



ATTACHMENT 1 – STATEMENT OF OBJECTIVES

ERA System Development Statement of Objectives

1.0 Purpose of the Statement of Objectives (SOO)

This Statement of Objectives (SOO) describes the contract, technical, management, and NARA business objectives of the Electronic Records Archives (ERA) acquisition. The SOO also describes the National Archives and Records Administration's (NARA's) context, constraints, and dependencies for the ERA acquisition.

This SOO takes precedence over all other Request for Proposal (RFP) ERA system descriptive documentation.

2.0 Introduction/Overview

NARA ensures, for the citizen and the public servant, the President and the Congress and the Courts, ready access to essential evidence that documents the rights of citizens, the actions of federal officials, and the national experience. NARA is a public trust that plays a key role in fostering effective and responsible government through management of the lifecycle of records in all three (3) branches of the federal government and through sustained access to historically valuable records in the National Archives and the Presidential Libraries. These records enable people to inspect for themselves what the government has done, allow officials and agencies to review their actions, and help citizens to hold them accountable.

Increasingly, these records are created and maintained in electronic formats. To continue to fulfill its mission, NARA needs to respond effectively to the challenge posed by the diversity, complexity, and enormous volume of electronic records being created today and the rapidly changing nature of the systems that are used to create them. ERA will be a comprehensive, systematic, and dynamic means for preserving virtually any kind of electronic record, free from dependence on any specific hardware or software. ERA will manage lifecycle activities for all records.

There is no single commercial solution available today that meets the full end-to-end requirements for ERA. This SOO describes ERA's objectives and the way NARA must capture, preserve, and provide access to electronic records. The future of NARA's mission depends on the successful development and implementation of ERA.

3.0 The ERA Program

The Archivist of the United States established the ERA Program to address critical issues in the creation, management, and use of electronic records. As a program, ERA comprises the policies, procedures, practices, and the necessary technology that will enable NARA to build the ERA System to receive, preserve, and provide access to electronic records and improve the productivity of NARA business processes.



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ERA will be the catalyst for fundamental changes in retention, control, transmission, and access to electronic records and will provide management of records lifecycle activities. NARA will develop tools, processes, policies, and standards by which it can preserve and make available increasingly complex electronic records.

Some internal NARA systems as well as systems external to NARA will have to interface with ERA. A description of the kinds of interfaces required is provided in the *ERA Requirements Document (RD)* in Section J-2.

NARA intends the ERA architecture and design to be evolvable, scalable, extensible, and usable over time in order to effectively insulate records against hardware or software dependence and support system maintainability. ERA's evolvability will be achieved by accommodating technology insertion seamlessly over time using standard Application Program Interfaces (APIs) and industry accepted interfaces. ERA will be scalable by adding hardware when required. This hardware infusion will result in horizontal scaling (i.e., along the lines of a flattened architecture). ERA must capitalize on the most efficient and cost-effective hardware at a given point in time when fielding a system, while at the same time anticipating the cost/performance curve for technology insertion. ERA will be deemed extensible by the ease with which new record types, data types, and services on these various types can be added to the system without redesign or extensive software engineering. ERA will be determined to be usable by the extent to which the system's performance and user interface satisfy its users. NARA intends to create an ERA solution that minimizes operation and support costs throughout the life of the system, while achieving long-term supportability.

4.0 Acquisition Strategy

The contract period of performance, including all options, will be eight (8) years. The approach of this acquisition is to select one (1) or two (2) contractors for the initial System Analysis and Design phase. At the completion of this phase, NARA will conduct a down-select activity to select one (1) contractor for subsequent development, deployment, and operation and support of ERA's increments. The down-select criteria for selection are provided in Section J-3 of this RFP. Each of the increments will be offered as options. The initial option period (Increment 1) will be for two (2) years, and the options for the remaining increments will be for one (1) year each. Operations and Support (O&S) of the system will be offered as options as well. The final option period will be for one (1) year and only for O&S of the system as delivered at the end of the fifth increment.

An Award Fee Plan will be used to incentivize the performance of the ERA development contractor for the period from Increment 1 through 5, and operation and support. This plan will be negotiated with the winner at down-select prior to exercising Option 1.

NARA is seeking an ERA system, based on the *ERA RD*, that balances the use of Commercial-Off-The-Shelf (COTS) and new software development to achieve the most reliable, cost effective, and maintainable system for the government.



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NARA desires a collaborative working relationship with the development contractor that integrates with the processes, procedures, and tools used by the ERA Program Management Office (PMO) in the areas of program management, risk management, security, requirements management, quality management, configuration management, and test and evaluation. NARA desires a contractor that has achieved at least Software Capability Maturity Model (SW-CMM) or Capability Maturity Model Integrated (CMMI) Level 3 maturity and will perform at this level. To show this level of maturity relative to the SW-CMM, the Contractor must have been independently appraised or evaluated at Level 3 or higher of the SW-CMM during the past 18 months for the operating unit performing the work for this contract. This may be either a Software Engineering Institute (SEI) Software Capability Evaluation (SCE) or CMM Based Appraisal for Internal Process Improvement (CBA-IPI). For the CMMI, the Offeror must have received an independent Standard CMMI Appraisal Method for Process Improvement (SCAMPI) appraisal at Level 3 or higher (staged representation) for any of the version 1.1 models.

5.0 Program Phases & Increments

The ERA program will consist of a base contract (System Analysis and Design phase), and five (5) optional increments and associated optional operations and support.

5.1 System Analysis and Design Phase

During system analysis, the high level requirements contained in the ERA RD, provided in Section J-2, will be decomposed into detailed system requirements. The detailed system requirements will be allocated to individual system elements (e.g., hardware, software, and operations) as well as to the increments. The output of this activity will be a System Requirements Specification (SyRS) and System Requirements Review (SRR).

Using the SyRS, each contractor will identify and organize the functions to be performed by the system, allocate these functions to subsystems, and define the flows of information and the interfaces between the subsystems and components. Each of the major Configuration Items (CIs) in the system will be identified and defined during the system design phase. Each CI will be described in terms of what its functionality is within the system. The output of this activity will be a System Architecture and Design Document (SADD), which will be presented at a System Design Review (SDR). Each contractor will develop a prototype of functionality for disposition/scheduling and template management.

5.2 ERA Increments

NARA is seeking an incremental ERA solution where each of ERA's five (5) increments meets the performance objectives for that increment, as laid out in **Section 6.0, Program Performance Objectives**, below. The completion of Increment 1 will provide an ERA Initial Operational Capability (IOC). At a minimum, Increment 1 of ERA will include end-to-end workflow functionality of core records lifecycle management functions of NARA. It will also provide for the capability to ingest and store electronic records in the format in which they are received. The



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completion of Increment 5 will provide an ERA Full Operational Capability (FOC). O&S of the system will be provided after deployment of each increment.

NARA requires delivery of a number of major, fully baselined ERA system releases during the increments, which will be formally tested and accepted by the Government. For Increment 1 a minimum of three (3) releases are required. The Government desires early implementation of useful system functional capability. Release 1 of Increment 1 will be an instance of the system which is suitable for technological testing, and will have an associated ERA prototype of limited functionality, suitable for end user exposure. For Increments 2 – 5, a minimum of two (2) releases are required per increment. However, if appropriate, the contractor may develop and deliver additional releases. Increments will overlap to allow the analysis and design activities for the next increment to begin while the testing of the final release of the current increment is underway.

6.0 Program Performance Objectives

The objectives of the ERA program are as follows.

The high level objective is to demonstrate government acceptance in the operational environment in accordance with the following schedule.

- IOC no later than three (3) years after contract award
- FOC no later than seven (7) years after contract award

The following table shows the performance objectives for the ERA system. These objectives are related to the Federal Enterprise Architecture's Performance Reference Model. The measurement indicators are further related to NARA's Strategic Plan and its long range performance targets. For each measurement indicator a baseline for the indicator (the expected value for that indicator in 2006) is provided along with target performance objectives for the subsequent years (2007 - 2012) during which the ERA System will be incrementally deployed. These performance objectives express the results that NARA expects to achieve through the FOC deployment of the ERA system.



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ERA #	Measurement Area	Measurement Category	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
1	Mission and Business Results	General Government	Percentage of scheduled archival electronic records accessioned by NARA at the scheduled time [NARA Strategic Long-Range Performance Target 2.2]	40%	60%	80%	85%	88%	92%	95%
2	Mission and Business Results	General Government	Percentage of archival electronic holdings managed at the planned Preservation and Access Level [NARA Strategic Long-Range Performance Target 2.3]	40%	60%	80%	85%	88%	92%	95%
3	Customer Results	Customer Benefit	Percentage of Federal Agencies satisfied with NARA scheduling and appraisal services [NARA Strategic Long-Range Performance Target 1.3]	50%	60%	95%	95%	95%	95%	95%
4	Customer Results	Customer Benefit	Percentage of customers satisfied with ERA services [Related to NARA Strategic Long-Range Performance Target 2.3]	Not applicable	55%	75%	80%	85%	90%	95%
5	Customer Results	Service Accessibility	Percentage of electronic records open and available online [Related to NARA Strategic Long-Range Performance Target 2.3]	5%	10%	15%	25%	40%	60%	85%



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ERA #	Measurement Area	Measurement Category	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
6	Customer Results	Service Accessibility	Median time to complete review and redaction of access restricted electronic records [Related to NARA Strategic Long-Range Performance Goals 3.4, 3.5, 3.6]	Establish baseline	25 days	15 days	13 days	11 days	9 days	7 days
7	Customer Results	Service Accessibility	Percentage of holdings for which descriptive information is available [NARA Strategic Long-Range Performance Target 3.3]	60%	70%	80%	85%	88%	92%	95%
8	Customer Results	Service Accessibility	Percentage of electronic records holdings available online [Related to NARA Strategic Long-Range Performance Target 3.6]	0%	5%	10%	20%	35%	55%	80%
9	Processes and Activities	Productivity and Efficiency	Percentage of records schedule items submitted and approved electronically [NARA Strategic Long-Range Performance Target 1.3]	0%	20%	30%	50%	75%	85%	95%
10	Processes and Activities	Cycle Time and Resource Time	Median time from the transfer of archival electronic records to NARA until they are available for access [NARA Strategic Long-Range Performance Target 2.4]	110 days	75 days	35 days	30 days	25 days	20 days	15 days
11	Technology	Reliability and Availability	Number of customers using ERA services [Related to NARA Strategic Long-Range Performance Target 2.3]	650,000	800,000	1,200,000	1,500,000	1,875,000	2,343,750	2,929,688



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ERA #	Measurement Area	Measurement Category	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
12	Technology	Information and Data	Percentage of archival electronic records preserved in a persistent format [Related to NARA Strategic Long-Range Performance Target 2.3]	80% ⁽¹⁾	5%	10%	15%	20%	25%	30%
13	Technology	Financial	Total archival electronic records management costs per gigabyte [NARA Strategic Long-Range Performance Target 2.5]	\$14.34	Decrease by 10%	Decrease by 10%	Decrease by 5%	Decrease by 5%	Decrease by 5%	Decrease by 5%
14	Technology	Reliability and Availability	Electronic Records Recall Percentage [Related to NARA Strategic Long-Range Performance Target 3.1]	40%	Increase by 5%	Increase by 5%	Increase by 5%	Increase by 5%	Increase by 5%	Increase by 5%

⁽¹⁾ Represents 80% of a very small volume. In 2007, a large initial volume is expected which will dramatically reduce the percentage of persistently formatted records.



7.0 Deployment Approach

The ERA system requires design and deployment approaches that support its unique nature and mission goals. The Government will maintain ownership and control of at least one (1) copy of its electronic holdings at all classification levels and will own all hardware, software, and equipment for the core system containing that copy. The core system must reside at sites that are owned or controlled by the Government. The design and deployment of ERA must allow for contracting out of record processing and access support to third parties, including a provision for value added services on record holdings by industry and academia. Technically, the system design must avoid single point/site of failure situations, must provide for graceful performance degradation of the system when failures occur, and support continuity of system operations in face of remedial maintenance, preventative maintenance, and planned upgrades/changes. Highlights of the ERA deployment strategy include:

- a) Subject to security constraints, NARA will accommodate the use of outsourcing of processing and hosting services while retaining NARA's stewardship of the records entrusted to it;
- b) The ERA system will be built up from components that provide ERA services;
- c) The ERA core system is a group of instances that reliably preserve and service a full copy of all records for which NARA is responsible. The core system includes any classified instances that may be required;
- d) An active safe store approach will manage backup copies of records. In this approach, individual ERA sites act as the safe store for other ERA sites;
- e) The designated installation sites will be controlled, but not necessarily owned, by the Government; and
- f) NARA may, subject to the limitations of the Government's software and data rights, make the core system software and specifications available to industry, academia, and other government agencies.