NATIONAL
ARCHIVES

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

May 2015

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Approved by

05/28/2015
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Date

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

Our Vision is to transform the American public's relationship with their government, with archives as a relevant and vital resource. This vision harnesses the opportunities to collaborate with other Federal agencies, the private sector, and the public to offer information—including records, data, and context—when, where, and how it is needed. We will lead the archival and information professions to ensure archives thrive in a digital world.

VALUES

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

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 using technology to produce a tremendous volume of records. In planning for ingesting Presidential records for the Obama Administration, we estimate that the Archives will receive more than one billion email records alone.

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*.

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 Fiscal Year (FY) 2014 – FY2018. The table below shows how NARA's current portfolio of IRM initiatives aligns with the strategic business initiatives described in the Strategic Plan.

Table 1-1. 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*	
○ Initiative 1: Describe all holdings online to make them easy to use and provide archival context.	• National Archives Catalog (NAC) • Description and Authority Services (DAS) • Public Participation

Table 1-1. IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives

Goals, Objectives, Initiatives	Supporting IRM Activities
o Initiative 2: Digitize all analog archival records to make them available online.	• Digitize
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.	• Accelerate Processing (includes DPE) • Digitize • National Declassification Center (NDC): Implement Process Improvements • Enterprise Storage Management Strategy • Enterprise Cloud 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.	• One Voice Project • Researcher Registration System • Case Management Team (I) • Customer Service (Registry System)
o Initiative 2: Expand our use of public participation and crowd-sourcing tools to improve public access and engagement.	• National Archives Catalog (NAC) • Public Participation • Internal Communication Environment (Includes external ECN)
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.	• Unified Outreach
o Initiative 4: Develop a virtual regulatory environment to increase transparency and expand public participation in the Federal rule-making process.	• Virtual Regulatory Space
Goal 3: Maximize NARA's Value to the Nation	
• *Objective 1: Reform and modernize records*	

Table 1-1. IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives	
Goals, Objectives, Initiatives	**Supporting IRM Activities**
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.	• Automate RM
o Initiative 2: Stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities.	• Applied Research
• *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.	• Web APIs (starting with NAC) • Digitize
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.	• Leader Culture • Recruit, Sustain, Retain
o Initiative 2: Cultivate a robust, well-connected internal communications environment to support informed actions at all levels.	• Internal Communication Environment • Unified Communications (UC) Strategy • Internal Communications Network (ICN) 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	• Recruit, Sustain, Retain

Table 1-1. IRM Activity Alignment to NARA Strategic Goals, Objectives, and Initiatives	
Goals, Objectives, Initiatives	**Supporting IRM Activities**
workforce.	
Initiative 2: Create new career paths for NARA employees to ensure that we have the necessary competencies and skills in a digital environment.	• Career Paths Initiative • Evaluate RM Programs: Modernize RM Training

The IRM activities needed to implement major changes prescribed by the NARA Strategic Plan are described, via the *Agency Enterprise Roadmap*, over a 4-year planning horizon covering FY 2015 through FY 2018. The Agency Enterprise Roadmap describes changes needed in policy, business processes, IT systems, organizational structures, customer interactions, or employee roles. The Agency Enterprise Roadmap identifies and describes two main types of activities: (1) Business Activities; and (2) Systems Activities; for each fiscal year of the plan. NARA's Business Activities fall into two main groups:

(1) *Strategic Initiatives* represent programs that involve major transformations in how the agency operates or what services it will provide. These are the agency's 14 strategic programs.

(2) *Operational Initiatives* represent major ongoing business functions that require continued investment and operation to support the agency's mission.

The strategic initiatives are split into two categories: (1) Archival Records; and (2) Human Capital. The operational initiatives are also split into two categories: (1) Records Processing; and (2) Access Restrictions and Protection. The initiatives are briefly described in the tables below. *Figures 1, 2, 3, and 4* below depict all of NARA's initiatives on a four-year timeline so their timeframes and sequencing can be seen in relation to one another. More detailed information about each initiative is provided in the *FY2015 Agency Enterprise Roadmap* document.

Overview Of NARA Strategic Initiatives	
Initiative	**Description**
Archival Records - This group of initiatives: (1) helps federal records producers automate the management of electronic and non-electronic archival records; and (2) provides systems that enable those records to be digitized, processed by NARA, ingested into repositories, and prepared for public access.	

Overview Of NARA Strategic Initiatives	
Initiative	**Description**
Strategic Plan	NARA will continue to implement its FY2014 – FY2018 Strategic Plan. Outcome measures will be developed to measure NARA's progress toward realizing its strategic goals. An updated environmental scan report will be re-issued every December to identify necessary course corrections of the plans' initiatives. Additionally, NARA leadership will review the plan and associated initiatives to determine their effectiveness.
Describe	NARA will provide system enhancements, establish standards, and training for entering records metadata for the National Archives Catalog. This will include identifying changes needed in the Description and Authority System that is used to compose, review and edit records descriptions.
Digitize	NARA will review and revise its digitization strategy to ensure alignment with the strategic plan and agency needs, within budget constraints. NARA will also establishing priorities for digitizing records (e.g., need for preservation through digitizing, public interest), and will determine which categories of traditional records should have high, medium and low priority for digitization. The types and numbers of digitized records being delivered by Partnerships, NARA custodial units and the Preservation labs will be tracked to assess digitization progress.
Accelerate Transfer	NARA will provide systems and methods to speed up and simplify the processing of electronic records.
Public Participation	NARA will provide facilities for, and oversight of, public participation in the tagging of NARA photos and transcription of analog documents into digital text. Lessons learned from participation pilots will be applied to future participation programs.
Customer Service	This initiative expands NARA's 311 Service with new capabilities and refines the routing of telephone calls for customer service requests.
Direct Access	NARA will provide APIs and/or interfaces that give the public direct access to designated subsets of archival records. The initiative will also format targeted record sets for more easy public consumption.
Automate Records Management (RM)	NARA will continue work outlined in the Automated Electronic Records Management Report/Plan issued in September 2014. The plan framework contains three areas: governance, procurement, and technology. One of the main initiatives from the plan, which touches on all three areas, is the Records Management Line of Business (RM LoB). In 2015, NARA will begin the creation a RM

Overview Of NARA Strategic Initiatives	
Initiative	**Description**
	LoB project management office (PMO) to establish and launch the RM LoB as an E-Gov initiative.
Applied Research	NARA will research and establish electronic records management (ERM) requirements to support the transition to digital government and recordkeeping. As part of ongoing work, NARA will reach out to Federal agencies to: (1) identify existing business requirements for records management services; (2) collaborate with partners to identify requirements for commercial or agency-supplied electronic records management services; and (3) identify market segments for specialized electronic records management services that are suitable for different agency environments.
Virtual Regulatory Space	The Federal Register will achieve official status for Federal.Register.gov, move its eDOCS system to the cloud, update the XML schema for the Federal Register, and update the electronic Code of Federal Regulations (eCFR).
Human Capital - This group of initiatives supports the recruitment, training, and retention of NARA staff that provide archival record services to government agencies and the public.	

Overview Of NARA Strategic Initiatives	
Initiative	**Description**
Leader Culture	NARA will formulate development plans for the Archivist, Archivist Technician, Supervisor and Manager positions; and will evaluate Learning and Development for NARA Leadership. The "NARA University," will be created, implemented and operated to provide training for these positions.
Internal Communication	NARA will enhance internal communications by implementing Supervisor Communication Training and increasing online supervisor presence. We will expand use of Digital signage, provide mobile device access to the Internal Collaboration Network (ICN) and will establish an External Collaboration Network (ECN) to use with customers and partners. The Declaration and NARA Notices publications will be updated.
Recruit, Sustain, Retain	NARA will support these functions by updating SES Pay/Performance and Certification documentation, delivering mandatory Supervisor training, and offering Career development plans for Archivists and Archivist technicians. Current programs for Work/Life Balance, Employee Wellness and Telework will be updated.
Career Paths	NARA will define Career paths for the Archivist and Archivist Technician positions, define their core competencies and begin career development planning for these employees.
Outreach Program	NARA will expand the existing National Outreach Program in the museum, education and public programs areas to three specific joint programming initiatives: 1) Thematic Campaigns, 2) Digital Engagement Program, and 3) Traveling Exhibit Program.

Overview Of NARA Operational Initiatives	
Initiative	**Description**
Records Processing - This group of initiatives supports ongoing efforts to manage both temporary and permanent records**.**	

Overview Of NARA Operational Initiatives	
Initiative	**Description**
Obama Ingest	This initiative supports the transfer of the Obama administration (EOP 44) records (both electronic and paper) to NARA on January 20, 2017, as required by the Presidential Records Act (PRA) and Federal Records Act (FRA).
Preservation	NARA will provide conservation treatments to pre-designated holdings, collect data from custodial units on additional records that need preservation treatment, and monitor the environment of Record Storage areas.
Textual Processing	NARA will continue efforts to reduce the backlog of textual records identified in prior years. This will include performing basic processing to meet minimally acceptable standards of physical and intellectual control, and enhanced processing to improve access to selected records series having high demand or significance.
Federal Record Center Programs (FRCP)	The FRC will review Standard Operating Procedures (SOPs) at its sites, to define a To-Be process for Disposition Operations. It will also develop and deploy a new on-line order request system, with near real-time verification of requester identity, enhanced business logic and ability to deliver digital content. The FRCP will also identify functional and performance enhancements required in the Case Management and Reporting System (CMRS) for managing case requests.
Visitor Services System	NARA will issue a Request for proposal (RFP) for replacing the ticketing and admission system (Vista) for the 13 Presidential Libraries and their museums, and oversee the completion of its development.
Locations	NARA is planning to move to two offices, The Office of the Federal Register (OFR) and OGIS, from their current downtown location to the Government Printing Office (GPO) facility in FY 2016. Appropriate space will be provided to all NARA offices as the needs of the business demand.
Continuity of Operations (COOP)	The COOP program will review and update the Business Impact Assessment (BIA) in the format required by Federal Continuity Directive (FCD)-2, refine Continuity, Devolution and Reconstitution plans and test them in conjunction with an internally evaluated continuity exercise. It will also evaluate the ability of its communication infrastructure to meet emerging requirements.
Access Restrictions & Protection - This group of initiatives supports: (1) handling requests to lift access restrictions on classified records and sensitive records; and (2)	

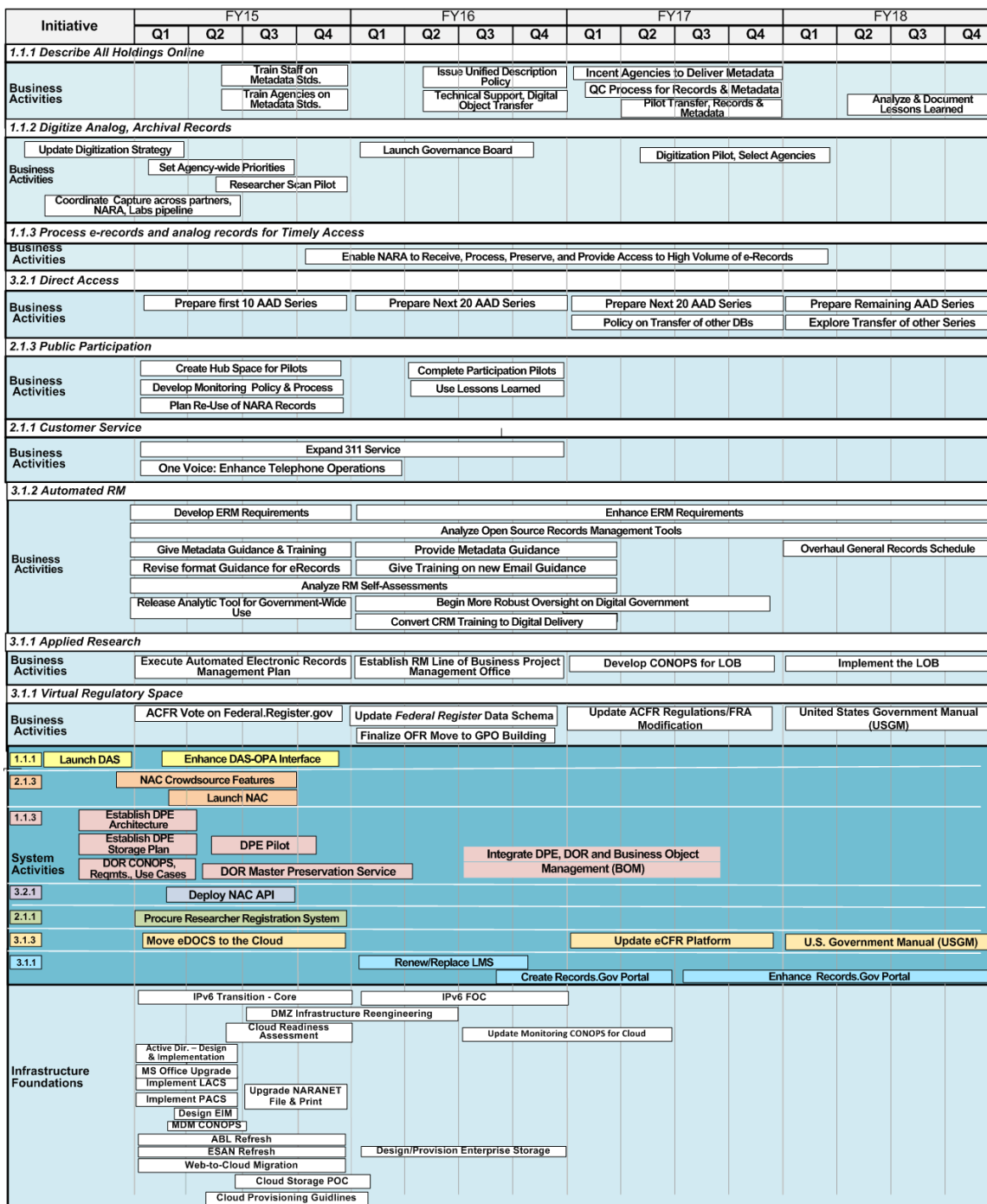| Overview Of NARA Operational Initiatives	
Initiative	**Description**
designating records which need to be protected from theft, Personally Identifiable Information (PII) loss, or accidental loss. This group also supports important miscellaneous functions, like online ordering of fixed-fee reproductions of selected NARA records and IT support of administrative functions like payroll, and time and attendance entry. Finally, it supports the procurement, refurbishment and retirement of NARA business locations.	
National Declassification Center (NDC)	The NDC will continue to enhance its policies, processes and data flows for declassifying federal records. It will continue to improve interagency declassification processes, standardize data collection across government declassification programs, and build efficient interagency declassification review and training processes within the NDC.
Office of Government Information Services (OGIS)	OGIS will continue to monitor agency compliance with Freedom of Information Act (FOIA) requests, manage appeals of agency FOIA decisions, and offer mediation services to resolve disputes. It will continue to offer mediation skill training to Federal FOIA professionals. In appropriate cases, it publishes its decisions on appeals and issues advisory opinions on FOIA dispute issues.
Holdings Protection	This initiative will update all archival risk assessments of holdings at NARA facilities by media type, and continue to enhance NARA's ability to catalog holdings incidents and the researchers involved.
Online Ordering	NARA will maintain support for online ordering of fixed-fee reproductions of selected popular records.
Business Support	Like all Federal agencies, NARA performs a variety of administrative functions in the areas of human resources, purchasing, timekeeping, accounting, budgeting, contracting, facilities management, order fulfillment, and financial reporting. NARA will continue to supports these functions by maintaining a variety of business systems in alignment with federal regulations related to those administration functions.

Figure 1. Strategic Initiatives: Archival Records

Figure 2. Strategic Initiatives: Human Capital

Initiative	FY15				FY16				FY17				FY18			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

4.1.1 Leader Culture

Business Activities:
- Archivist Development Program
- Evaluate NARA's leadership L&D initiatives
- Archives Technician Development Program
- Manager & Supervisor Development Program
- Core Competency Development Program
- Create, Implement & Manage "NARA University"

4.1.2 Internal Communications

Business Activities:
- Implement Supervisor communication Training
- Update NARA Notice Delivery
- Create Employee Suggestion Box
- Create Online Communications Resources
- Increase Online Presence of Supervisors & Managers
- Create Employee Suggestion Box
- Expand Use of Digital Signage
- Promote Supervisors as First Line Of Communication
- Reformat Declarations
- Plan Expanded Video Communications

4.2.1 Recruit., Sustain, Retain

Business Activities:
- SES Pay/Performance Policy
- SES Certification Documentation
- Complete Supervisor/Manager Mandatory Training Development
- Brief Leadership on Wellness & Work Life Balance Changes
- Review/Update Telework Plan
- Complete 2014 Policy Updates
- Run Mandatory Supervisor Training
- Career Development Programs for 1421, 1420

4.2.2 Career Paths

Business Activities:
- Develop Monitoring Policy & Process
- Complete Participation Pilots

3.1.2 Outreach Program

Business Activities:
- 2014 Precedents & Market Research
- Implement National Outreach
- Refine Outreach Programs

System Activities:
- 4.1.2: Maintain Critical IT Services
- Increase Network & Server Capacity
- Maintain Critical IT Services
- Contract: ICN Access - Mobile Devices
- Upgrade Selected Digital Signage Equipment
- Implement ICN Access from Mobile Devices
- Deploy Public ECN
- 4.2.1: Award Performance Management System Contract
- Deploy The Performance Management System
- Improve HR Data Quality
- 4.2.1: Renew or Replace LMS

Infrastructure Foundations:
- IPv6 Transition - Core
- IPv6 FOC
- DMZ Infrastructure Reengineering
- Cloud Readiness Assessment
- Update Monitoring CONOPS for Cloud
- Active Dir. – Design & Implementation
- MS Office Upgrade
- Implement LACS
- Upgrade NARANET File & Print
- Implement PACS
- Design EIM
- MDM CONOPS
- ABL Refresh
- ESAN Refresh
- Design/Provision Enterprise Storage
- Web-to-Cloud Migration
- Cloud Storage POC
- Cloud Provisioning Guidlines

Figure 3. Operational Initiatives: Record Processing

Initiative	FY15				FY16				FY17				FY18			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

EOP 44 Electronic Records Transfer

| Business Activities | EOP 44 Transfer & Ingest Planning | | | | | | | | Complete Transfer & Ingest | | | | | | | |

Preservation

Business Activities	Conservation Treatments
	Preservation Needs Assessments
	Environmental Monitoring of Record Storage Areas
	Managing Preservation

FRCP

Business Activities	Automate and Integrate FRCP Operations
	Perform FRC SOP Review
	Records Management of ARCIS Data
	CMRS In-Stack and Desk-side Digitization of Documents
	Space Management
	ARCIS Web Services		SOP Development
	NPRC Web Services		ARCIS Customer Portal
	CRM Database		Pricing Strategy
	Data Migration

COOP

| Business Activities | Business Process Review and Update |
| | Policy Review and Update |

Textual Processing

| Business Activities | Reduce Backlog |

Locations

| Business Activities | Kansas City, MO | | Government Printing Office (GPO) | | Provide Appropriate Space |
| | | | | | Obama Presidential Library Project |

Enterprise Risk Management

| Business Activities | Continuous Improvement |

EOP 44 (System Activities)
- System Assessments
- Initial Data Transfers
- Migrate Data to EOP Upgrades
- Potential EOP Upgrades

Preservation
- OPS Planner
- Holdings Management System
- Preservation Needs Assessment Weblog
- NARA eClimate Notebook
- Managed Storage for Digital Images and Documentation

FRCP
- eVetRecs 2.0 Next Generation Order Request System
- CMRS Digital Streamlining of Incoming Paper-Based Requests
- CRM Database
- ARCIS SOP Development
- Production Environment – Performance Enhancement
- CMRS - In-Stack and desk-side Digitization of Documents
- Production Environment – MS Office 2013 Integration
- ARCIS Web Service Portal
- Support Systems - Streamline and consolidate support databases

COOP
- COOP: Communications

Textual Processing
- Use HMS for Centralized Processing Control and Management
- Use DAS for Descriptions
- HMS/DAS integration for Series Level Processing
- HMS/DAS/DPE integration for Container/Folder/Item Level Processing

Infrastructure Foundations
- IPv6 Transition - Core
- IPv6 FOC
- DMZ Infrastructure Reengineering
- Cloud Readiness Assessment
- Update Monitoring CONOPS for Cloud
- Active Dir. – Design & Implementation
- MS Office Upgrade
- Implement LACS
- Upgrade NARANET File and Print
- Implement PACS
- Design EIM
- MDM CONOPS
- ABL Refresh
- ESAN Refresh
- Design/Provision Enterprise Storage
- Web-to-Cloud Migration
- Cloud Storage POC
- Cloud Provisioning Guidlines

Figure 4. Operational Initiatives: Access Restrictions & Protection

Initiative	FY15				FY16				FY17				FY18			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

NDC

Business Activities:
- Implement Process Improvements
- Refine Policies and Procedures
- Process Flows
- Data Flows
- Change Management

OGIS

Business Activities:
- Agency Compliance with FOIA
- Mediation Services
- Training
- Advisory Opinions

Holdings Protection

Business Activities:
- Holdings Protection Improvement
- Policy Assessment and Improvement
- Risk Assessments
- Holdings Protection Database
- Internal Partnerships
- External Partnerships
- Training and Personnel Competencies

Presidential Library Visitor Services

Administrative Support Services

Online Ordering

System Activities:
- NDC — NDC Systems Infrastructure
- OGIS — Case Management Support
- OGIS — Pre-Review QuestionPro Survey
- Holdings Protection — Incident Reporting and Notification
- Access/Personnel
- Central Registry System (same as RRS)
- Holdings Movements and Loans
- Presidential Libraries — Develop Visitor Services System / Maintain Visitor Services System
- Business Support — Maintain Administrative Support Systems: e.g., CHRIS, ETAMS, PRISM, BPD, OFAS, eCPIC, eTRavel, NDEV, etc.
- Online Ordering — Maintain ENOS/HMS

Infrastructure Foundations:
- IPv6 Transition - Core
- IPv6 FOC
- DMZ Infrastructure Reengineering
- Cloud Readiness Assessment
- Active Dir. – Design & Implementation
- Update Monitoring CONOPS for Cloud
- MS Office Upgrade
- Implement LACS
- Upgrade NARANET File and Print
- Implement PACS
- Design EIM
- MDM CONOPS
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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 on 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 the Optimized Ingest Framework (OIF). 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; 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
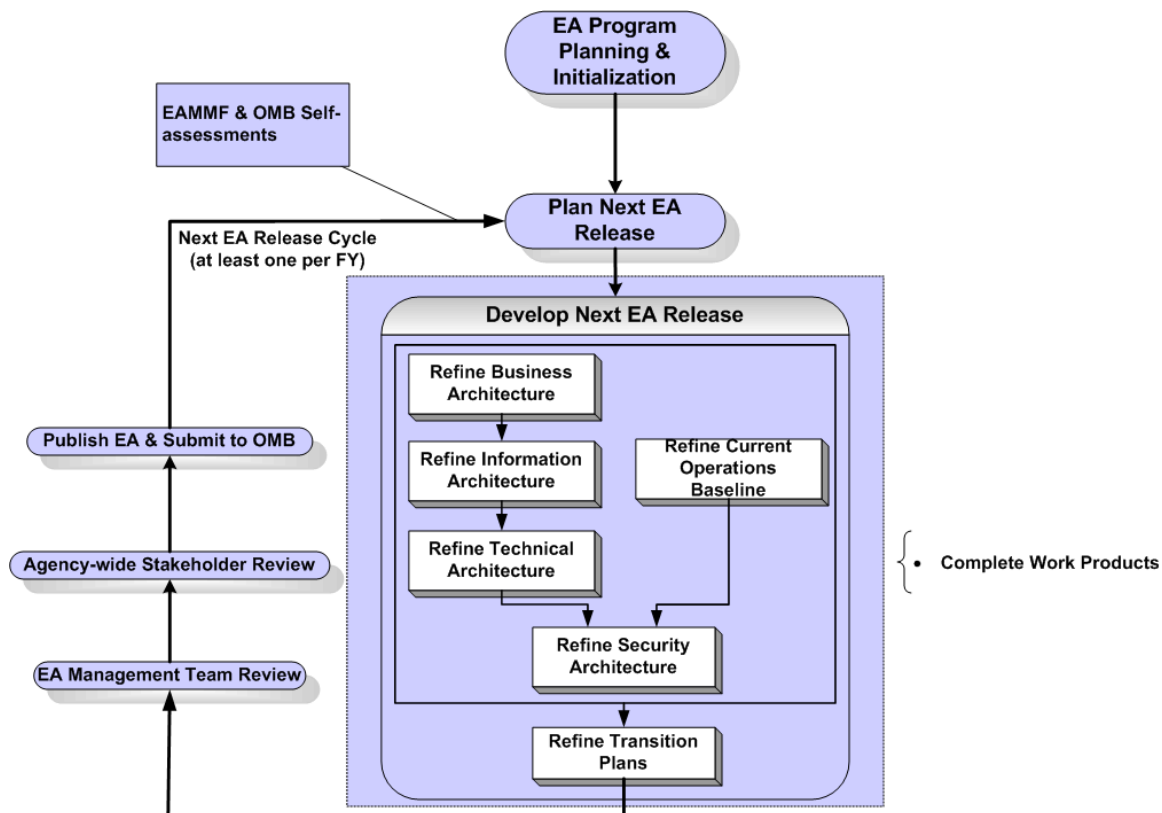
The size, scope, and complexity of our IT projects; our evolving and changing business needs; and the dynamics of technology markets necessitate that the EA be developed iteratively. Our EA is continually refined and updated as the business needs for IT are clarified and as our business planning activities 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.[2] 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.*[3] 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.[4] 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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[2] See the *Enterprise Architecture Program Plan* for details on the current EA update cycle.

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

[4] 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
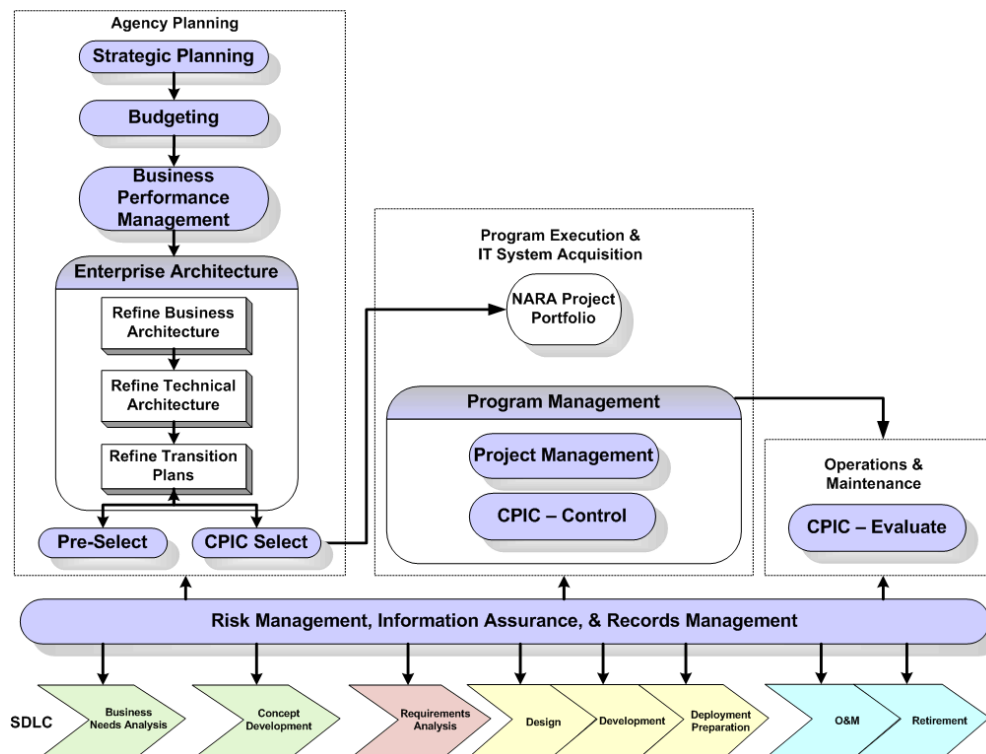
The basic premise behind our sequencing strategy is to ensure that enterprise planning precedes project execution, and business planning drives downstream IT system planning and IT project activities. It is important to note that information assurance and records management considerations are addressed 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
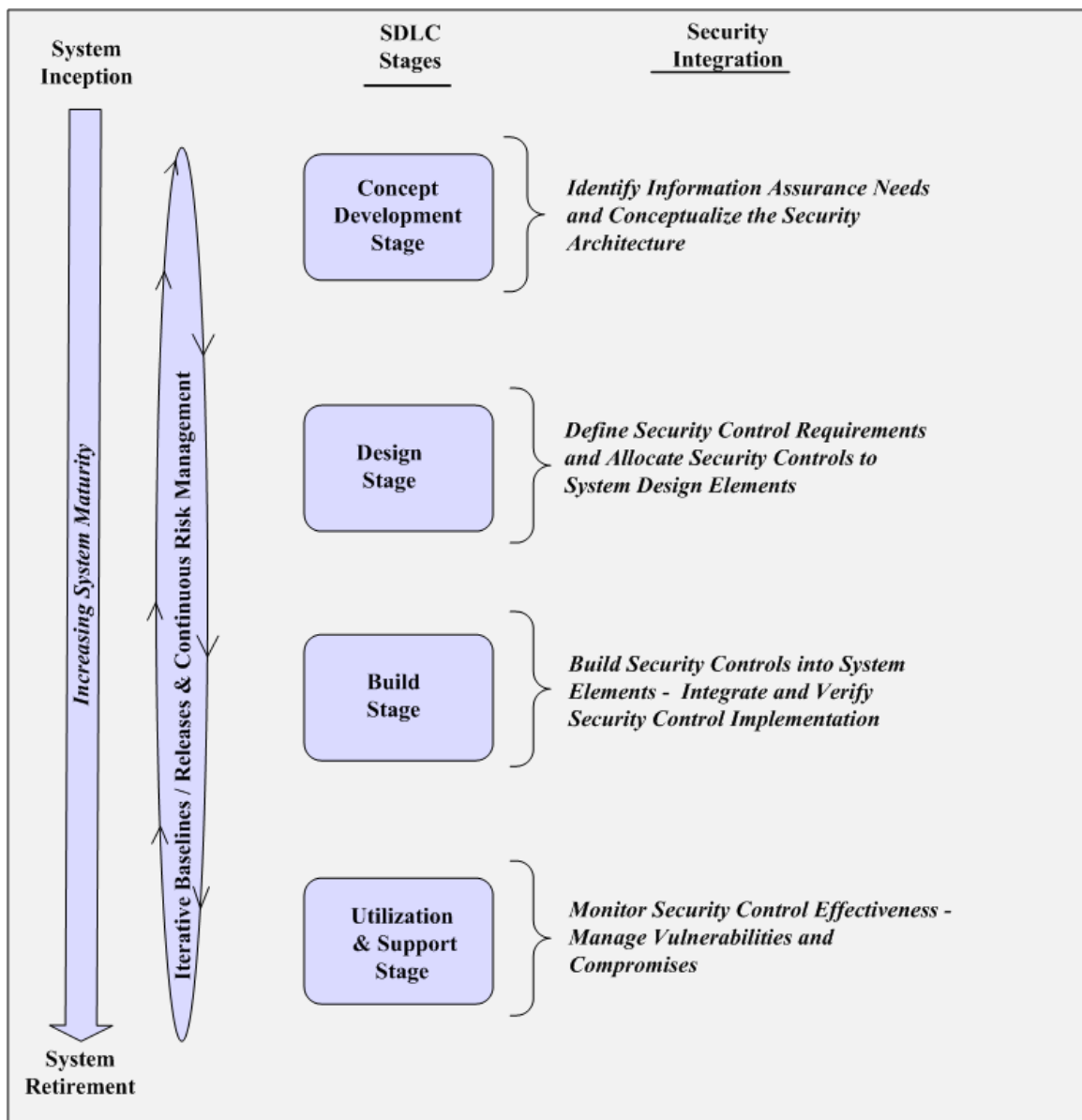
Continuity of Operations (OMB Requirement EXXB)

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 office functional area leads and the Business	• Analyze the business and technical impacts of IT portfolio systems,

Board	Membership and Purpose	IRM Process Focus
	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.	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
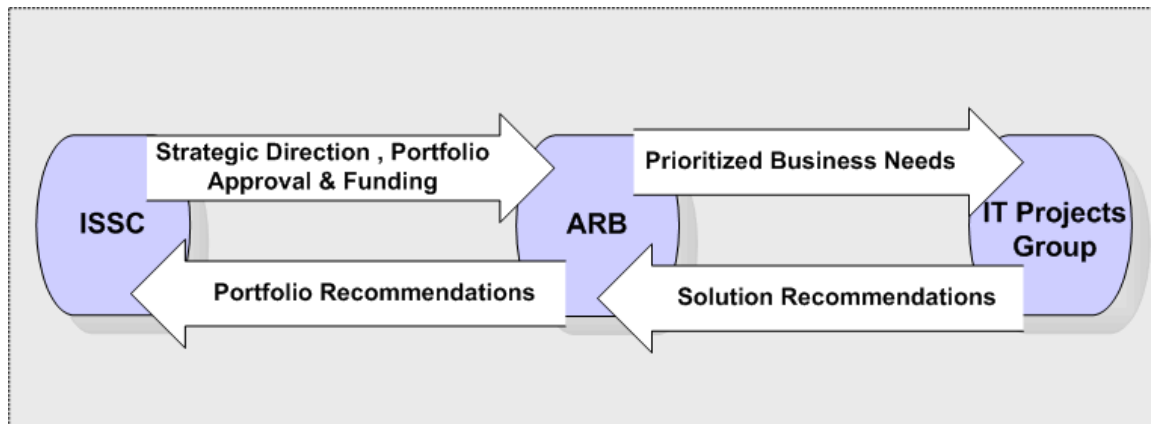
NARA adheres to the value engineering requirements of the Federal Acquisition Regulation (FAR) and has incorporated the principles of value engineering into our IRM process by embedding them in both EA and CPIC. Our governance process is structured to enhance our agency's value engineering approach and 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
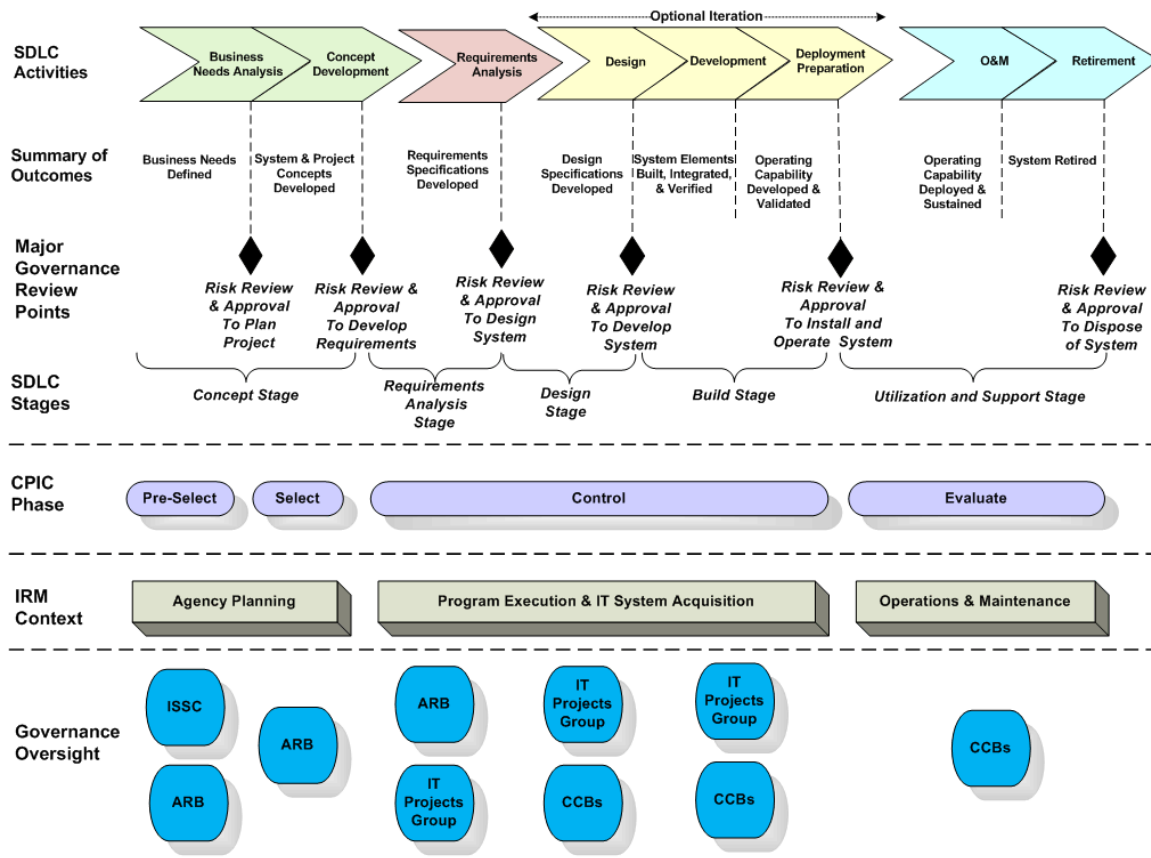
This has been a continually evolving process starting with a business need summary, which is focused solely on the business need (not technical alternatives or solutions) using non-technical descriptions to introduce the proposed investment. This is discussed at an ARB meeting, which meets weekly or 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.[5]

Figure 7. Next Generation NARANET – Concept
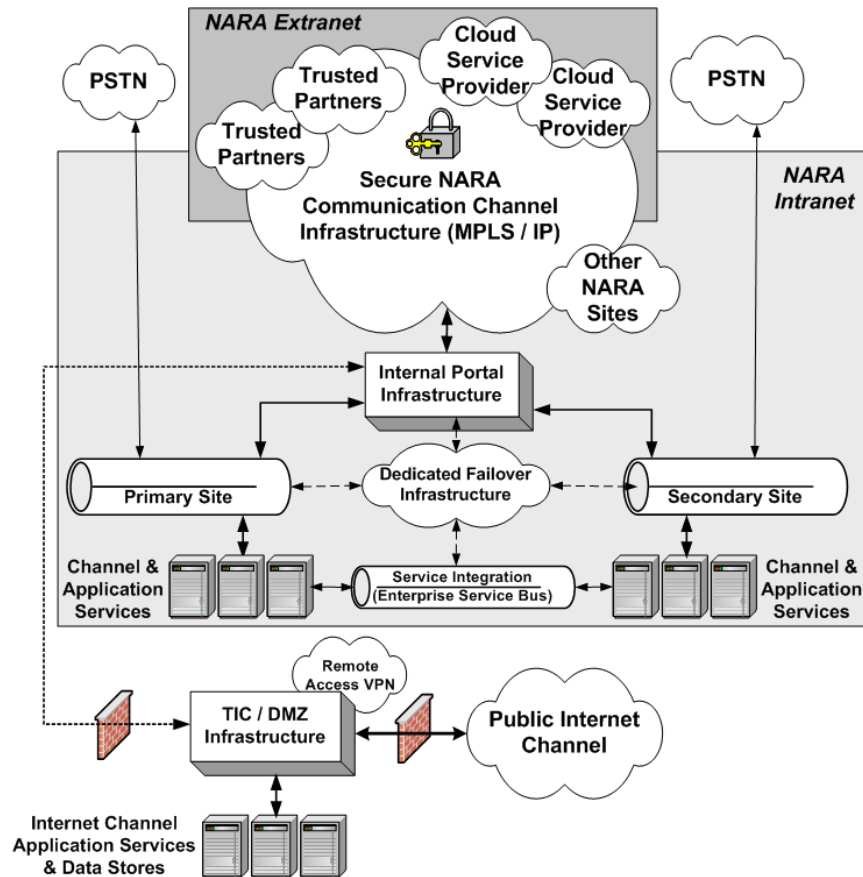
_____
[5] See the *Technical Infrastructure Design* section of the *National Archives and Records Administration Enterprise Architecture.*

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
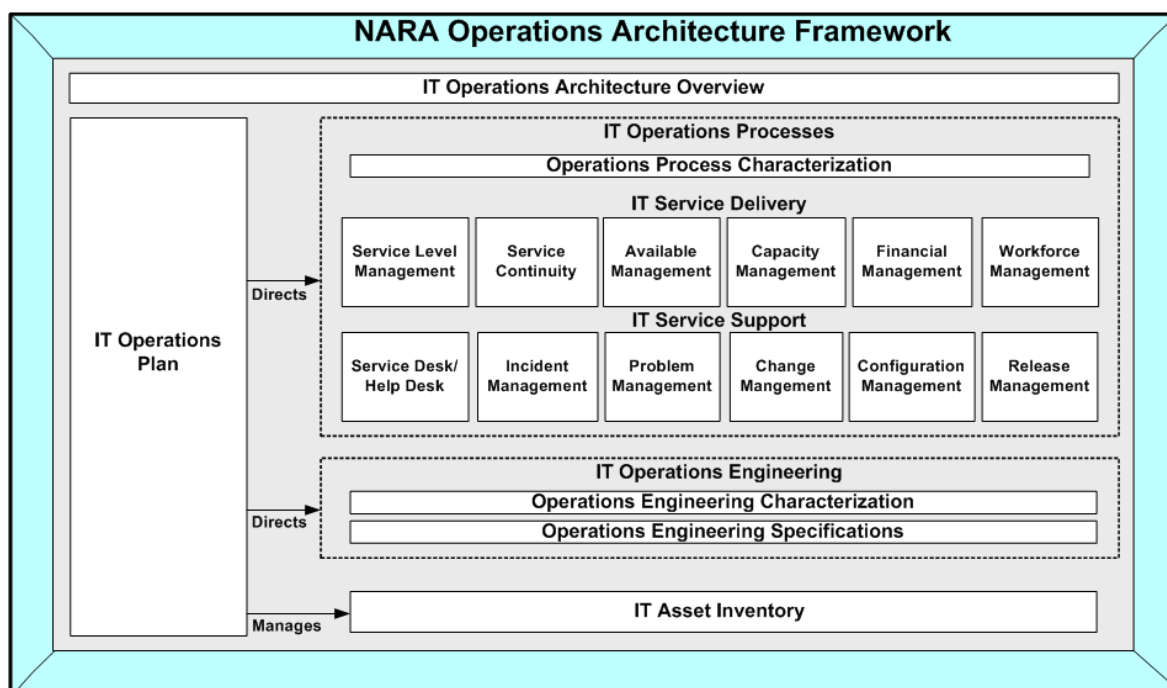
Emerging Technologies

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.