

U.S. National Archives and Records Administration **FISCAL YEAR 2014-2018**

STRATEGIC

One NARA Out in Front An Agency of Leaders A Great Place to Work A Customer-Focused Organization An Open NARA

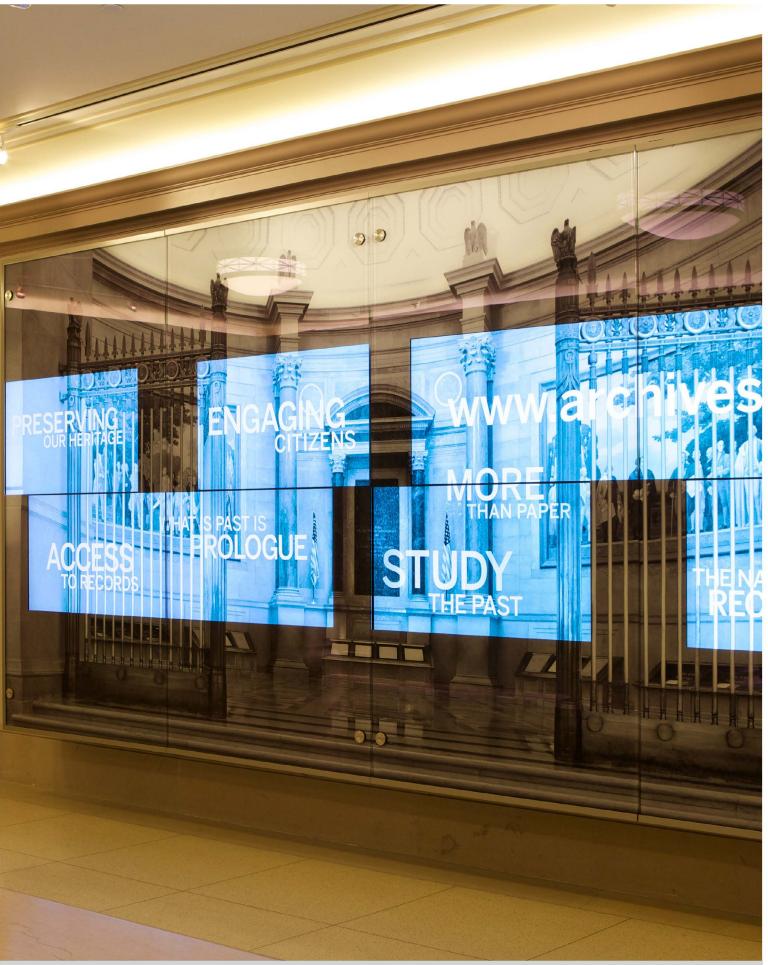


U.S. National Archivesand Records Administration

FISCAL YEAR 2014-2018

STRATEGIC PLAN

MARCH 2014



Video display in the Orientation Plaza outside the new David M. Rubenstein Gallery. Location: Orientation Plaza, National Archives Museum, Washington, DC.

The Archivist of the United States



It is my pleasure to present the Strategic Plan of the National Archives and Records Administration (NARA) for fiscal years 2014 through 2018.

The core mission of the National Archives remains unchanged from the day we were created as a Federal agency in 1934: making the records of the U.S. Government available to the public. We are passionate about this mission because these records are the cornerstone of our democracy. They give people the information they need to learn from the past, to ensure their rights, to hold their government accountable, and to participate in the civic process.

Times have changed, and we have changed with them. This plan sets a bold new direction that will ensure the continued and increased relevance of archives and the people who do this important work. It will also ensure the continued and increased relevance of truly democratic access to our holdings in a digital society.

Traditional archival techniques of managing, preserving, providing access to, and interacting with these Federal records and artifacts will be adapted to new types of records, users, and technologies. We accept the challenge to both lead and serve our colleagues and partners in the archival, records management, information management, library, museum, and allied professions.

Our plan for the future of the National Archives is based on four strategic goals:

- Make Access Happen
- Connect with Customers
- Maximize NARA's Value to the Nation
- Build Our Future through Our People

There are goals and initiatives within this plan which will not be fully achieved during this strategic planning cycle; however, it is critical that we name those aspirations and start a deliberate course to achieve them.

Key to the success of our plan is a dedicated staff. Located in more than 40 facilities across the country, our fewer than 3,200 employees are a diverse group of incredibly talented individuals who love what they do. They are the foundation on which we build, and we commit to helping them flourish.

I am deeply appreciative of the ideas, suggestions, and expertise contributed by NARA staff, partners, and stake-holders in the creation of this plan. I am grateful for our Congressional and Administration partnerships, their support of our mission, and their understanding of the value of our services.

I am honored to work with you and look forward to achieving our mission of driving openness, cultivating public participation, and strengthening our nation's democracy through public access to high-value government records.

David S. Ferriero

Archivist of the United States



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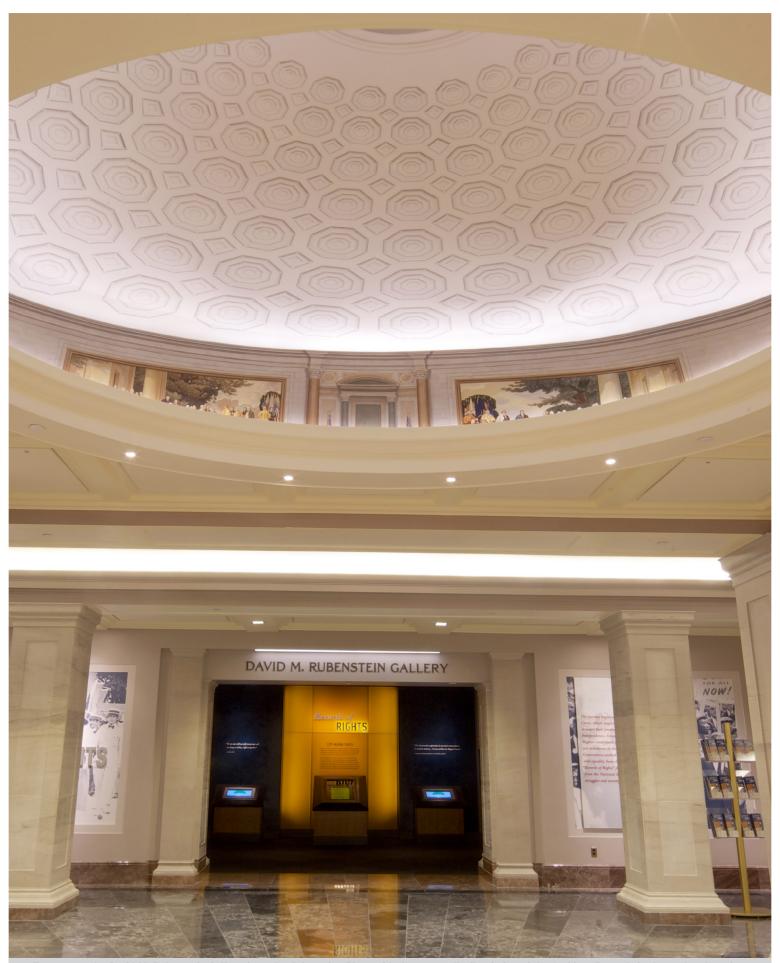
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Entrance to the David M. Rubenstein Gallery from the Orientation Plaza with the trompe l'oeil painting of the Archives Rotunda in the oculus. Location: Orientation Plaza, National Archives, Washington, DC.

STRATEGIC CONTEXT:

NARA's Transformation

The National Archives and Records Administration (NARA) is engaged in a multiyear effort to transform itself into a dynamic and modern agency. The NARA Transformation—launched in 2010—is a long-term undertaking to foster a new organizational culture that is agile and responsive to change, accepts risk, rewards innovation, and seeks continuous improvement.

The Transformation is grounded in the Open Government principles that an effective government is transparent, collaborative, and participatory.

Transformation requires NARA to develop new ways to engage its customers, to advance new theories of archival science, and to demonstrate leadership in electronic records management. NARA's Transformation is guided by six "transformational outcomes" that describe how we will carry out our mission in a modern environment.

NARA completed a significant Transformation milestone in 2011 when it abolished its geographic structure and realigned to key customer segment organizations. The new structure allows better stakeholder engagement, encourages collaboration and participation, and more effectively responds to customer needs. In addition, the recently established Office of Innovation accelerates agency-wide efforts to increase collaboration and provide more opportunities for public participation.

The Transformation activities are changing the organizational culture, which is necessary for NARA to achieve its strategic goals and realize its mission as outlined in this plan, and changes the way people think about archives.

TRANSFORMATIONAL OUTCOMES

One NARA—We will work as one NARA, not just as component parts.

Out in Front—We will embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.

An Agency of Leaders—We will foster a culture of leadership, not just as a position but as the way we all conduct our work.

A Great Place to Work—We will transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.

A Customer-Focused Organization—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.

An Open NARA—We will open our organizational boundaries to learn from others.

STRATEGIC CONTEXT:

Challenges and Opportunities Affecting NARA, 2014-2018



As we work to improve management, preservation, and access to our records, these challenges and opportunities will influence our strategies in the years 2014 through 2018.

- Electronic records are—and will continue to be—NARA's single greatest challenge and opportunity. NARA must modernize its approach to accepting, storing, and providing public access to records, in order to manage increasingly larger volumes of electronic records, in larger file sizes, and in a variety of formats. "Big data," social media, and public use and re-use of government data are changing the nature of government records in ways that challenge traditional records management practices.
- Open Data and Digital Government—The Administration has set clear goals for all Executive branch agencies to provide government information online and in machine-readable formats. "Open data" will change the nature of Federal records that NARA will receive in the future and challenges us to make more of our existing, paper-based archives available online and in searchable formats.
- Cloud Computing and IT Shared Services—The Administration is encouraging agencies to move more applications and data storage to lower-cost, commercial hosting. NARA must meet this challenge by developing a cloud archiving strategy so that records created and used "in the cloud" can also be archived, preserved, and made publicly available in the cloud. We must also determine if there is a continuing need for centralized, fee-for-service storage of temporary and pre-archival electronic records similar to the paper-based services that we provide through Federal Records Centers.

- Public Participation and Engagement—Open Government concepts are guiding agencies to focus on encouraging public participation and engagement using the latest media tools. NARA must seek new ways to solicit public input and increase collaboration opportunities. It is imperative that new records management techniques be developed and implemented to capture real-time social and government interactions. NARA also anticipates continued public demand to learn about America's government and history in person or online at NARA exhibits, educational programs, and public events. NARA will ensure that traditional services remain available and effective to bridge the digital divide for underserved populations and individuals that may have limited technology proficiency.
- Employee Engagement—NARA has been challenged with low employee satisfaction for many years. We must strengthen our efforts to provide all employees with an engaging, productive work experience now and in the future. We must plan for future workforce needs and ensure that all employees have the opportunity to collaborate, innovate, learn, and grow as professionals.
- Fiscal Realities—The Federal Government budget realities have broad and long-ranging implications for NARA's priorities. Eliminating waste from our budget and redoubling our efforts toward greater efficiency and economy in our operations have been consistent focus areas. Meeting the demands of budget constraints forces an even greater attention to investments that will lead to measurable results and position the agency for stronger future performance.



A class of 11th graders from the Lovett School annual research visit to the National Archives at Atlanta.

Mission

We drive openness, cultivate public participation, and strengthen our nation's democracy through public access to high-value government records.

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

Vision

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

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.

Our Values reflect our shared aspirations that support and encourage our long-standing commitment to public service, openness and transparency, and the government records that we hold in trust.

GOAL 1: Make Access Happen



During its unveiling, history students explore the Founders Online website, made possible with the help of the National Historical Publications and Records Commission. Location: Archivist's Reception Room Lobby, National Archives, Washington, DC.

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.

Objective: Make all records available to the public in digital form to ensure that anyone can explore, discover, and learn from NARA holdings.

Initiatives include:

- Describe all holdings online to make them easy to use and provide archival context.
- Digitize all analog archival records to make them available online.
- 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 outlined in the FY 2014 President's
 Budget submission.

GOAL 2: Connect with Customers



Edith Lee-Payne views an exhibit of records documenting her participation in the 1963 March on Washington. Location: East Rotunda Gallery, National Archives Museum, Washington, DC.

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.

Objective: Improve internal and external customer engagement to cultivate and sustain public participation.

Initiatives include:

- Integrate customer service activities to more proactively respond to and effectively understand our customer needs.
- Expand our use of public participation and crowdsourcing tools to improve public access and engagement.
- Create a unified national outreach program (exhibitions, educational activities, and public programming) that engages diverse audiences in learning about government records and inspires them to more actively participate in America's democratic process.
- Develop a virtual regulatory environment to increase transparency and expand public participation in the Federal rule-making process.

GOAL 3: Maximize NARA's Value to the Nation



Entrance to the National Personnel Records Center in Valmeyer, IL. The National Personnel Records Center has more than 2.5 million cubic feet of storage space and stores temporary records, such as official personnel folders (OPFs) for retired and separated federal civilian employees 1974 forward.

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.

Objective 1: Reform and modernize records management policies and practices within the Federal Government to effectively support the transition to a digital government.

Initiatives include:

- Establish requirements for Federal agencies to manage all permanent electronic records in an electronic format to support the transition to a digital government.
- Stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities.

Objective 2: Drive public and commercial use and re-use of government records to create measurable economic activity.

Initiatives include:

 Provide direct access to record data in machine-readable forms to allow efficient use of the information in our holdings.

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.

Objective 1: Create and sustain a culture of empowerment, openness, and inclusion.

Initiatives include:

- Foster an employee development culture to promote learning and leadership by all.
- Cultivate a robust, well-connected internal communications environment to support informed action at all levels.

Objective 2: Ensure we have a diverse workforce with the skills necessary to fulfill our mission.

Initiatives include:

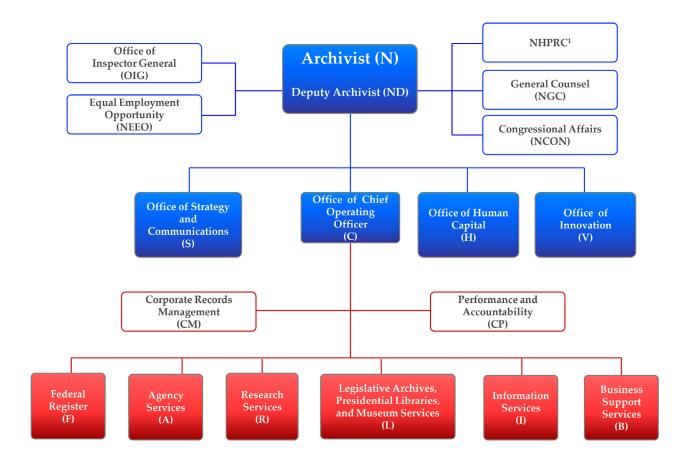
- Implement innovative practices and tools to recruit, sustain, and retain a 21st-century workforce.
- Create new career paths for NARA employees to ensure that we have the necessary competencies and skills in a digital environment.





APPENDIX A:

NARA Organization Chart



¹ National Historical Publications and Records Commission

As of January 2014

Facilities: 45

Affiliated Archives: 10

Number of Employees: 3,112

APPENDIX B:

Environmental Scan Executive Summary

To inform the development of this plan, NARA carried out environmental scan activities in 2012 and 2013 that established the context for the FY 2014–2018 Strategic Plan. Benchmarking; research on guidance documents and current literature; office strategic assessments; and interviews and various surveys of executives, external stakeholders, and employees were conducted. All of this data contributed to the environmental scan information below and also positively affected the behavior and practices within the organization.

Our mandate is to oversee the Federal Government's recordkeeping and ensure preservation of and access to records, including America's most valuable and symbolic documents. The National Archives and Records Administration (NARA) maintains the Government's historically significant records and ensures that the current actions of our Government will be available for future generations.

The major challenges noted in the environmental scan information were identified in both NARA's external and internal environments.

Externally, NARA must continue to demonstrate its value by:

- providing access to its holdings;
- performing its many archival responsibilities, to include preservation, security, and protection of the records; and
- providing oversight to the Federal Government on managing its records, to include strategically managing electronic content created by the Federal Government.

Internally, NARA needs to continue to:

- improve communication,
- provide meaningful career opportunities for employees, and
- enhance supervisors' and managers' skill sets.

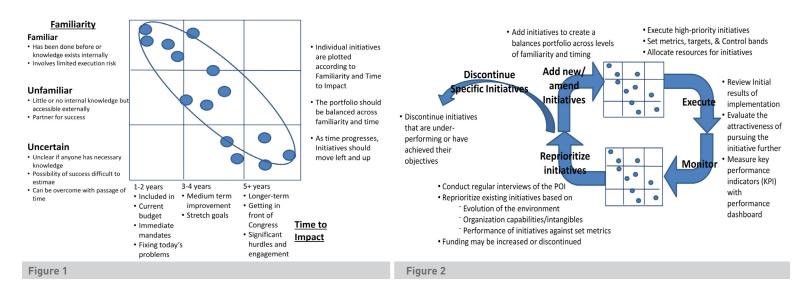
This scan information, as well as feedback on the draft plan from internal and external NARA sources and stake-holders, has been instrumental in the development of the FY 2014–2018 Strategic Plan.

Environmental scan activities like those noted above and others are planned for examination on an ongoing basis to inform changes, updates, and additions to the strategic plan efforts during the FY 2014–2018 period.

APPENDIX C:

Portfolio of Initiatives Construct for Execution

To achieve the goals within the plan, NARA will implement strategic goal reviews using the Portfolio of Initiatives (POI) methodology. The portfolio will allow NARA's leadership to dynamically view and manage the strategy through FY 2018 by actively governing the initiatives through a process that creates and aligns new initiatives while shifting our focus and eliminating lower value-added processes and services as seen in FIGURE 1. In addition, the cascading effect of the POI throughout NARA will align all activities into a comprehensive and integrated plan.



The rapidly evolving nature of technology requires a flexible strategy implementation approach to ensure the right outcomes are achieved, regardless of a changing context. The Portfolio of Initiatives (POI) construct, presented in FIGURE 2, enables this kind of dynamic management of initiatives. In this manner, a balanced and flexible strategy implementation plan can be developed and then continually refined within a consistent construct. Benefits of this approach include:

- Informs resourcing decisions by highlighting two dimensions of opportunity—the risk-return profile and the return time horizon—providing transparency and flexibility in allocating increasingly scarce resources:
- Reinforces the need for innovation in opportunity creation and management, while preserving and evolving the culture in a consistent way; and
- Can quickly integrate current insights on initiative strengths, weaknesses, opportunities, and threats (SWOT) as they evolve—provides adaptability to continually changing external social and environmental contexts.

Source: McKinsey & Company

APPENDIX D: **Glossary**

Access 1. The ability to locate relevant information through the use of catalogs, indexes, finding aids, or other tools. 2. The permission to locate and retrieve information for use (consultation or reference) within legally established restrictions of privacy, confidentiality, and security clearance.

Analog Continuously varying in correlation to a physical process. (SAA Glossary, http://www2.archivists.org/glossary)

Action Plans A sequence of steps that must be taken, or activities that must be performed well, for a strategy to succeed. An action plan has three major elements (1) Specific tasks: what will be done and by whom. (2) Time horizon: when will it be done. (3) Resource allocation: what specific funds are available for specific activities. (http://www.businessdictionary.com/definition/action-plan.html)

Annual Performance Plan Under the GPRA Modernization Act, an agency's Annual Performance Plan defines the level of performance to be achieved during the year in which the plan is submitted and the next fiscal year. (A-11, Section 200-11)

Annual Performance Report (APR) A report on agency performance that provides information on the agency's progress toward achieving the goals and objectives described in the agency's Strategic Plan and Annual Performance Plan, including progress on the Agency Priority Goals (APGs) [Note: NARA does not have APGs]. The report is delivered to Congress every February with an agency's Congressional Budget Justification or alternatively, the APR may be delivered as a performance section of the Performance and Accountability Report that is published by agencies in November. (A-11, Section 200-11)

Community of Practice Communities of practice are groups of people who share a concern or a passion for something they do and learn how to do it better as they interact regularly. (http://www.ewenger.com/theory/)

Competency An observable, measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics that an individual needs to perform work roles or occupational functions successfully.

Cross-cutting Across organizational (agency) boundaries—can be internal to NARA or external across other Federal agencies.

Customer Entity receiving and/or using the products or services produced or provided by NARA. Customers are a subset of stakeholders and include, but are not limited to, the Administration, the U.S. Congress, other Federal Departments and Agencies, the public, and our employees and volunteers.

Customer-centric An approach to day-to-day operations and how NARA works that focuses on creating a positive interactive customer experience—operating from the customer's point of view.

Customer Service Measure An assessment of product or service delivery to a customer, client, citizen, organization, or other recipient that includes an assessment of quality, timeliness, and satisfaction, among other factors.

Data at Rest The term used to describe all data in storage but excludes any data that frequently traverses the network or that resides in temporary memory. Data at rest includes, but is not limited to, archived data, data which is not accessed or changed frequently, files stored on hard drives or USB thumb drives, files stored on backup tape and disks, and also files stored off-site or on a storage area network (SAN). (http://www.webopedia.com/TERM/D/data_at_rest.html).

Diversity The working definition within this plan for this word includes diversity of thought and individuals' nurture elements, as well as the official definition that includes the different characteristics and attributes of individuals.

Electronic Record Data or information that has been captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render it intelligible by a person. Note: "Electronic records" can encompass both analog and digital information formats, although the term principally connotes information stored in digital computer systems. "Electronic records" most often refers to records created in electronic format (born digital) but is sometimes used to describe scans of records in other formats (reborn digital or born analog). Electronic records are often analogous to paper records; email to letters, word processing files to reports and other documents. Electronic records often have more complex forms, such as databases and geographic information systems. (SAA Glossary, http://www2.archivists.org/glossary)

Goal A statement of the result or achievement toward which effort is directed. Goals can be long- or short-term and may be expressed specifically or broadly. (A-11, Section 200-12)

High-Value Government Information Information that can be used to "increase agency accountability and responsiveness; improve public knowledge of the agency and its operations; further the core mission of the agency; create economic opportunity; or respond to need and demand as identified through public consultation." (M-10-06, Open Government Directive, 2009, pg. 7)

Human Capital An inventory of skills, experience, knowledge, and capabilities that drives productive labor within an organization's workforce.

Inclusion Culture that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the organization so that all individuals are able to participate and contribute to their full potential. (Office of Personnel Management, Government-wide Diversity and Inclusion Strategic Plan, 2011)

Indicator A measurable value that indicates the state or level of something. (A-11, Section 200-13)

Indicator, efficiency A type of measure, specifically a ratio of a program activity inputs (such as costs to hours worked by employees) to its outputs or outcomes. Efficiency indicators reflect the resources used to achieve outcomes or produce outputs. (A-11, Section 200-14)

Initiative Initiatives are the individual strategic-level activities undertaken to achieve the goals in a strategic plan; they are described in the "Do X to achieve Y" format. (A-11, Section 200-14)

Machine-Readable Format Format in a standard computer language (not English text) that can be read automatically by a web browser or computer system, e.g., xml. (A-11, Section 200-15)

Performance Indicator The indicator for a performance goal that will be used to track progress toward a goal or target within a timeframe. By definition, the indicators that agencies set as targets with timeframes are performance indicators. (A-11, Section 200-14)

Measure See indicator.

Milestone A scheduled event signifying the completion of a major deliverable or a phase of work. (A-11, Section 200-15)

Objective See strategic objective.

Partner/Partnerships Organizations or entities outside a Federal agency that work with the agency. (A-11, Section 200-11)

Performance Budget A budget format that relates the input of resources and the output of services for each organizational unit individually.

Performance Goal A statement of the level of performance to be accomplished within a timeframe, expressed as a tangible, measurable objective or as a quantitative standard, value, or rate. (A-11, Section 200-13)

Performance Improvement Performance improvement is the concept of measuring the output of a particular process or procedure, then modifying the process or procedure to increase the output, increase efficiency, or increase the effectiveness of the process or procedure. (http://en.wikipedia.org/wiki/Performance_improvement)

Portfolio of Initiatives The portfolio is the complete set of initiatives undertaken by an organization to achieve its strategic objectives; it should include only strategic-level Initiatives; it should not include day-to-day business. (Source: McKinsey & Co.)

Records Lifecycle The distinct phases of a record's existence, from creation to final disposition. Notes: Different models identify different stages. All models include creation or receipt, use, and disposition. Some models distinguish between active and inactive use, and between destruction and archival preservation. (SAA Glossary, http://www2.archivists.org/glossary)

Stakeholder A person, group, or organization that has interest or concern in an organization. (http://www.businessdictionary.com/definition/stakeholder.html, 08/15/2013)

Strategic Goal A statement of aim or purpose that is included in a Strategic Plan. Strategic goals articulate clear statements of what the agency wants to achieve to advance its mission and address relevant national problems, needs, challenges, and opportunies. These outcome-oriented strategic goals and supporting activities should further the agency's mission. (A-11, Section 100-12)

Strategic Objective Strategic objectives reflect the outcome or management impact the agency is trying to achieve and generally include the agency's role. Objectives are usually outcome oriented; however, management objectives may be established to communicate the breadth of agency efforts. (A-11, Section 100-12)

Strategic Plan The Strategic Plan presents the long-term objectives an agency hopes to accomplish, set at the beginning of each new term of an Administration. It describes general and long-term goals the agency aims to achieve, what actions the agency will take to realize those goals, and how the agency will deal with the likely challenges to achieving the desired result. (A-11, Section 200 -17)

Strategic Review An agency's management process (or set of processes) used to assess progress on its strategic objectives, in consultation with OMB. (A-11, Section 200-17)

Strategic Human Capital Plan Human capital planning is the method by which an agency designs a coherent framework of human capital policies, programs, and practices to achieve a shared goal. (OPM, Key Components of a Strategic Human Capital Plan, September 2005, pg. 1)

Talent Management System A talent management system (TMS) is an integrated methodology that addresses the "four pillars" of talent management: recruitment, performance management, learning and development, and compensation management. (http://en.wikipedia.org/wiki/Talent_management_system, 08/15,/2013)

Template (aka Greet Sheet) Document used on an ongoing basis to develop, establish, and monitor an initiative until achieved.





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Vision

We drive openness, cultivate public participation, and strengthen our nation's democracy through public access to high-value government records. We will be known for cutting-edge access to extraordinary volumes of government information and unprecedented engagement to bring greater meaning to the American experience. Collaborate—Create an open, inclusive work environment that is built on respect, communication, integrity, and collaborative team work

Learn—Pursue excellence through continuous learning and become smarter all the time about what we know and what we do in service to Innovate—Encourage creativity and invest in innovation to build our future.

Strategic Goals and Objectives

Make Access Happen

Make all records available to the discover, and learn from NARA public in digital form to ensure that anyone can explore,

Connect with Customers

Improve internal and external cultivate and sustain public customer engagement to participation.

Maximize NARA's Value to the Nation

- support the transition to digital government management policies and practices within the Federal Government to effectively 1. Reform and modernize records
- Drive public and commercial use and reuse of government records to create measurable economic activity. رز ا

Build Our Future Through Our

- 1. Create and sustain a culture of empowerment, openness, and inclusion.
- necessary to fulfill our mission. workforce with the skills 2. Ensure we have a diverse

What NARA does

How NARA works

Values



The crowd gathered at the National Archives for the Fourth of July celebration enjoys the performance from a fife and drum corps. Location: Constitution Avenue, Washington, DC.

"An informed citizenry is at the heart of what we do—rooted in the belief that citizens have the right to see, examine, and learn from the records that guarantee their rights, document government actions, and tell the story of the nation."

David S. Ferriero

Archivist of the United States

Remarks at the Independence Day Ceremony, National Archives Building, Washington, DC July 4, 2012