perspective.

Our approach to IT human capital planning follows the Office of Personnel Management's (OPM's) Human Resources (HR) workforce planning process to a workforce plan that:

- Identifies IT related occupations and competencies that are essential to achieving strategic goals;

- Analyzes current strengths and weaknesses regarding IT-related occupations and competencies;

- Identifies competency gaps and deficiencies, including current and future competency needs and losses due to attrition; and

- Systematically defines the size of the IT workforce needed to meet agency goals.

The workforce planning process is divided into two phases.

In Phase 1, the HR workforce analysis examines the number and nature of current positions in the workforce, and projects how that number could change over time due to turnover, new or emerging work priorities, or changes in IT programs. The CIO works with the Chief Human Capital Officer (CHCO) to prepare IT related workforce profiles to assess staffing lists for each office, analyze staffing needs, and to develop hiring projections.

In Phase 2, the CIO in conjunction with the CHCO conducts a gap analysis to assess how to best fill the IT competency's short-, mid-, and long-term gaps - and to identify needed competency levels of the current workforce needed to accomplish organizational goals. Differences between the desired and current proficiency levels were identified as competency gaps. These gaps then become the focus of an action plan to identify and implement strategies that will build the relevant IT skills and capacity needed for organizational success. (OMB Requirement FXXA)

Accessibility

(OMB Requirement IXXA) Because our agency values and promotes a work culture where individuals with all abilities can work, learn, and grow, we created a Diversity and Inclusion (D&I) Division to oversee and lead our D&I Program. This program focuses on creating a culture of diversity and inclusion by establishing goals, strategies, and actions to ensure our ability to create and sustain a diverse culture, and enable individuals to reach their fullest potentials.

Providing access to records in our holdings is one of our agency's strategic goals. This means we must ensure that accessibility considerations are integrated into our processes for developing, procuring, maintaining, and using Information Technology. Our accessibility program is integrated in every aspect of developing, procuring maintaining, and using IT. (OMB Requirement IXXB) Following are some examples of how we integrate accessibility considerations into our process and programs:

- **Capital Planning and Investment Control.** In accordance with NARA Directive 801 - *Capital Planning and Investment Control*, the Office of Information Services optimizes the use of limited IT resources, addresses NARA's strategic needs, and complies with applicable laws and guidance, such as Section 508 of the *Rehabilitation Act* (29 U.S.C. 794d). NARA 801 requires the completion of a business case analysis for each new investment, and ensures that all requirements are Section 508 compliant; these findings are captured as part of the CPIC documentation on NARA-Form 8014*, NARA Capital Planning (CPIC) Investment Business Case*.

- **NARA Acquisition Division.** NARA's Acquisition Division requires that any IT hardware and software purchase includes an IT Checklist to ensures that the purchase is Section 508 compliant- and provide an explanation if it does not comply.

- **NARA Directive 805, System Development Lifecycle Guidance**. All new IT systems acquired by NARA must conform to the SDLC Guidance, which includes a Requirements Development phase where Section 508 requirements are identified and maintained for testing traceability.

- **NARA Forms Management Office.** The Forms Management Office reviews new and revised forms to ensure that they are Section 508 compliant.

- **NARA Web and Social Media Group.** The Web and Social Media Group reviews all new and updated web pages and requires screen readable content.

- **NARA Office of Equal Employment Opportunity (NEEO).** NEEO uses NARA Directive 303 - *Processing Reasonable Accommodation Requests for Employees and Applicants with Disabilities*, to support reasonable accommodation requests for NARA employees and for applicants for NARA positions. This policy was established as a result of Executive Order 13164. Section 504 of *the Rehabilitation Act of 1973* is also applicable. For example, NARA 303 allows a

disabled employee (or someone applying for a government position at NARA) to submit a reasonable accommodation request through NEEO.

- **NARA Computer/Electronic Accommodations Program (CAP)**. For IT-related requests, NEEO and the NARA Section 508 Coordinator work together to obtain the needed hardware or desktop software by using CAP resources.

- **NARA Strategy Division, Division of Communications Marketing.** NARA's Strategy Division ensures that, whenever possible, NARA Webinars and Internet web broadcasted events provide a picture-in-picture view of an interpreter using American Sign Language to interpret the presentation for those with hearing impairments.

- **NARA Learning and Development Division.** The Learning and Development Division ensures that all e-learning content delivered to NARA staff via the Learning Management System (LMS) is Section 508 compliant. All NARA e-learning content leverages audio, video, and/or text to ensure access for all employees with disabilities. The Learning and Development Division manages this process by working with NARA course owners, subject matter experts, and Instructional System Design specialists to ensure all courses in development conform to the 508 standards.

- **NARA Learning Management System.** The majority of NARA's learning and development activities occur within LMS. In cases where training in person is required, Learning and Development Division staff works with course developers to leverage audio, video, sign language services, and/or text to ensure access to all course content and materials.

(OMB Requirement IXXC) At NARA, we are well underway in support of Section 508 of the Workforce Investment Act of 1998. Our Section 508 is implemented agency-wide to support our employees and our customer – the American People, to use information and data currently in our holdings. We continue to build our workforce skills to support an environment where Section 508 requirements and responsibilities are well understood, communicated, implemented, and enforced. Our staff regularly attends training to build skills and to increase their understanding of Section 508 and accessibility requirements. The following are highlights of how we implement Section 508 requirements at our agency:

- **NARA Section 508 Coordinator** (and the Backup Section 508 Coordinator) attend and participate in: Section 508 Coordinators' bi-monthly meetings and List Serve group; The Accessible Electronic Documents Community of Practice (AED COP) pilot initiative of the CIO Council Accessibility Committee; and The Computer/Electronic Accommodations Program (CAP) vendor demonstrations.

- **NARA Acquisitions Division staff** attend yearly on-line training provided via the Section 508.gov website.

- **NARA Web and Social Media group** attend ongoing training on accessibility and attend the Section 508 Coordinators' meetings.

- **NARA Learning and Development Division** has oversight of LMS and the courses contained within the LMS. Learning and Development Division staff currently works with NARA course content developers to ensure all courses hosted on the LMS are 508 compliant. A final quality review is conducted by Learning and Development Division staff before a course "is launched" to ensure compliance with federal rules, regulations, and guidance.

- **NEEO and the Diversity and Inclusion Division.** In developing the NARA workforce to recognize their roles, responsibilities, and understanding of 508 Compliance, NEEO and the Diversity and Inclusion Division lead efforts to communicate and educate staff on disabilities and accesses in the workplace.

IRM Strategy 3: Customer Service

Develop and enhance enterprise-wide customer service programs through surveys and analytics.

Overview

As the nation's records keeper, NARA serves the American people by safeguarding and preserving the records of our Government, ensuring that the people can discover, use and learn from this documentary heritage. As stated in NARA's Strategic Goal 2 *"Connect with Customers",* this IRM Strategy supports our most important customer – the American people.

Customer Service Strategy

NARA obtains customer feedback through periodic surveys and user focus groups to understand the effectiveness of two major public facing systems – ERA and OPA – and through the NARA web site, *Archives.gov.*

- **Electronic Records Archives** - The online survey of ERA solicits feedback from a number of different ERA areas. ERA users are asked to rank their levels of satisfaction in eleven functional and user support areas from "very satisfied" to "very unsatisfied." Respondents are given the opportunity to elaborate on why they gave an element a certain rating. Also with this survey, we solicit customer comments regarding the negative and positive aspects of the system and their suggestions for improvement or enhancement. With feedback from the survey, we use automated analytical tools to plot the numerical results against the established baseline to identify areas that need improvement.

- **Online Public Access** - As part of NARA's records life cycle systems, OPA provides a central integrated source of descriptive information about NARA's archival holdings, and facilitates the retention of and access to archival information produced through descriptive and reference work processes. Through customer feedback and internal analyses, NARA continually enhances and improves OPA.

- **Archives.gov** - This is NARA's main public-facing web site, and is one of the primary vehicles for supporting our agency mission of *"…ensuring continued access to the essential documentation of the rights of American citizens and the actions of their government."* The web site provides access to information about NARA and to its online holdings 24-hours a day, 7-days a week, 365-days a year. Archives.gov is designed to be easy to use, readily accessible, current, secure, supportive of mobile computing, and compliant with legal requirements and Government guidelines.

Our customers will find ever-greater electronic access to our services, resources, and informational products. We will continue to expand digital-access opportunities to our resources by:

- Conducting and analyzing online user's satisfaction surveys;
- Improving online user's experience as practicable;
- Adding more information about our records holdings to our online National Archives Catalog;
- Increasing the number of online educational materials that support classroom use of historical data and documents in accordance with national curriculum standards;
- Developing more online exhibits to reflect the rich variety of our archival and Presidential materials holdings;
- Providing more online opportunities to request information, services, and products;
- Increasing online access to electronic archival records in our holdings; and
- Digitizing archival materials of considerable interest to the public.

IRM Strategy 4: Enterprise Architecture

Develop enterprise-wide IRM plans and guidance as necessary to support our business programs.

 Overview

We recognize that the practice of developing, implementing, and managing an Enterprise Architecture is critical to accomplishing organizational goals. At NARA, we use our EA to provide a clear and comprehensive picture, in both business and technology terms, of how we operate today, how we plan to operate in the future, and how we plan to transition to the future state. As such, our EA is critical to leveraging information technology in support of our business objectives, particularly large business transformation initiatives like ERA. We use our EA process to help us recognize and balance the trade-offs between satisfying our immediate operational needs, and positioning ourselves to achieve our long-term strategic goals.

Enterprise Architecture is a joint business / IT management process that helps us plan the design, development, acquisition, and implementation of the IRM capabilities that we require. The EA process produces a set of work products (i.e., the EA) that document the strategies, plans, and guidelines by which we will acquire, integrate, secure, deploy, use, and manage IT components and IT services in support of our business objectives.
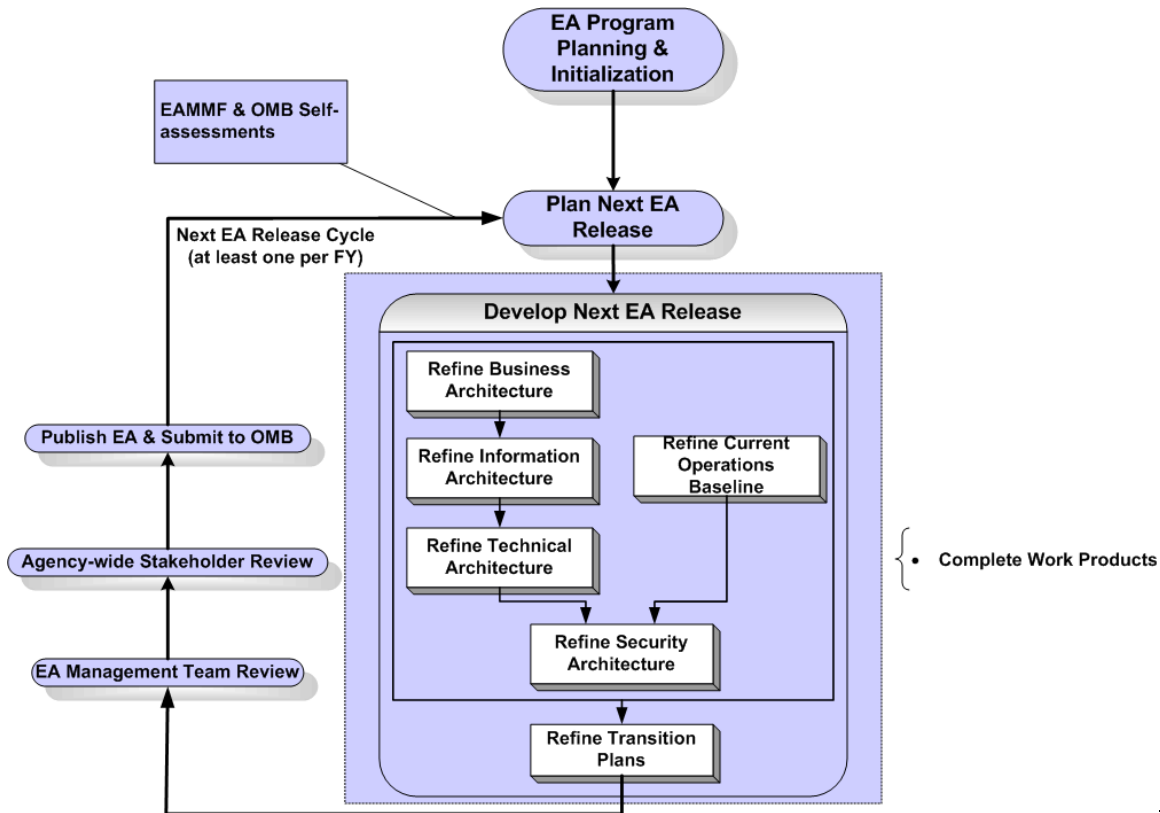
We define our EA process and EA work products by a formal methodology—the *Enterprise Architecture Planning and Development Methodology*—as summarized in the figure below. The goal of our EA process is to enable us to effectively leverage IT in support of our business needs and to better enable us to respond to changes in public policies, customer expectations, and business strategies. To accomplish this goal we use our EA to provide a comprehensive picture, from both business and technology perspectives, of how the agency operates today, how it plans to operate in the future, and how we plan to transition to its future state. As such, we use our EA to:

➢ Assert a core set of principles that help guide the management and use of IT within NARA;

➢ Provide a business architecture to help identify our business needs for IT capabilities and describe the sequence in which those capabilities should be deployed;

➢ Describe the information needs and flows of our business processes and services;

➢ Specify a modernized set of information systems and/or service components that are well-aligned with the business processes they support and the information resources they utilize;

➢ Specify a robust, standardized, shared, and well-managed technology infrastructure based upon industry standards;

➢ Integrate IRM processes to help optimize and reuse IT assets across the agency;

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and

➢ Identify IT sourcing strategies that optimize the use of in-house and outsourced IT resources in alignment with our core business competencies and strategic business needs.

Figure 2. Summary of the EA Methodology

The size, scope, and complexity of our IT projects; our evolving and changing business needs; and the dynamics of technology markets necessitate that the EA be developed iteratively. Our EA is continually refined and updated as the business needs for IT are clarified and as our business planning activities evolve and change.

EA Management Strategy

The EA work products we develop via our EA process are structured to provide planning information that is critical to IT acquisitions and the overall execution of our business activities. The general types of information provided in our EA include:

➢ Business planning information as represented by the *Business Concept of Operations*, *Performance Architecture*, *Business Process Hierarchy*, and *Business Process Definitions and Flows;*

> ➢ Technology planning information as represented by the *Data Architecture*, *Systems Architecture*, *Application Architecture*, *Operations Architecture*, and *IT Security Architecture*;

> ➢ Transition planning information as represented by the *Business Transformation Plan,* the *Sequencing Plan,* and the *IT Infrastructure Segment Plan*; and

> ➢ Technical standards information as represented by the *Technical Reference Model* and the *Technology Standards Profile*.

Since EA is a key IRM strategy, we implement a program planning and program management approach with our EA program. We implement an annual program planning cycle that occurs after the OMB EA assessment each February. We maintain our *EA Program Plan* to identify, describe, and schedule the changes planned for EA work products in a given year.[5] Changes are always scheduled and prioritized based upon our business needs, and OMB guidance. We provide a complete update to and review of our EA at least annually, as prescribed by our EA methodology and in alignment OMB's EA assessment directives.

We recognize that clear and frequent communication is necessary to assure that our EA process provides value to the agency. To address our communications needs, we maintain an *EA Communications & Training Plan.*[6] This plan helps us better engage agency stakeholders in our EA process by:

> ➢ Identifying the EA information that is important to communicate to (and from) stakeholders via formalized communications;

> ➢ Identifying the communication liaisons between NARA program units and the EA program;

> ➢ Identifying EA program points of contact who can respond to requests or provide clarification on matters pertaining to the EA;

> ➢ Providing the schedule of major EA activities and milestones so that NARA stakeholders can appropriately engage in the agency's EA process; and

> ➢ Providing opportunities to train NARA management and staff on the agency's EA process, their respective roles in EA development, and the importance of EA to the agency, at all levels of the organization.

Numerous work products result from our EA process and they must be updated frequently to reflect the needs of our business. To help us control and manage changes to EA work products, we follow a set of Configuration Management (CM) procedures.[7] Enforcing these CM procedures ensures that our EA work products are well managed, and that all approved changes are appropriately implemented and reviewed.

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[5] See the *Enterprise Architecture Program Plan* for details on the current EA update cycle.

[6] See the *EA Communications & Training Plan* for details on the current EA communication approach.

[7] See the *NARA Enterprise Architecture Configuration Management Procedures* for details.

IRM Strategy 5: IRM Process Integration

Improve the management and execution of agency programs by better integrating our IRM policies and processes.

Overview

There are numerous IRM processes that we implement to facilitate organizational change and improve organizational effectiveness. Ten major IRM processes are mandated for Federal agencies and include: Strategic Planning, Budgeting, CPIC, EA, Performance Management, Program Management, Project Management, Records Management, Information Assurance (or IT Security), and the SDLC. Each of these major management processes will typically:

➢ Address either agency planning activities, or project execution activities;
➢ Focus on either financial management, business management, program / project management, or technology management; and
➢ Have a scope and reach that is either agency-wide or project specific.

We recognize that the effectiveness of these processes is dependent upon how well we can implement, integrate, and govern them to achieve our business objectives. To that end we maintain policy directives and guidelines that define the scope of the processes and the procedures by which they are enforced. The table below describes the intent of these IRM processes and identifies the corresponding OMB or NARA policy directives that mandate their adoption.

Table 2. IRM Processes and Corresponding NARA/OMB Policy Directives

IRM Process	Description	NARA (or OMB) Policy Directives
Strategic Planning	The Strategic Planning process is used to establish the mission, goals, business objectives, performance objectives, and operating philosophy of the organization. Strategic planning expresses (at a high level) how the business intends to evolve its operational capabilities and improve its service delivery over the long term.	• OMB Circular A-11
Budgeting	The budgeting process is used to develop and submit the agency's budget to OMB for inclusion in the President's budget and Congressional approval. The budget reflects both the operating budget of the Business Offices and strategic budget initiatives (SBIs) for new business programs.	• OMB Circular A-11

IRM Process	Description	NARA (or OMB) Policy Directives
CPIC	The CPIC process focuses on evaluating and assuring the return on investment (ROI) of any proposed IRM initiative. The CPIC process assesses the viability and risks of potential projects based upon the projects' business cases and preliminary concepts of operations. CPIC helps the organization determine how best to prioritize IRM investments and allocate funding to business programs. CPIC also monitors and evaluates whether a program / project achieves its ROI objectives when deployed and if so, how quickly those ROI objectives are achieved.	• OMB Circular A-11 • OMB Circular A-130 • NARA 801
EA	The EA process focuses on integrating technology planning with business planning. EA addresses IRM planning and process integration from an organization-wide perspective. The EA process is used to: (a) determine the agency's business requirements for information systems, (b) assess how best to partition IT systems across the enterprise to assure interoperability, reuse, and standardization, (c) minimize data redundancy and interfaces, and (d) plan how to integrate and deploy information systems and technology to the business. EA is only effective when driven by comprehensive business planning as a component part of the architecture (i.e., the business architecture).	• OMB Circular A-130 • NARA 812
Performance Management	Performance management focuses on measuring how effectively the business is meeting its strategic and operational goals and objectives. Performance management looks at deployed business processes and services in terms of cost, efficiency, productivity, quality, and outcomes. Performance management differs from CPIC in that it focuses on the effectiveness of an organization's deployed business processes and services as opposed to whether or not a particular program / project achieves its expected ROI. Performance management also differs from Program Management in that it focuses on the effectiveness of the *outcomes from* programs rather than on the effectiveness of the *management of* the programs. Performance management information is integrated with and captured by projects that are deployed and operational that is, once the outcomes from a project	• OMB Circular A-130 • OMB Circular A-11

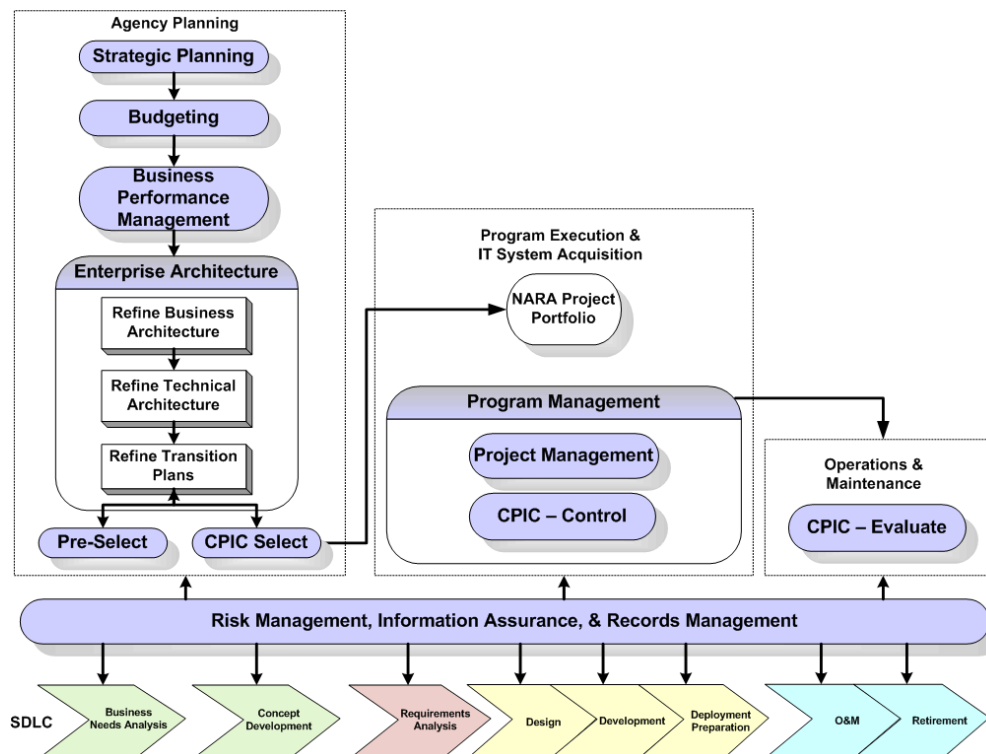| IRM Process	Description	NARA (or OMB) Policy Directives
	can be measured and assessed.	
Program Management	Program Management (sometimes called *portfolio management*) focuses on effectively integrating all activities in the organization's project portfolio. Program Management is execution-focused but from the perspective of understanding the schedules, resource needs, risks, costs, and dependencies across all projects in the organization rather than from the perspective of a specific project (which is handled by traditional *project management*).	• OMB Circular A-11 • NARA 801
Project Management	Project Management focuses on the effective execution of a single IT project in the areas of schedule, resource needs, risks, cost, and dependencies.	• OMB Circular A-11 • NARA 801 • NARA 810
Records Management	The Records Management process ensures that all NARA operating units schedule new records series, and write and review records management requirements in alignment with all Federal records management directives.	• OMB Circular A-130 • NARA 101 • General Records Schedules (GRS)
Information Assurance	The Information Assurance process establishes the IT Security Program and the IT Security Architecture to define how NARA will secure its IT assets. This process helps to ensure the confidentiality, integrity, and availability of NARA's information assets, and provides governance, program management, security services, and compliance auditing for all IT security activities across the agency.	• OMB Circular A-130 • NARA 804 • National Institute of Standards and Technology (NIST) Guidelines
SDLC	The SDLC process focuses on IT acquisition / development activities for an individual project or system. The SDLC process prescribes the steps, deliverables, and milestone exit criteria that an IT system project must satisfy as part of building (or acquiring) an information system, deploying it, and operating it. The activities guided by the SDLC process are typically a subset of the overall project management scope of a business initiative and are applicable when that initiative needs to integrate IT capabilities or develop information systems.	• OMB Circular A-11 • NARA 805

IRM Process Integration Strategy

Our strategy is threefold:

(1) Use the processes in the proper sequence;
(2) Assure that all of these processes are appropriately cross referenced to one another; and
(3) Effectively govern the processes to make sure that they are implemented as per our policies and guidelines.

Although these IRM management processes are interrelated, there is an optimum order in which they should proceed. The figure below provides a simplified overview of the sequencing of these processes.

Figure 3. Overview of IRM Process Sequencing

The basic premise behind our sequencing strategy is to ensure that enterprise planning precedes project execution, and business planning drives downstream IT system planning and IT project activities. It is important to note that information assurance and records management considerations are addressed across all IRM process areas.

A key part of our strategy is to use the EA process as the integrating IRM process for the agency. Business planning information is consolidated and refined via the Business

Architecture. This information is then assessed for technology requirements to determine our needs for IRM projects. Once projects are determined to have acceptable business cases via the CPIC process, they become part of the enterprise transition strategy, they are added to the agency project portfolio, and they can begin the SDLC and the IT acquisition process. The SDLC provides end-to-end guidelines by which projects plan, develop, implement, deploy, and maintain IT system capabilities. The IT Projects Group monitors project execution monthly during system development. If thresholds are exceeded for scope, cost, schedule or risk, an internal IT Project Technical Status (TechStat) review is conducted. The final phases of the SDLC help us transition IT systems into operations and ensures they are maintained throughout their useful lifecycle.

The final part of our strategy is to assure that all of our IRM policies and process guidelines are carefully cross-referenced to one another, and that they define key review criteria for milestone exit and approval by our governance committees.

IRM Strategy 6: Risk Management and Information Assurance

Manage risk from an enterprise perspective, address information assurance needs within our business processes, and maintain an IT Security Program to assure the security and privacy of NARA's information assets.

Overview

An essential part of NARA's mission is to protect our information assets and integrate effective information assurance practices within our business processes. As we work toward improving service to our customers and providing 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 information assurance risks associated with new applications or uses of electronic data in an environment complicated by hacker attacks, web page defacing, and identity theft.

Our long-term goal is to achieve a fully integrated approach to agency risk management, in alignment with our EGRC Program. To achieve this goal, NARA will institute a comprehensive approach to information assurance that integrates information safeguarding considerations and IT security controls among people, processes, and technology across the agency - in alignment with and support of our overall business risk management needs. While reaching for operational excellence, our information assurance approach will address business mission and customer service needs, utilize risk-based planning and decision-making, and implement sound IT security practices.

To ensure that we preserve the past to protect the future, NARA:
- Appraises, accessions, arranges, describes, preserves, and makes available to the public the historically valuable records of the three branches of Government;
- Establishes policies and procedures for managing U.S. Government records;
- Assists and trains Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage;
- Administers both the Information Security Oversight Office, which oversees the Government's security classification program, and the Office of Government Information Services, which is responsible for the review of agencies' FOIA policies and procedures and for offering mediation services to resolve FOIA disputes; and
- Publishes the *Federal Register*, Statutes at Large, Government regulations, and Presidential and other public documents.

Our work is based on the principles of Open Government —transparency, participation, and collaboration—found in the OPEN Government Directive, issued by the Administration in December 2009.

Managing Government Records

Effective records management improves performance and promotes openness and accountability. In FY 2012, the President issued a Presidential Memorandum tasking NARA to develop a framework for modernizing the management of government records. Accordingly, NARA and OMB issued a joint Directive to all agencies, M-12-18, on *Managing Government Records* which marked the start of an executive branch-wide effort to reform records management policies and practices in the Federal government with specific emphasis on managing electronic records.

Records management must stay abreast of the technologies used to create records in the Federal government, and the President's Memorandum underlines the critical nature of this responsibility. While technological advances create opportunities and challenges for agency records management, agencies' increased reliance on electronic systems and communication highlights the urgency to modernize policies and practices.

Our electronic records preservation policy and strategy includes the principles NARA will use to preserve permanent electronic records in its holdings indefinitely. Several years ago, NARA completed a version of our preservation principles, outlining the significant properties of records that must be preserved over time to ensure the continued accessibility, usability, and meaning of the records. It also includes the practical steps NARA needs to take to implement the principles during the lifecycle management of records.

To mitigate the threats and risks to the preservation of electronic records, we have begun to assess the digital preservation needs of the archival electronic formats in NARA's custody and establish criteria to prioritize the development of preservation plans and implement recommendations.

Managing Electronic Records (OMB Requirement GXXA):

NARA will continue to provide to its customers online public access to digital records in its holdings. We will continue to use and enhance ERA for addressing the growing volume, variety, and complexity of electronic records transferred to NARA. We will increase the amount of archival material that we make available online through four strategies:

(1) **Gather existing digital copies** of traditional archival material and make them available online. This includes the identification and publication of online material that has already been digitized by NARA, but for one reason or another is not available online. For example, NARA has digitized a large number of high interest documents for exhibits. Many of these materials have been described and placed in our online catalog.

(2) **Engage in partnerships** to digitize selections of traditional archival material. We will continue to explore a variety of new partnership opportunities (private,

public, non-profit, educational, government) to digitize many of our holdings, thereby greatly increasing public access to these records. Partnerships help us find cost-effective and efficient ways to bring high-interest and documents to our customers over the Internet. We are currently working with several partners and, to date, more than 60 million records are available online through our partners.

(3) **Explore innovative NARA-led projects** for digitizing archival material that will increase our ability to digitize selections of our holdings. We will look for sources of funding and support for specific high-interest projects. We continue to strive to provide timely Internet access to high-interest documents.

(4) **Make "born-digital" electronic records available online**, as appropriate. NARA will maintain the *Access to Archival Databases* (AAD) system, which makes select "born digital" database records available online. Launched in 2003, AAD met an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State and other agencies.

Following these four strategies will streamline our digitization processes and make more holdings available online to our customers, stakeholders, and the public.

Managing Personally Identifiable Information (PII)

NARA manages PII in its holdings, in accordance with the provisions of OMB Memoranda M-07-16, "*Safeguarding Against and Responding to the Breach of Personally Identifiable Information*."

In the course of daily operations, we create and receive a wide range of records containing PII. We collect PII data as necessary to conduct our administrative/personnel functions from 3,290 individuals we employ. Beside personnel records, we also collect and maintain personal information on researchers who visit our facilities, make requests for access to archival records, or order reproductions of archival records and other records services that we provide. We also maintain information on: individuals who donate historical materials; individuals who make financial contributions to private foundations that support NARA; and individuals who register to take NARA sponsored training courses.

To ensure PII controls NARA:
- Reviews and updates, as needed, of our developed policies and procedures to control access and use of PII;
- Continues to work with the Information Security Oversight Office to maintain the established Controlled Unclassified Program until it is finalized;
- Ensures that collections of gathered PII data are adequately covered by properly published Privacy Act *System of Records Notices* (SORNs) and/or have been evaluated as part of a *Privacy Impact Assessment* (PIA);

- Continues to assess historical records that contain sensitive PII among our archival holdings to ensure that physical and technical safeguards are in place to protect such records from unauthorized disclosure or loss;
- Will implement the Appendix J Privacy Controls which are part of the latest guidance included in NIST Special Publication 800-53, Revision 4;
- Reviews *Privacy Impact Assessments* as part of the Federal Information Security and Management Act (FISMA) annual report;
- Reviews newly prepared PIAs for new information technology systems; (OMB Requirement GXXB),
- Continues to conduct annual or biannual reviews of the inventory of Privacy Act SORNs, and modify and update as needed;
- Continues to monitor the effectiveness of agency-wide guidance on the handling of PII within operational records;
- Conducts annual *Privacy and Security Awareness* staff training directed at safeguarding information; and
- Provides new employees with privacy training documents as part of new-employee orientation.

Managing Controlled Unclassified Information

NARA's Information Security Oversight Office is charged in Executive Order 13556 with establishing government-wide guidance for the implementation of a Controlled Unclassified Information program. Their guidance is currently under review. Until such as time as that guidance is finalized, NARA continues to handle sensitive information in accordance with existing policies and procedures.
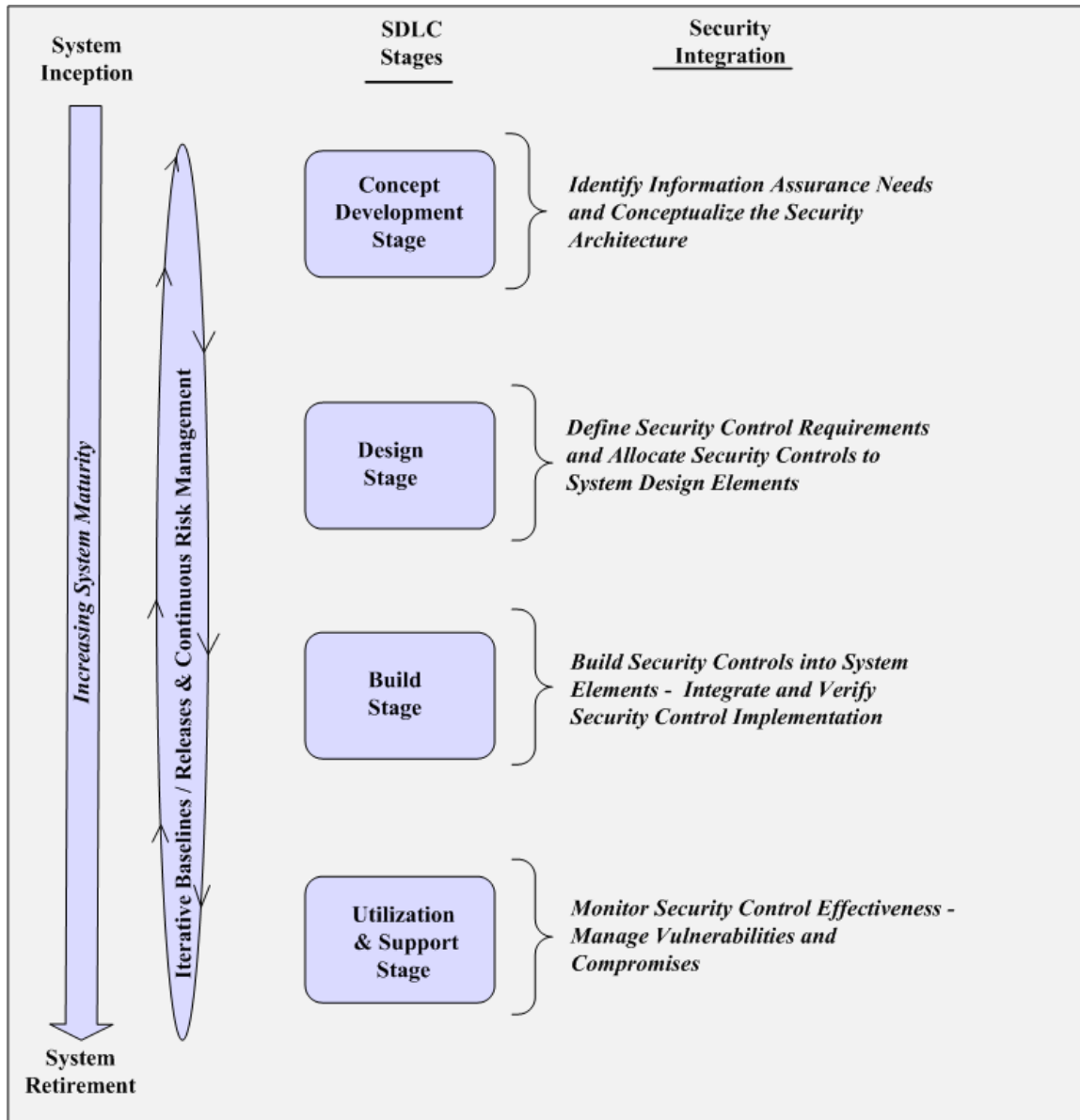
Managing IT Security and Privacy

Our IT security management strategy is to integrate security, and privacy protections into all of our IRM management processes and all of our IRM activities from the development of our business architecture, through the execution of our IRM programs, to the operations and maintenance of our IT applications and infrastructure. Statutory imperatives set forth by FISMA and the corresponding IT security guidelines from NIST designate security responsibility to an IT security program—and we must conform to this mandated guidance. However, we also recognize that we cannot effectively manage IT security from the perspective of a single program that is focused primarily on IT.

Our challenge is to enhance and expand this focus to make security and privacy considerations integral to everything we do. To address the challenge of making security and privacy considerations an integral part of our agency culture, we will pursue the following strategic approach and embed information assurance, security, and privacy considerations within our SDLC as depicted in Figure 4 below:

➢ We will monitor risks associated with IRM activities. The ISSC and the ARB will provide governance oversight to help ensure that business program risks and technology risks are appropriately managed and mitigated commensurate with their potential impact to the agency's mission.

➢ We will review all of our information assets from the business perspective, and categorize them according their sensitivity, importance to the business, and requirements for access control, protection, and recovery.

➢ We will maintain COOP Plans for our key business processes and services, and ensure that our investments in IT applications and infrastructure appropriately address our business continuity of operations needs.

➢ We will define and maintain an *IT Security Architecture* as an integral part of the EA and the authoritative IT security policy and standards guidance for the agency. This will help us assure that all FISMA and NIST requirements are uniformly and consistently addressed across our IRM activities, and that security and privacy considerations are integrated into the other domains of our architectural specifications and plans.

➢ We will include security and privacy review checkpoints as part of the milestone exit criteria in our key IRM management processes to include EA, CPIC, Project Management, and the SDLC. We will enforce these compliance checks via the ARB and IT Projects Group as part of our EA and system engineering compliance reviews.

➢ We will institute a rigorous Assessment & Authorization process to assure that all IT acquisitions address security and privacy considerations in accordance with our policies and standards, and that all security requirements are satisfactorily addressed prior to acceptance and deployment of IT applications and infrastructure components.

➢ We will develop a comprehensive continuous monitoring capability to detect, identify, track, manage, and resolve IT security issues in production—and we will ensure this capability is appropriately engineered, integrated, and managed within our overall IT operations environment and in alignment with our EA.

➢ We will perform periodic, independent reviews of all elements of our Security Program to ensure conformance with our policies and standards.

➢ We will provide mandatory security and awareness training for all NARA managers, staff, and contractors that have access to our facilities and information systems. (OMB Requirement EXXA)

Figure 4. IT Security Management Within the SDLC

System Inception	SDLC Stages	Security Integration
	Concept Development Stage	*Identify Information Assurance Needs and Conceptualize the Security Architecture*
	Design Stage	*Define Security Control Requirements and Allocate Security Controls to System Design Elements*
	Build Stage	*Build Security Controls into System Elements - Integrate and Verify Security Control Implementation*
	Utilization & Support Stage	*Monitor Security Control Effectiveness - Manage Vulnerabilities and Compromises*

Increasing System Maturity

Iterative Baselines / Releases & Continuous Risk Management

System Retirement

Continuity of Operations (OMB Requirement EXXB)

As mandated by Executive Order and Presidential Decision Directive, we have in-place a fully functioning COOP program with dedicated personnel to oversee the further development and implementation of this program. With the COOP program, we have identified mission critical applications and put in place the necessary infrastructure and components that are needed to support these applications.

With an inter-agency agreement with the US Navy, NARA established its COOP site at the Allegany Ballistics Lab in Rocket Center, West Virginia. We built redundant telecommunication capabilities with the necessary infrastructure to support mission critical applications. We evaluate and test our COOP capabilities at least annually as part of our annual COOP training and testing exercise.

IRM Strategy 7: IRM Governance

Maintain IRM governance committees to oversee all IRM activities and assure conformance with business needs, EA guidance, and all applicable Federal laws, regulations, and guidelines.

Overview

Perhaps the most significant determinant of the success of our IRM activities is the effectiveness by which they are governed. Governance is achieved by establishing leadership teams to assure adequate oversight and review of the plans for our IRM programs and the outcomes they produce. Our objective is to assure that all IRM program plans, IRM activities, and IRM outcomes are reviewed from the business, financial, program management, and technology perspectives; and to assure that our IRM programs achieve the desired results for the agency. When IRM activities deviate from their plans or fail to produce expected results, our governance committees are chartered to direct re-planning of the activities, or to terminate them if appropriate. Through active participation by the business offices, utilization of our EA process, and continuous portfolio analysis, we strive to optimize IRM investment in alignment with agency business needs.

IRM Governance Strategy

To strengthen oversight of the agency's IRM processes and to enable better management of our IT portfolio, IT systems, and IT infrastructure, we established the ISSC, which performs the functions of an Investment Review Board (IRB). Additionally, we established the Architecture Review Board and the IT Projects Group. These three groups oversee the entire IRM portfolio from determining initial business needs at the onset of a program through retiring systems at the end of their useful lifecycles. The governance boards are supported by configuration controls board associated with specific projects and IT operations teams - and are also supported by working groups directed by the ARB to address special concerns or emerging areas of interest.

The governance for IRM planning activities is addressed primarily by the ISSC and the ARB via the EA process. Governance for project management, system engineering, and IT operations is addressed by the ARB and the IT Projects Group via the SDLC process. Our EA, CPIC, IT Security, and SDLC policy directives all have milestone exit criteria that cross reference each other to assure that all IRM perspectives are considered when reviewing project plans and deliverables. The membership, purpose, and focus of these governance boards are described in the table below. The general interaction among the boards is depicted in Figure 5 below.
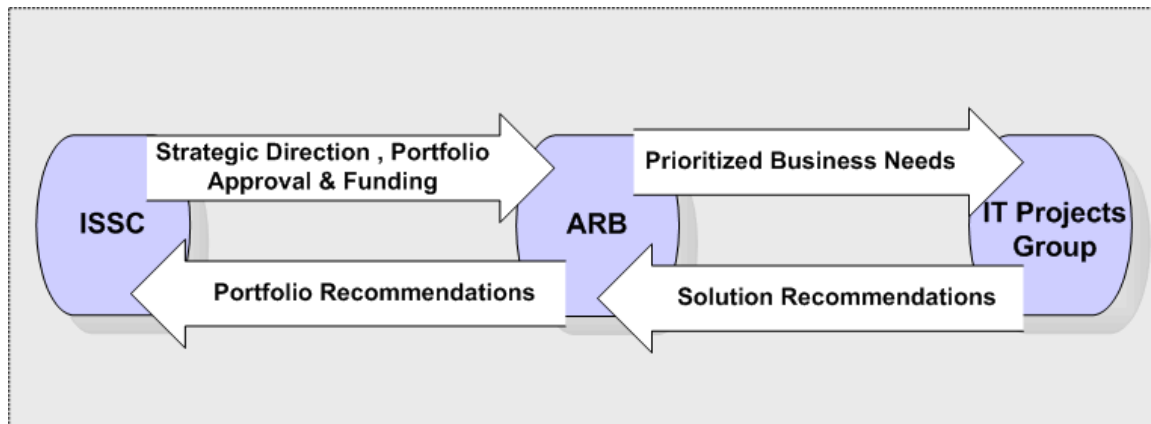
Table 3. NARA IRM Governance Boards

Board	Membership and Purpose	IRM Process Focus
ISSC	The ISSC is chaired by NARA's Chief Operating Officer (COO), with standing members including the Chief Information Officer (CIO), Chief Financial Officer (CFO) and Chief Innovation Officer (CINO). Affiliate members include all other members of NARA's Executive Management Team including the Chief Human Capital Officer (CHCO) and Chief Strategy and Communications Officer (CSCO).	• Provide formal governance reviews of investments, including cost, scope, schedule, and risk and business process, technology, and program management decisions associated with NARA's IRM processes and programs; • Recommend policy and provide guidance on the development and management of NARA's life cycle management processes (e.g., EA, CPIC, and SDLC); • Ensure that IT projects align with NARA's mission and strategy and NARA's EA; • Oversee the management and mitigation of enterprise risk associated with IT projects and programs; • Recommend Business Process Re-engineering (BPR), including business change management before initiating, developing, or enhancing key IT systems and infrastructure; • Approve major EA releases; • Approve annual IT Budget prior to submission to OMB (i.e., Exhibit 53 and Exhibit 300); and • Oversee TechStat and Portfolio Status (PortfolioStat) reviews.
ARB	The ARB is co-chaired by the agency CIO and the Manager, Systems Lifecycle. It is comprised of IT	• Analyze the business and technical impacts of IT

Board	Membership and Purpose	IRM Process Focus
	office functional area leads and the Business Architect. The ARB is the core steering committee for IRM process and work activities. The ARB oversees the agency's EA process and assures that all IRM investments and all IRM project deliverables (through the preliminary design phase of the SDLC) are reviewed for EA compliance and conform to EA guidance. The ARB also approves the annual EA Program Plan and all changes to the EA. The ARB is chartered to establish special working groups as required to support IRM program activities and facilitate IRM decision making. The ARB makes recommendations to the ISSC regarding the approval or disapproval of IRM investments.	portfolio systems, infrastructure, and technology, and recommend optimal approaches for managing these systems and technologies; • Review business needs and IT system concepts before making investments and performing acquisitions; and • Manage TechStat and PortfolioStat reviews
IT Projects Group	The IT Projects Group is co-chaired by the CIO and the Manager of IT Projects. It is the steering committee for IT project performance and risk management. The group oversees NARA's IT projects as they perform the systems engineering process, and ensures that all IT project deliverables are reviewed and conform to agency standards. The IT Projects Group approves all new IT systems and infrastructure elements for deployment to production operations.	• Conduct routine project reviews and SDLC gate reviews; • Monitor baseline project scope, cost, schedule and risk; and • Support, recommend and/or conduct TechStat reviews.

Figure 5. Governance Board Interaction

NARA adheres to the value engineering requirements of the Federal Acquisition Regulation (FAR) and has incorporated the principles of value engineering into our IRM process by embedding them in both EA and CPIC. Our governance process is structured to enhance our agency's value engineering approach and ensure that all investment decisions are aligned with agency goals and strategies.
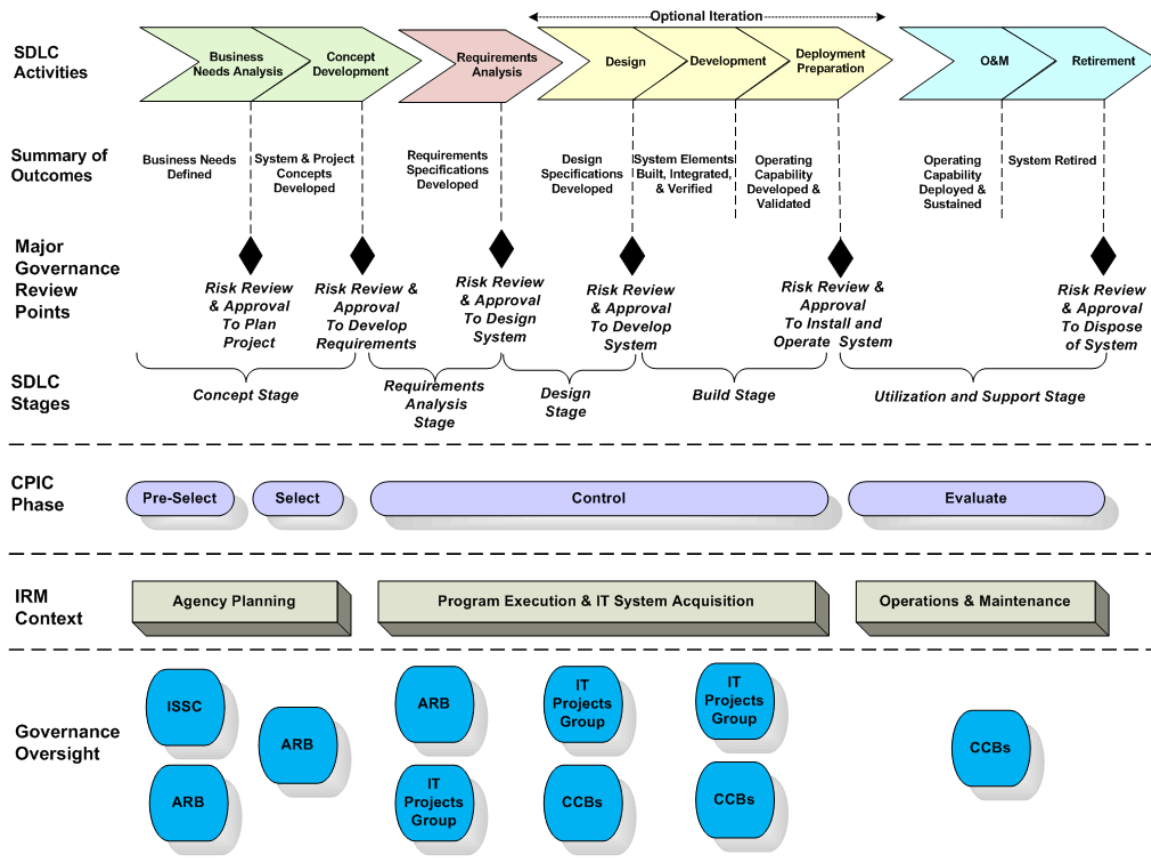
The ARB oversees the agency EA process to help us better leverage our investments by making choices that are consistent with our strategic direction. While we are developing and evolving our EA, we carefully consider the impact of technology on both our strategic goals and our current state of IT deployment, which includes requiring all potential investments to map their business need to agency strategic goals and priorities. The outcome will be a comprehensive set of guidelines and decisions that help us to fulfill our mission, meet our strategic goals, and serve our customers more effectively. (OMB Requirement CXXF)

The ARB also conducts project and system planning reviews during the SDLC Concept Development stage. These reviews determine the business need for IT capabilities and identifying the appropriate technical approach in conformance with the EA. NARA's Policy Directive 801 – *Capital Planning and Investment Control*, ensures that a comprehensive business case is developed to support ARB business need assessments. CPIC develops the business case and performs alternatives analysis to select the best value investment alternative. The CPIC process also requires approved investments to provide monthly reporting as part of the Control Phase. Project cost and schedule as well as risk are tracked and reviewed at IT Projects Group meetings, with periodic 'deeper dives' or TechStats to help ensure that project objectives are being met. (CXXC)

(OMB Requirement CXXE, CXXF, CXXG) The figure below provides an overview of the relationships between our IRM process and the governance boards that oversee them.

All agency IRM investment, sourcing, and risk management decisions are made and managed within the context of this overarching governance framework.

Figure 6. NARA IRM Governance

This has been a continually evolving process starting with a business need summary, which is focused solely on the business need (not technical alternatives or solutions) using non-technical descriptions to introduce the proposed investment. This is discussed at an ARB meeting, which meets weekly or at the discretion of the co-chairs, followed by an Architecture Review Assessment considering if there are tools or technologies already deployed to meet the need, providing guidance on technical approach and identifying risks.

Once the business need is well documented, if the architecture assessment indentifies an investment as being high risk and / or complexity, the proposed investment must be reviewed and endorsed by ISSC before time and resources are spent on the SDLC concept phase artifacts and business case. The ISSC meets as needed at the discretion of the COO with agenda items proposed by the CIO.

After being endorsed, an IT Project Manager is often assigned to work with the business unit to develop the business case and SDLC concept phase artifacts incorporating ARB

feedback. The business case summarizes the business and technical requirements; documents the business need, strategic alignment, alternatives considered as well as anticipated costs and benefits. The documentation is reviewed by the ARB and ultimately recommended to the ISSC for approval.

Following ISSC approval as a project, a monthly status report is prepared to assist in keeping the project on track. This report currently is a quad chart used to manage the scope, schedule and cost baselines as well as track and report on risks and annotate current status. The quad chart is periodically reviewed at IT Project Group meetings, which are held weekly. (OMB Requirement CXXE)

With OMB's Cloud First initiative, NARA's CPIC process requires all submitted business cases to consider adopting "as-a-service" cloud service as options.

For desktop systems, our strategy is to work with our industry partners and entering into agency-wide licensing agreement or use other agencies' contracting vehicle to acquire commoditized soft and hardware that's most advantages to the government.

Over the course of the last several years, NARA has also successfully consolidated software contracts/task orders into enterprise license agreements covering the entire agency as individual agreements came up for renewal, including: Microsoft for desktop productivity tools, Novell for our network operating system, McAfee for security, Adobe for publishing, Roxio for media "burning," Winzip for encryption, and Citrix for remote access.

NARA plans to work toward an enterprise software license approach for licenses associated with any new or existing IT portfolio system. Where additional opportunities are identified in our governance and CPIC processes, we plan to leverage these to further reduce the number of individual contracts, task orders, licenses, etc. (OMB Requirement CXXG)

IRM Strategy 8: IT Infrastructure Support

Engineer, maintain, and operate a robust IT infrastructure that supports Cloud-based and shared services.

Overview

A sound IT infrastructure is an important and foundational element of our IRM strategy. 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 strategic business programs depends on having a flexible, robust, secure, and scalable IT 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 our strategic business programs.

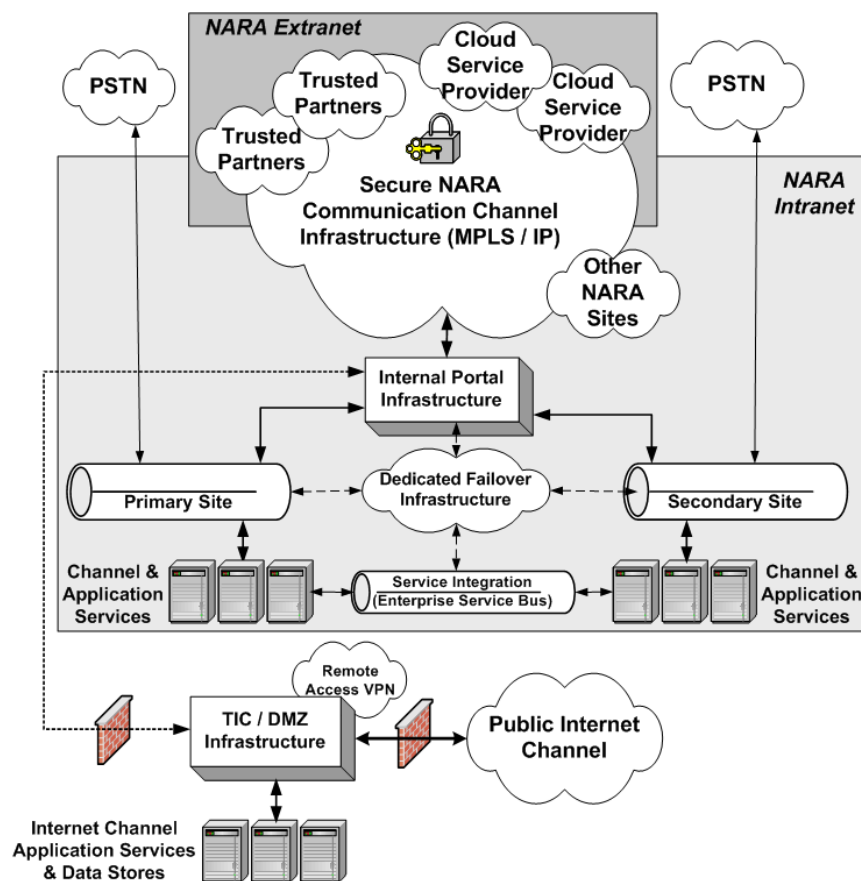**IT Infrastructure Support Strategies**

Our first strategy is to establish a sound IT Infrastructure engineering capability for the agency. We recognize that one of our IRM principles is to outsource for the IT components and services we require rather than build them in-house. However, this approach still requires that we be able to document and manage our IT infrastructure requirements, test purchased IT components for interoperability, and engineer IT components for deployment into our operations environment. For these reasons, we will perform the following activities.

➢ Develop and maintain an IT Infrastructure Segment Architecture and transition plan that allows us to track and manage all IT infrastructure engineering activities and prepare annual IT infrastructure release plans for the agency.

➢ Develop systems engineering review criteria for all phases of the SDLC and integrate them within all IRM policy directives and process guidelines.

➢ Establish an enterprise requirements management process that enables us to trace and manage all IT requirements throughout the system development lifecycle. The process will include the implementation of an enterprise requirements repository.

➢ Maintain a systems engineering lab that allows us to prototype and engineer new IT components, services, and capabilities - and verify the operational readiness of purchased IT component in a "production-like" environment.

Our second strategy is to plan and engineer a NARANET infrastructure upgrade as depicted in the figure below. The infrastructure will provide the following general capabilities:

➢ Support data, voice, and video services and channel management;
➢ Position the agency for IPv6 implementation and Trusted Internet Connections (TIC) in alignment with OMB guidelines;
➢ Provide an extranet capability that allows us to interact securely with our business partners;
➢ Provide an enterprise-wide storage network infrastructure to support the storage and management of digitized files, General Support Systems (GSS) files and databases;
➢ Provide an enterprise service bus for service integration;
➢ Provide a failover capability for all network and platform elements in alignment with business continuity of operations requirements;
➢ Enable gradual migration to cloud-based services; and
➢ Conform to the infrastructure design specifications expressed in the EA.[8]
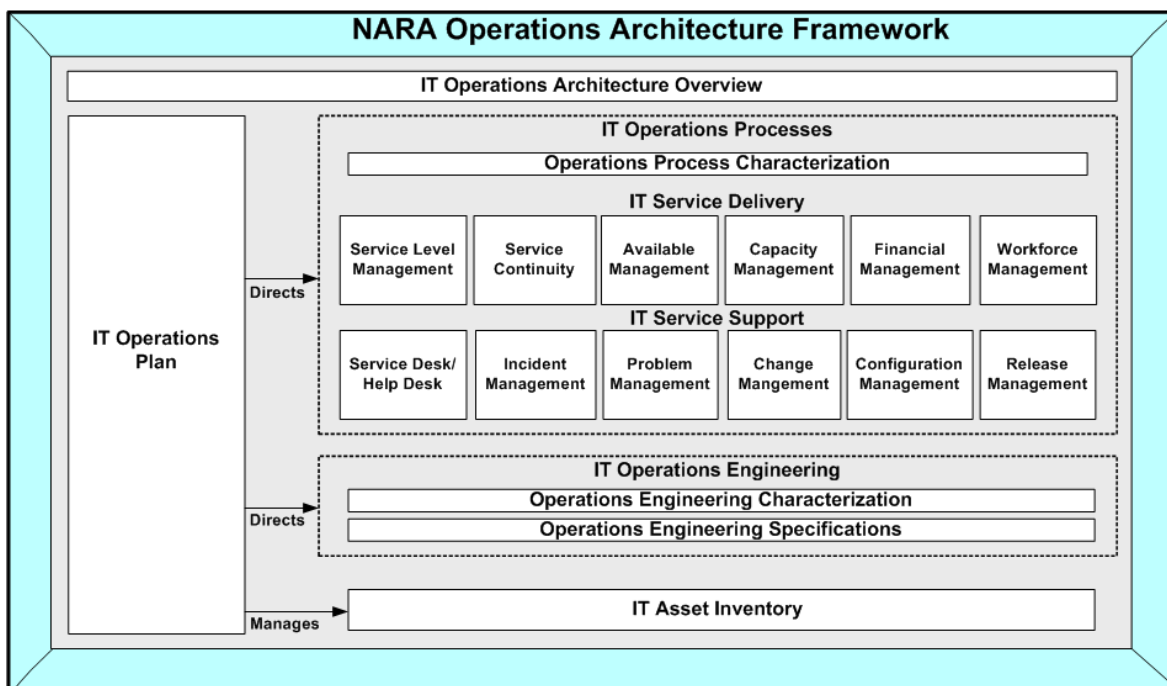
Figure 7. Next Generation NARANET – Concept

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[8] See the *Technical Infrastructure Design* section of the *National Archives and Records Administration Enterprise Architecture.*

Our third strategy is to monitor our operations management contract and continuously improve our IT operations environment. We will strive to address all elements of the Operations Architecture Framework depicted below. The following activities are considered key to improving our IT operations capabilities:

➢ Develop, maintain, and manage to an IT operations management plan;
➢ Deploy, use, and manage enterprise-wide IT infrastructure monitoring capabilities;
➢ Maintain configuration management over all IT infrastructure components;
➢ Document all operations management processes and all operation engineering specifications, and keep them in a centrally managed and secure repository;
➢ Maintain the agency's IT asset inventory and integrate asset management with the acquisition process;
➢ Utilize the systems engineering lab to support operations engineering activities; and
➢ Ensure operations engineering and transition to support requirement are identified and addressed in the SDLC as part of the systems engineering process.

Figure 8. NARA Operations Architecture Framework

Emerging Technologies

Our Executive for Information Services and CIO has been designated as the PortfolioStat lead. Since then, our team has continually examined our IT portfolio investment to identify any wasteful, duplicative or low-value investment. As a result of this initiative, we've avoided approximately $6.5M in IT expenditures through FY15. Our Enterprise Architecture is helping us better leverage our investments by helping us making choices that are consistent with our strategic direction. While we are developing and evolving our EA, we carefully consider the impact of technology on both our strategic goals and our current state of IT deployment. The outcome will be a comprehensive set of guidelines that helps us to fulfill our mission, meet our strategic goals, and serve our customers more effectively. The approach that we will leverage to contain, sustain, replace, or retire IT systems, in consideration of emerging technologies, will be to:

> ➢ Optimize IT operations for consolidation, virtualization, and cloud-based services;

> ➢ Develop and use virtualization to reduce our in-house IT "footprint;"

> ➢ Continue to examine and use the "as-a-service" sourcing model as practicable;

> ➢ Explore and use shared services provisioned by other federal agencies;

> ➢ Explore "Big Data" and open data opportunities;

> ➢ Use shared services from "Uncle Sam's" list when available;

> ➢ Use government-wide strategic sourcing and agreements to procure software, hardware, and services when practicable; and

> ➢ Continue the use of Inter-Agency Agreements to acquire similar IT services.

At NARA, we are constantly seeking to reduce IT operational and capital expenditure costs through the use of shared service opportunities. Following are three examples of how we use shared services through other federal agencies. Last year, we completed the migration of human resources shared service from the General Services Administration to the Department of Interior's National Business Center – an approved HR Line of Business Shared Service Center. We continue to use an OMB-sanctioned Grants Management System developed by the National Endowment for the Humanities. Last, NARA continues to utilize the Bureau of the Public Debt for its financial management services. (OMB Requirement HXXA)

As for reduction of commodity IT spending, as of April, 2013, we completed the migration of an internal hosted email system to Google's cloud-based email system with a projection of cost avoidance of $1.5M through FY15

As mandated in NARA's Policy Directive 801 – Capital Planning and Investment Controls, requires IT investments to provide monthly reporting as part of the Control Process. Scope, Cost, and Schedule baselines are established and tracked on a monthly basis. The IT Projects Group, which is a working group of the ISSC, meets on a weekly basis to track and monitor approved investments. NARA's portfolio is now being analyzed by an Architecture Review Board working group, which will not only identify wasteful, duplicative or low-value investments, but also establish recommend for containing, sustaining, replacing, or retiring IT systems. Through our internal deep-dive project reviews, or TechStat, underperform investments will be placed on a "watch list" with a corrective action plan. If the investment's values to the agency outpace its expenditures, then the investment is, after consultation with OMB, destined for termination. The resultant funding will be re-programmed to add mobile computing to enterprise-level applications, or to invest in Big Data, Digital Government, Cloud Computing initiatives. (OMB Requirement HXXB)

To reduce IT acquisition costs, we use government-wide strategic sourcing that are available through GSA Federal Supply Schedule Contracts, Government–Wide Acquisition Contracts (GWACs), Blanket Purchase Agreements (BPAs), Inter-Agency Agreements (IAAs), and NASA's Solution for Enterprise-Wide Procurements (SEWP). In addition to using government-wide contracting vehicles, we also use cross-functional teams to streamline the internal acquisitions process for, both goods and services by re-base-lining existing contracts, identifying overlaps in our sourcing efforts, and collaborating with other agencies to learn strategic sourcing best practices. When an overlap contract is identified, we will consolidate IT commodities and services, by competing Indefinite Delivery Indefinite Quantity (IDIQ) contracts that resulted in a single source award. (OMB Requirement HXXC)

Conclusion

This Strategic IRM Plan provides a short overview of the nine IRM strategies that we need to focus on as an agency and identifies how we plan to continuously improve in each of these nine strategic areas. We urge all NARA management, staff, contractors, and any stakeholders in NARA's IRM activities to embrace this strategic plan, to review the more detailed planning guidance documented in our Enterprise Architecture, to become familiar with the policies we have established for IRM management processes and IRM governance, and support us as we move forward in our IRM endeavors.

Our eight IRM strategies are as fundamental as they are challenging. We will continue to strive toward our goal of having IRM capabilities that are well aligned with our business objectives; that are supported by integrated management processes and governance reviews; that are guided by a comprehensive enterprise architecture; that are cognizant of continuously manage risk, security, and privacy considerations; and that result in a robust, well-managed application portfolio and IT infrastructure for our business.