# Table of Contents

I. Agency Overview

II. Budget

III. Strategic Plan

IV. Issue Papers
   1. NARA’s Role in Assisting the White House
   3. Aging Federal IT Infrastructure Poses Risk to Records Management
   4. Federal Records and the Electronic Records Archives (ERA)
   5. Critical Shortage of Archival Storage Space
   6. 2017 Deadline Concerning JFK Assassination Records
   8. Implementation of the Controlled Unclassified Information (CUI) Program
   9. NARA’s Open Government Leadership
   10. Need for Increased Oversight of Records Management

V. Congressional Affairs

VI. Potential Briefing Topics

VII. Background on Senior Leaders

VIII. Office of Inspector General

IX. Organizational Charts

X. Administrative Information
MISSION STATEMENT

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

STRATEGIC GOALS

Make Access Happen.—NARA will make all records available to the public in digital formats, to ensure that anyone can explore, discover, and learn from NARA holdings.

Connect with Customers.—NARA will improve internal and external customer engagement to cultivate and sustain public participation.

Maximize NARA’s Value to the Nation.—NARA will reform and modernize records management policies and practices within the Federal government to effectively support the transition to digital government. NARA will drive public and commercial use and re-use of NARA records to create measurable economic activity.

Build Our Future Through Our People.—NARA will create and sustain a culture of empowerment, openness, and inclusion; and ensure that NARA has a diverse workforce with the skills necessary to fulfill the agency’s mission.

NARA GEOGRAPHIC LOCATIONS

NARA has 44 facilities in 17 States and the District of Columbia. NARA facilities provide for archival storage, Federal Records Centers, and Presidential Libraries. NARA owns three Archives buildings (Washington, DC, College Park, MD, and Atlanta, GA) and 14 Presidential Libraries and Museums.
NARA FUNDS AND ACCOUNTS

Discretionary Appropriations:

Operating Expenses (annual)
Authorized by the organic authority of Title 44, U.S. Code
Provides for NARA operations, including:
- Archival operations, records management, & related functions
- Presidential Libraries & the Office of Presidential Materials
- Electronic Records Archives (ERA) system
- Office of the Federal Register (salaries and expenses)
- NARA management and administration (allocated)

Collects reimbursable income for reproductions provided to the public (through the Trust Fund)

Office of Inspector General (annual)
Authorized by the Inspector General Act of 1978, as amended
Provides for audits and investigations of NARA programs

Repairs and Restoration (no-year)
Authorized by the organic authority of Title 44, U.S. Code
Provides for repairs and renovations to NARA-owned facilities

National Historical Publications and Records Commission (NHPRC) Grants Program (no-year)
Authorized by 44 U.S.C. § 2504
Provides for grants only; administrative costs (including salaries and expenses) are provided by Operating Expenses

NARA ORGANIZATIONS AND FUNDS

Office of the Archivist:
- Operating Expenses
- Records Center Revolving Fund (allocated)
- NHPRC Grants Program
- National Archives Gift Fund

Office of Innovation:
- Operating Expenses

Office of the Chief of Staff:
- Operating Expenses
- Records Center Revolving Fund (allocated)

Office of the Chief Operating Officer:
- Operating Expenses
- Records Center Revolving Fund (allocated)

Legislative Archives, Presidential Libraries, & Museum Services:
- Operating Expenses
- National Archives Trust Fund
- National Archives Gift Fund

Research Services:
- Operating Expenses
- National Archives Trust Fund (reproduction orders)
- National Archives Gift Fund

Agency Services:
- Operating Expenses
- Records Center Revolving Fund
- National Archives Trust Fund (training delivery, reproduction orders)

Office of the Archivist:
- Operating Expenses
- NHPRC Grants Program
- National Archives Gift Fund

Office of the Chief of Staff:
- Operating Expenses
- Records Center Revolving Fund (allocated)

Office of the Chief Operating Officer:
- Operating Expenses
- Records Center Revolving Fund (allocated)

Legislative Archives, Presidential Libraries, & Museum Services:
- Operating Expenses
- National Archives Trust Fund
- National Archives Gift Fund

Research Services:
- Operating Expenses
- National Archives Trust Fund (reproduction orders)
- National Archives Gift Fund

Agency Services:
- Operating Expenses
- Records Center Revolving Fund
- National Archives Trust Fund (training delivery, reproduction orders)

Federal Records Center Revolving Fund (discretionary)
Authorized by 44 U.S.C. § 2901 note
Provides for the Federal Records Center Program:
- Storage and related services for temporary and pre-accessioned Federal records
- Customers are other Federal agencies
- Operates on a full cost recovery basis
- Carry-over limited to 4% of annual revenues
- Includes allocated costs of NARA management and administration

Collects reimbursable income for reproductions provided to the public (through the Trust Fund)

Trust Fund:

National Archives Trust Fund (mandatory)
Authorized by 44 U.S.C. § 2307
Allows NARA to collect fees from the public for:
- Reproductions of records in NARA holdings
- Sales of publications and products
- Admission fees to museums at Presidential Libraries

National Archives Gift Fund (mandatory)
Authorized by 44 U.S.C. § 2307
Permits NARA to solicit and receive conditional and unconditional gifts from non-Federal sources

Information Services:
- Operating Expenses
- Records Center Revolving Fund (allocated)
NARA SOURCES AND USES OF FUNDS

- Gifts from the public: $3 million
- Reimbursements from the public: $18 million
- Reimbursements from other agencies: $189 million
- Appropriations: $389 million
- All other: 6%
- Grants: 1%
- IT: 16%
- Personnel costs & benefits: 44%
- Facilities: 33%

**FY 2016 Sources of Funding**
$598 million *

* excludes $7 million in one-time funding to build-out additional records storage space in the GPO headquarters building

**FY 2016 Uses of Funds**
(appropriations only)
$395 million *

* includes carry-over balances from prior-year appropriations

NARA KEY STATISTICS

**FY 2016 NARA HOLDINGS** (as of September 30, 2016)

- Traditional holdings (cubic feet): 33.4 million
- Non-Archival records (cubic feet): 28.4 million
- Archival records (cubic feet): 5.0 million
- Archival records (number of pages): 12.4 billion

- Artifacts (number of items): 654,000
- Archival electronic records: 708 terabytes

**FY 2016 VISIT DATA**

- Total physical visits (all types): 4,866,000
- Researcher visits: 98,000
- Education and public programs visits: 1,200,000
- Total museum visitors (all locations): 3,568,000
- Washington, DC museum visitors: 1,190,000

**FY 2016 PUBLIC ACCESS STATISTICS**

- Total reference requests: 1,872,000
- Written correspondence: 1,308,000
- Research rooms (items furnished): 501,000
- Freedom of Information Act requests: 50,000
- Document reproduction orders: 13,000
- Federal Register on-line document retrievals: 331 million

- Total web visits: 143 million
- Visits to NARA websites: 100 million
- Visits to external websites: 43 million

- Records declassified and released to the public since January 2010 (pages): 122 million
NARA Budget

NARA’s FY 2017 President’s budget requested $398 million for the agency’s four discretionary appropriations, providing for NARA Operating Expenses, Office of Inspector General, Repairs and Restoration of NARA-owned buildings, and the National Historical Publications and Records Commission (NHPRC) Grants program.

NARA’s request for net Budget Authority was $375 million. NARA net budget authority is calculated as the appropriation request, minus amounts used for repayments of principal on debt held by the public that was used to finance the construction of the National Archives facility at College Park, MD. Repayments of principal are provided from the Operating Expenses appropriation. For FY 2017, this amount totals $23 million. NARA will complete repayment on this debt in FY 2019.

NARA’s highest priorities for the FY 2017 budget request are Presidential Transition, further development of the Electronic Records Archive (ERA) system, and IT security:

- **Presidential Transition**—NARA has requested funds to allow the Archivist of the United States to effectively perform the Presidential transition responsibilities assigned to him by the Presidential Records Act (44 U.S.C. § 2201-2207). Funds requested would provide for the secure transportation of Presidential analog records and artifacts to a temporary storage facility in Chicago, IL and the transport of electronic Presidential records to a secure data center in Keyser, WV. Previous appropriations provided NARA with funding to acquire a temporary site, hire staff to process and manage records and artifacts, and begin limited transfer of electronic records in FY 2016.

- **Electronic Records Archives (ERA)**—NARA has requested additional funds to accelerate development of the next-generation ERA 2.0. ERA is NARA’s primary electronic information systems for storing, preserving, and ensuring continued public access to permanently-valuable, archival, electronic records. ERA 2.0 will provide enhanced functionality to Federal agency customers, transition to storage from on-premises servers to secure, cloud-based hosting, and subsume outdated legacy systems.

- **Information Technology Security**—NARA has requested additional funding to bolster agency cyber-security efforts, including funds necessary to complete implementation of Homeland Security Presidential Directive (HSPD) 12 requirements to use Personal Identity Verification (PIV) credentials to access NARA facilities and information systems.
NARA’s FY 2016 obligations totaled $611 million, including obligations from NARA’s four discretionary appropriations, plus a revolving fund, gift fund, and trust fund. NARA’s Records Centers Revolving Fund is discretionary, but is funded entirely by reimbursements from other Federal agencies. The National Archives Trust and Gift Funds are both mandatory appropriations, funded by proceeds from sales to the public and gifts from the public, respectively.

- **NARA Operating Expenses** is an annual appropriation that provides for the operation of the Federal government’s archives and records management activities, the preservation of permanently valuable historical records, and their access and use by the public.

- **Office of Inspector General** is an annual appropriation that provides for the salaries and expenses of the NARA Office of Inspector General (OIG).

- **Repairs and Restoration** is a no-year appropriation that provides for the repair, alteration, and improvement of the 17 Federal buildings NARA owns, operates, and maintains: the National Archives buildings in Washington, DC, College Park, MD, and Atlanta, GA, and fourteen Presidential Libraries and Museums across the United States.

- **National Historical Publications and Records Commission (NHPRC) Grants Program** is a no-year appropriation that provides for grants to preserve and publish non-Federal records that document American history. NHPRC grants are competitively-awarded, matching grants. This appropriation provides for grant awards only: The administrative costs of the program are provided for within NARA Operating Expenses.

- The **Records Centers Revolving Fund** is a full cost recovery revolving fund that provides for storage and related services for temporary and pre-archival Federal records stored at Federal Records Centers. Operations of NARA Federal Records Centers are financed from user charges collected from other Federal agencies; once collected, funds are available for obligation without fiscal year limitation. A portion of NARA common administrative costs are charged to this Fund account, to ensure that costs recovered are the full cost of services provided.

- The **National Archives Trust Fund** is a revolving trust fund, financed by proceeds from sale of records reproductions, publications, special works, and admissions fees to Presidential Library museums. The Trust Fund invests excess revenues from sales and donations, and uses income earned on investments to support National Archives programs.

- The **National Archives Gift Fund** is a gift fund that is used to exercise the authority of the Archivist of the United States to solicit and accept both conditional and unconditional gifts. The Gift Fund maintains endowments for selected Presidential Library and Museum facilities, and interest earned is used to offset operating costs for those facilities.
U.S. National Archives
and Records Administration
FISCAL YEAR 2014–2018

STRATEGIC PLAN
U.S. National Archives
and Records Administration
FISCAL YEAR 2014–2018
STRATEGIC PLAN
MARCH 2014
LETTER FROM
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 stakeholders 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
An Archives Technician separates fragile burned personnel records at the National Personnel Records Center in St. Louis, Missouri.
## Table of Contents

Opening day at the George W. Bush Presidential Library and Museum in Dallas, Texas.

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Context</td>
<td>1</td>
</tr>
<tr>
<td>Mission and Vision</td>
<td>4</td>
</tr>
<tr>
<td>Strategic Goals</td>
<td>5</td>
</tr>
<tr>
<td>Appendix A – NARA Organization Chart</td>
<td>A</td>
</tr>
<tr>
<td>Appendix B – 2013 Environmental Scan Summary</td>
<td>B</td>
</tr>
<tr>
<td>Appendix C – Portfolio of Initiatives Construct</td>
<td>C</td>
</tr>
<tr>
<td>Appendix D – Glossary</td>
<td>D</td>
</tr>
<tr>
<td>Strategic Plan Framework</td>
<td>E</td>
</tr>
</tbody>
</table>
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

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

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.
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.
Front entrance to the new National Archives at St. Louis/National Personnel Records Center building. This facility center stores more than 2.3 million cubic feet of records, including military personnel records, military service treatment records and military organizational records.
APPENDIX A:
NARA Organization Chart

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 stakeholders, 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.

![Figure 1](image1)

![Figure 2](image2)

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.e Wenger.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 opportunities. 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.
Mission, Vision, Values, and Goals

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

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

**Values**
- **Collaborate**—Create an open, inclusive work environment that is built on respect, communication, integrity, and collaborative team work.
- **Innovate**—Encourage creativity and invest in innovation to build our future.
- **Learn**—Pursue excellence through continuous learning and become smarter all the time about what we know and what we do in service to others.

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### Strategic Goals and Objectives

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

**Connect with Customers**
Improve internal and external customer engagement to cultivate and sustain public participation.

**Maximize NARA’s Value to the Nation**
1. Reform and modernize records management policies and practices within the Federal Government to effectively support the transition to digital government.
2. Drive public and commercial use and re-use of government records to create measurable economic activity.

**Build Our Future Through Our People**
1. Create and sustain a culture of empowerment, openness, and inclusion.
2. Ensure we have a diverse workforce with the skills necessary to fulfill our mission.

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*What NARA does*

*How NARA works*
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
NARA’s Role in Assisting the White House

NARA provides legal guidance and technical support for managing Presidential records and gifts.

- NARA routinely provides records management guidance to the White House upon request. The Presidential Records Act of 1978 (PRA, 44 U.S.C. §§ 2201–2209) defines a Presidential record (which must be retained and automatically transfers to NARA when the President leaves office) versus a personal or political record (which is the personal property of the President). However, the definitions are very broad, and NARA provides interpretation and advice based on experience with previous administrations. NARA also has significant expertise in the development and management of electronic records systems and is prepared to provide guidance to support the development and maintenance of these systems in order to ensure their effective transfer to NARA at the end of the Administration, as required by the PRA.

- NARA provides the White House with access to Presidential and Vice Presidential records of former administrations that are needed for on-going business of the incumbent President, upon request and after the former President raises no claim for constitutionally based privileges (44 U.S.C. § 2205(2)(B)). NARA also notifies the incumbent President, through the Counsel to the President before any Presidential records of past administrations are publicly released (44 U.S.C. § 2208) or provided to Congress or the Courts (44 U.S.C. § 2205(2)(A) and (C)). This notification allows the incumbent and former Presidents an opportunity to review for constitutionally based privileges. NARA provides the same notice to the former President from whose administration the records came.

- NARA reviews and provides guidance on records disposal requests of the incumbent President. The Archivist of the United States must provide his views in writing before the President may dispose of any incumbent Presidential records (44 U.S.C. § 2203). The PRA establishes a presumption that all Presidential records will be preserved and transferred to NARA for eventual public access; however, certain types of administrative or high-volume records may be appropriate for disposal by the incumbent Administration. Past authorized disposals include various records of the Office of Administration, routine public mail, and automatically-generated electronic files.

- NARA provides secure courtesy storage for incumbent Presidential records and gifts received during the Administration. Inactive records, as well as gifts and other historical materials, of the incumbent President and Vice President are held in secure courtesy storage space at the National Archives. All materials remain in the legal custody of the White House until the end of the Administration. Upon request, NARA quickly returns materials to the White House.
• NARA supports planning for the future Presidential Library of the incumbent President. At the end of the Administration, Presidential records are automatically transferred to the legal custody of the Archivist of the United States. NARA is responsible for physically removing all Presidential records, gifts, and other historical materials designated for deposit with NARA from the White House at the end of the Administration, and moving the materials to NARA's temporary presidential library facility.

• NARA provides facsimiles of records to the White House for visiting heads of state gifts and for gifts the President presents when he is on official State visits.

• NARA provides two detailed staff to assist the National Security Council staff with the declassification review of the papers of the former Presidents.

**NARA supports the White House on the management of Federal records and oversight of classified information.**

• NARA provides guidance and approves records retention schedules for Executive Office of the President (EOP) staff who create Federal records. NARA works with the Office of Administration and other EOP staff to provide records management guidance, training, assistance with particularly difficult recordkeeping problems or issues, and the review and approval of records retention schedules.

• NARA's Information Security Oversight Office oversees the security classification programs for the entire Government and reports annually to the President on their status, in accordance with Executive Order 13526, “Classified National Security Information”.

**NARA publishes Presidential documents that support the exercise of Executive power.**

• NARA publishes the daily *Federal Register*, which is used by the President to publish Executive Orders, Presidential Proclamations, Title 3 of the Code of Federal Regulations, and other official Presidential actions. The *Federal Register* also provides the public with the opportunity to comment on proposed regulatory actions by Executive branch departments and agencies and provides official public notice of effective, final rules. The *Federal Register* is printed every business day and is available online at FederalRegister.gov. Title 3 of the Code of Federal Regulations is an annual compilation and is available online at fdsys.gov.

• NARA publishes the *Emergency Federal Register*. Executive Orders and Presidential Proclamations relating to national security emergencies are required to be published in the *Federal Register* to become legally effective. Federal agencies responding to natural disasters and national security emergencies generally must publish regulatory actions in the *Federal Register* to make them legally enforceable. The *Emergency Federal Register* fulfills these publication requirements during national emergencies.

• NARA publishes the *Daily Compilation of Presidential Documents*, on an official website hosted by the Government Publishing Office, which provides public access to all official, legally-noticed Presidential statements and signed papers issued by the White House Press Office.
NARA publishes Slip Laws and the *U.S. Statutes at Large*. The Executive Clerk of the White House delivers to NARA each Act of Congress signed by the President. NARA assigns public law numbers to each Act, publishes a pamphlet version (slip laws), and compiles them in the *U.S. Statutes at Large*.

NARA maintains the Presidential Diary by providing the Presidential Diarist. The Presidential Diary is a chronological record of the President's movements, phone calls, trips, briefings, meetings, and activities. The Diarist, who works in the White House on detail from NARA, maintains a daily log of Presidential activities and assists the Administration with information requests regarding the official schedule of the President.

NARA publishes the *Public Papers of the Presidents*, which are bound volumes of all official, legally-noticed Presidential statements and signed papers issued by the White House Press Office, issued in six-month increments, which provide a comprehensive public record of the Presidency. NARA maintains a staff of experienced senior editors in the EOP complex, who gather materials issued by the Press Office and the Executive Clerk, receive audio transcripts from the White House Communications Agency, and work with other White House offices to obtain additional information necessary for publishing the *Public Papers*. 

The Presidential Memorandum on Managing Government Records was issued on November 28, 2011, initiating an executive branch-wide effort to reform records management policies and practices. The Memorandum sent a clear message to Federal agencies about the importance of managing email and other electronic records using automation and technology to promote more efficient and effective practices for capturing and preserving Federal records.

To implement the Presidential Memorandum, the Archivist of the United States and the Acting Administrator of OMB released the Managing Government Records Directive (M-12-18) on August 24, 2012. The Directive contained a number of actions for the National Archives and Records Administration (NARA) and other Federal agencies organized around the central goals of requiring electronic recordkeeping to ensure transparency, efficiency, and accountability, as well as demonstrating compliance with Federal records management statutes and regulations. Two specific goals in the Directive have required significant attention by agencies and NARA:

1) By December 31, 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format (Goal 1.2), and

2) By December 31, 2019, Federal agencies will manage all permanent electronic records in an electronic format (Goal 1.1).

Most of the Directive’s actions have been achieved, including those listed below:

- **Senior Agency Officials** for Records Management (SAORM) have been established for departments and agencies. The SAORMs report their progress towards the Directive’s targets and other records management accomplishments to NARA annually. NARA’s analysis of these reports can be found on our SAORM reporting website.

- In collaboration with NARA, OPM issued a position classification and qualification standard for records management professionals, the Records and Information Management Series, 0308.

- NARA has issued numerous guidance products related to the Directive, including:
  - NARA 2014-04 Revised Format Guidance for the Transfer of Permanent Electronic Records, which significantly expands the number of formats agencies may use to transfer electronic records to NARA.
  - NARA 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records, which defines the minimum set of metadata elements that must accompany transfers of permanent electronic records to the National Archives.
NARA 2014-06 Guidance on Managing Email, which reminds all agencies of their responsibilities for managing email records.

NARA 2013-02 Guidance on a New Approach to Managing Email Records, the new email policy known as “Capstone” that allows agencies to manage email records according to user accounts and roles rather than by content. NARA subsequently issued General Records Schedule 6.1 that provides disposition authority for email managed under a Capstone approach.

Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18). Released in April 2016, the criteria synthesize the existing statutory, regulatory, and NARA guidance requirements to assist agencies in evaluating their progress in meeting the Directive goal 1.2 for email.

NARA 2015-02, Guidance on Managing Electronic Messages. NARA subsequently issued a white paper in September 2016 on the current use of electronic messaging technologies at agencies to help address the records management challenges posed by electronic messaging, including text, chat, and social media messages.

- NARA piloted the feasibility of directly providing electronic records storage and management services for agency electronic records. NARA determined this approach was not sustainable or scalable for all Federal agencies. Instead, NARA is exploring alternative service models where NARA acts more as a facilitator rather than a direct provider of solutions.

- NARA produced the Open Source Tools for Records Management Report in March 2015. NARA continues to monitor and explore open source tools and services to improve records management. Additionally, NARA held an internal-agency Open Source Records Management Forum with presenters from the General Services Administration, Institute of Museum and Library Services, and Joint Chiefs of Staff.

- NARA is investigating ways to imbed records management requirements into cloud architectures and other Federal IT systems, Federal shared services, and commercially-available products through our Electronic Records Management Line of Business initiative per goal A4.1.

- NARA worked with OMB to elevate the role of records management in OMB Circular A-130, Management of Federal Information Resources, per goal A4.2.

NARA is also reviewing and updating its regulations at 36 CFR Chapter XII, Subchapter B, to modernize records management requirements, both in response to OMB/NARA M-12-18 and the 2014 amendments to the Federal Records Act (P.L. 113-187).

**Planned, Future Actions**

NARA and agencies continue to focus on the Directive’s 2016 and 2019 goals for managing email records and permanent electronic records. However, there is much more work to be done. We need to empower the SAOs for Records Management to drive change and modernize records management in every agency across the Federal Government. We need to continue the momentum of the 2012
OMB/NARA Managing Government Records Directive and work with OMB to set new goals (and possibly a new “Directive 2.0”) for modernizing the recordkeeping practices in agencies and ensuring the transition to a digital Government.

Challenges will continue to arise as agencies utilize new technologies to create records and information, deploy new IT systems, and continue the transition to a digital government. There remains tremendous diversity in the way agencies approach records management. Cost savings and efficiencies could be realized by increasing consistency in how Federal agencies manage their records. This could be accomplished by investing in shared services, infrastructure, and tools, developing simplified procurement vehicles, and integrating records management standards into IT systems.

These goals can only be achieved through shifting the paradigm for records management from a reliance on paper to understanding the significant role technology plays in creating and maintaining modern Federal records and by providing leadership and directing resources to address these records and information management challenges.
Aging Federal IT Infrastructure Poses Risk to Records Management

The Federal IT infrastructure is not currently designed to consistently support electronic records management. As the Federal Government works toward the goal of becoming a fully digital government that makes extensive use of cloud-based record keeping services shared by multiple agencies, success will likely require an increased focus on the IT infrastructure to be certain that electronic records management can occur in an efficient and effective manner across the Federal Government.

With its revision of OMB Circular A-130 and a proposed IT Modernization Fund, the White House recognizes that agencies across the Federal Government often run vital services on outdated information management technologies—both hardware and software—that are a challenge to secure to meet evolving needs, and expensive to operate given the decreasing availability of skills and parts to maintain them. These systems are at risk for sudden failure and complete loss, and include those that manage or contain federal electronic records.

The Federal Government must continually analyze and consider how technological changes impact mission critical work. These changes have been causing significant challenges to appropriately managing the increasingly large and complex volumes of electronic records created across the Federal government, including:

- increased use of informal communication platforms that do not easily incorporate records management controls (e.g., social media, text messaging, chat);
- ease at which Federal employees can create records outside of agency approved systems;
- difficulty in collaborating with industry partners;
- varied levels of incorporation of recognized standards into records management processes, tools, and systems;
- difficulty in meeting strict information security mandates and requirements;
- extensive variety of tools and file formats;
- legacy systems requiring modernization or integration of new digital technologies;
- slow adoption of new technologies and evolution of existing systems; and
- complex federal IT procurement processes that restrict the efficient acquisition of tools and services that agencies must have to create records and continually improve their records management capabilities.
The OMB/NARA Managing Government Records Directive (M-12-18) requires agencies to manage all permanent electronic records in an electronic format by December 31, 2019 (and also requires agencies to manage all email records in electronic format by December 31, 2016). As agencies transition away from paper-based processes, there needs to be an increase in resources dedicated to automation and electronic records management. If stored in a proper environment, paper records can be preserved for many years with minimal effort. In an electronic world, the opposite is true as electronic records need continuous management and support to ensure they can be accessed and used over time.

Generally, larger agencies are able to devote greater resources to electronic records management efforts. Smaller agencies that have found success often rely on a combination of technological and human-driven processes to manage their information. However, records management programs are not consistently implemented across all 260+ agencies and components in the Federal Government. If agencies do not appropriately manage and preserve records in sustainable formats, the permanent records will never come to the National Archives or will require intensive efforts to make them available to the American people.

NARA is working to address the challenges in a number of ways. Over the past several years, we have extensively revised records management policy and training to guide the transition to a digital government. Specifically NARA has completed (or is in the process of completing) the following:

- Working with OMB on implementing M-12-18, Managing Government Records Directive, and M-14-16, Guidance on Managing Email
- Updated guidance to comply with the Federal Records Act Amendments of 2014
- Provided comments elevating the role of records management in the updated OMB Circular A-130
- Updating records management regulations in 36 CFR Chapter XII, Subchapter B
- Released Capstone email and electronic messaging guidance
- Released transfer and metadata technical guidance
- Increasing capacity to perform oversight of agency records management programs
- Modernizing our records management training program
- Updated guidance detailing individual records management responsibilities
- Briefed the CIO Council to engage the Federal IT community
- Working with Communities of Interest to guide the transition to digital government (e.g., Federal Records Officers Network (FRON), Federal Records Managers Council (FRMC), and the Electronic Records Management Automation Working Group (ERMAWG))
- Produced an Electronic Records Management Automation Report/Plan that describes approaches agencies can pursue when automating electronic records management
- Produced the Open Source Tools for Records Management Report listing open source tools that could be used for records management functions
• Hosted a September 2016 forum on open source tools for records management with internal NARA staff and officials from the General Services Administration, Institute of Museum and Library Services, and Joint Chiefs of Staff
• Tracking changes in records management practices through the Records Management Self-Assessment (RMSA) and Senior Agency Official for Records Management (SAORM) Annual Reports
• Launched an Electronic Records Management (ERM) Line of Business (LoB) initiative to investigate ways to imbed records management requirements into government contracts and shared services

NARA receives numerous requests from agencies for assistance on how to implement electronic records management tools and how to transfer their electronic records to NARA. We work collaboratively to answer all questions about technical specifications for electronic records management activities and the packaging of records and variety of mechanisms for the transfer of files.

NARA is currently in the process of refactoring its Electronic Records Archives (ERA) to move into a cloud-based environment that will greatly increase the capacity and efficiency of the transfer of records to NARA from agencies and the processing of records required to provide appropriate public access and preserve the records.

**Planned, Future Actions**

We need to set the tone for Federal records management by issuing a clear, bold message on the importance of strengthening the federal IT infrastructure, specifically as it relates to electronic records management. This would help ensure that all agency heads, Senior Agency Officials for Records Management, agency records officers, and all agency staff have a strong understanding and commitment to creating and preserving Federal records needed to document our nation’s history and make them accessible for future generations.

NARA will continue to explore an initiative on the feasibility of creating an electronic records management line of business (ERM LOB). The purpose of the ERM LOB is to provide requirements leading to ERM solutions for Federal agencies, which they can use to comply with NARA policies and meet business mandates. In addition, we could foster an environment that supports broader information governance issues, where records management and the related disciplines of information security and information access, are brought together to better serve the needs of the Federal Government and the American people.

The ideal state of ERM in the Federal Government would include widespread adherence to the specifications and standards set by NARA and the Federal records management community. This would support the adoption of systems and tools that meet each agency’s unique business requirements while ensuring that their records are appropriately managed. It would also include a higher level of investment
in both the technical infrastructure as well as in the human resources required to undertake the constant
tasks of managing electronic records across their lifecycle, from creation through active management to
eventual disposition (i.e., disposal or transfer to NARA). From an IT perspective, improving the federal
IT infrastructure to support electronic records management is a major step in the transition to digital
government.
Federal Electronic Records and the Electronic Records Archives (ERA)

The Electronic Records Archives (ERA) system is NARA's primary system for storing and preserving electronic Presidential, Congressional, and Federal agency records for future access. As of October 2016, ERA manages 579 Terabytes of electronic records, totaling 965 million digital files. [As a frame of reference, 579 terabytes roughly equals 59 billion pages of text, or 868 million digital photographs, or 26 years of continuous video footage.]

Major improvements to ERA are required to support fully-electronic recordkeeping

All Executive Branch agencies are required to implement fully-electronic management of their permanent electronic records by December 31, 2019 (OMB Memorandum M-12-18, Managing Government Records Directive). After agencies fully implement electronic recordkeeping, NARA expects the volume and complexity of electronic records transferred to the National Archives for permanent retention to increase significantly over time. NARA anticipates significant growth in unstructured data, such as email, and records that are dependent on specific software applications. NARA also expects that agencies using records management applications to store their permanent records will want to send transfers directly from their agency systems into ERA.

The current iteration of ERA, which was first deployed in 2008, is not prepared to support the transition to fully-electronic recordkeeping. Today, ERA operates from proprietary servers in NARA data centers, and cannot be quickly scaled to meet increases in demand. The current ERA provides workflows and online tools that Federal agencies use to create records schedules and electronically transfer electronic records to NARA; however, these tools are cumbersome and time-consuming, and many agencies continue to transfer records to NARA on physical storage media. Once records are transferred to NARA's custody, NARA manually processes electronic records on local storage and through multiple legacy systems, many of which have exceeded their useful life, before depositing them ERA.

ERA 2.0 will prepare NARA for the future

NARA is currently developing the next-generation Electronic Records Archives, ERA 2.0. ERA 2.0 will move electronic records storage from proprietary servers to scalable, cloud-based storage services. ERA 2.0 will improve the user experience for Federal agencies that transfer records to NARA, and will improve electronic transfer capabilities and system reliability so that agencies can effectively transfer electronic records through electronic means. ERA 2.0 will include modular tools to verify, catalog, describe, and – where necessary – search, review, and redact records within the storage environment, which will improve efficiency and allow NARA to retire outdated legacy systems. In total, this new functionality is expected to dramatically improve the efficiency of archival processing, enhance NARA's intellectual control over electronic records, and will eventually allow for cloud-to-cloud transfers of large volumes of Federal electronic records already in cloud hosting environments.
In FY 2016, NARA completed development and testing work necessary to deploy the fourth of six pilot releases of ERA 2.0. This release provides nearly complete functionality for extensive user testing of the Digital Processing Environment, with features and tools for processing electronic records and their metadata, and the Digital Object Repository, which provides for the long-term storage and discovery of electronic records. NARA is using an iterative development model, which provides for the routine release of functionality to approximately 70 stakeholders across the agency. NARA plans to deploy the final pilot release in September 2017 and will move to production in 2018.

Planned, Future Actions

In FY 2017, NARA will conduct a business process reengineering initiative with input from Federal Agencies to improve the customer tools and workflows associated with the processes of scheduling and transfer of all Federal records. ERA 2.0 will then look to integrate those improvements in the online tools to create and manage records schedules at Federal agencies, and transfer request functions to provide for the physical and legal transfer of permanent Federal records to NARA.

NARA plans to deploy the first production release of ERA 2.0 in 2018. Once deployed, NARA expects ERA 2.0 costs to remain relatively constant over time, as reduced development costs will be replaced by increased operations and maintenance expenses and increased storage costs. Although cloud hosting will provide for lower unit costs of storage, NARA anticipates that accelerated processing and new transfers of electronic records from agencies will significantly increase storage requirements. Real cost savings will come from retiring legacy systems whose functionality will be subsumed into ERA 2.0.

Once ERA 2.0 is deployed, NARA will begin to migrate unclassified functionality from legacy records processing systems. NARA will realize cost savings from migrating unclassified functions; however, savings will be limited until NARA is able to provide similar functionality for classified records and can fully retire legacy systems. NARA is still in the earliest stages of assessing how ERA 2.0 capability can be used to meet our mission responsibilities for classified electronic records, and needs support to develop an efficient and effective solution that will meet our needs in a secure manner.
Critical Shortage of Archival Storage Space

NARA is faced with a critical shortage of archival storage space that requires additional resources.

NARA stores an estimated 3.9 million cubic feet of permanently-valuable, archival records in 16 facilities across the country (excluding Presidential Libraries). Two facilities, the National Archives Building in Washington, DC and the National Archives at College Park, MD, store 70 percent (2.7 million cubic feet) of NARA's archival records. Another 14 facilities store the remaining 1.2 million cubic feet of archival records. One cubic foot of textual records contains approximately 2500 pages.

Today, our 16 archival storage facilities are filled to within 90 percent of capacity. Two facilities are already at 100 percent capacity, and ten others are nearing or above 90 percent. Of NARA's two largest facilities, our Washington, DC facility has been full since the 1970s, and our College Park, MD building is at 94 percent of its 2.3 million cubic feet capacity.

In total, NARA has an estimated 422,000 cubic feet of available space for archival storage. We estimate that we will receive between 1.4 million and 2.9 million cubic feet of new archival records by the end of 2031. NARA has identified an additional 2.8 million cubic feet of records that are scheduled to be transferred into the National Archives after CY 2031.

In addition to the sheer volume of records that will require storage, NARA storage requirements are further complicated by the variety of special storage considerations, including records that contain: classified information; architectural drawings; photographs; microfilm and microfiche; motion picture, sound, and video recordings; portable electronic storage media (magnetic tapes, etc.); and maps. NARA is further challenged by the heavy concentration of incoming records from agency headquarters components in the Washington, DC metropolitan area, and persistent public demand to access records in our DC area facilities.

NARA faces challenges in acquiring new storage space

Acquiring new space requires a significant up-front capital investment. Appropriate records storage space for archival records requires specialized shelving, above-standard HVAC equipment to maintain constant temperature and humidity controls, and specialized fire suppression systems. In addition, Federal building security standards require more equipment than what would ordinarily be found in a commercial warehouse. These requirements add to the costs of constructing a new storage facility. NARA also cannot acquire existing facilities (by purchase or lease) without significant renovations or facility improvements.

Most existing records storage space is inadequate for archival records. NARA has an estimated 32 million cubic feet of records in total. 85% of those records (28 million cubic feet) are temporary and pre-archival records stored in Federal Records Centers, which are subject to lower physical and
environmental storage standards than those required for archival records. The majority of NARA’s records storage space cannot accommodate permanently valuable archival records without upgrades, and nearly all NARA records storage facilities – for records of all types – are at or approaching capacity.

Commercial records storage providers usually do not meet NARA requirements. For the safety of the records, federal records storage requirements are more stringent than what is normally found in the private sector, which limits the commercial market for compliant storage. Some commercial storage providers have constructed facilities to federal standards for temporary records and are currently storing some federal records. However, NARA is not aware of any commercial facilities that meet archival storage standards.

Options for future action

To address the imminent shortage of archival storage space for the next 15 years and beyond, NARA needs to undertake a combination of steps and is exploring the following:

- **Construct an addition to the National Archives at College Park, MD.** This facility stores our largest volume of archival records, already houses equipment and staff necessary to care for the records and serve them to researchers, and was designed to accommodate future expansion. An addition to the existing building would also avoid costs of land acquisition. We estimate that the addition could provide approximately one million cubic feet of additional storage capacity.

- **Make more efficient use of existing space.** We have identified ways to increase the capacity of existing storage space at our College Park, MD facility. This effort will require NARA to acquire additional shelving and change some of our practices governing how we use storage areas. We have also identified general purpose space that could be converted into archival storage space. More effective use of existing space in the College Park facility could add approximately 170,000 cubic feet of additional archival storage space.

- **Renovate non-archival records storage space for use as archival storage.** We believe there are circumstances and locations where the cost to convert an existing non-archival storage area to an archival storage stack might be appropriate. There are NARA field facilities where the need for non-archival space is waning, and the costs to convert the space might be less than other locations. This effort could be segmented into several small projects, each of which could yield approximately 250,000 cubic feet of additional archival storage space.

- **Acquire new underground storage space.** We have successfully stored records in underground storage facilities for decades. Underground storage is most successful for records where the research is limited, or is transactional in nature (such as records organized as case files). We believe that we can consolidate nearly one million cubic feet of a single type of records in such space. Consolidating similar records into a single facility enhances service by allowing NARA to build a “center of excellence” that focuses on a specific and discrete customer segment. Consolidation would also open up space across the system, both for non-archival and archival storage.
• **Increase digitization to allow maximum flexibility for storage.** We need to find ways to increase our capacity to digitize our holdings to increase public access. As records are digitized the need to store them in close proximity to our research rooms is reduced and less expensive storage options become more viable.
2017 Deadline Concerning JFK Assassination Records

The President John F. Kennedy Assassination Records Collection Act (P.L. 102-526, October 26, 1992) required the immediate public release, to the greatest possible extent, of all records relating to the assassination of President Kennedy, and further stipulated that any records not immediately released must be released to the public no later than October 26, 2017, unless the President personally extends the withholding. There are currently 3,599 documents that were withheld in full and 34,596 that have been released with redactions. The records withheld in full and in part represent the classified and unclassified equities of 16 other departments and agencies. All records are in NARA custody.

NARA has prepared the remaining redacted and withheld records for release by October 26, 2017 as prescribed by the Act. NARA has scanned all of the records, identified all equities, and notified the equity holding agencies that in accordance with the Act, these records will be automatically released unless an agency can successfully appeal the release of any of the documents to the President of the United States prior to October 26, 2017.

There is no process to appeal the release of sensitive or restricted records

NARA and the National Security Council developed draft procedures by which agencies would submit appeals to the White House. The proposal was based on the appeal process followed during the initial release of materials in the 1990s and informed by our efforts since. The National Security Council staff convened a meeting of agency representatives on January 13, 2016 to discuss the draft. At that meeting, agencies were invited to provide feedback and propose edits, but a formal appeal process has not yet been finalized.

Planned, Future Actions

NARA and pertinent National Security Council staff must finalize the appeal process and issue it to all equity holding agencies. We must quickly establish and communicate specific deadlines for appeals to be submitted in order to meet the October 26, 2017 deadline. We recommend that agency appeals be vetted through the NSC and NARA, and that NARA and NSC submit responses to White House Counsel’s Office, which can prepare recommendations for the President to make a final decision. NARA will then apply the decisions made by the President. Depending on the number of appeals, NARA will need time in advance of October 26, 2017 to apply new redactions and otherwise process the records for release online after final determinations are made.

NARA requires Administration support to establish the deadlines and ensure that all decisions are made with sufficient time to process the individual documents for release by the October 26, 2017 deadline.
Historians, researchers, journalists, and the general public expect to have access to records of their government for purposes of historical research and accountability of government. The National Declassification Center (NDC) is a centralized, interagency organization, administered by NARA, to support efficient and effective declassification of NARA holdings and to promote transparency and openness while identifying and protecting information that requires continued classification.

Success of the NDC

The NDC was established in December 2009 by Executive Order (E.O.) 13526, “Classified National Security Information.” Under the direction of the Archivist of the United States, the NDC was directed to coordinate the timely and appropriate processing of referrals of 25-year-old and older classified records of permanent historical value accessioned into the National Archives by streamlining declassification processes, facilitating quality assurance measures, and implementing basic declassification review training.

A Presidential Memorandum accompanying E.O. 13526 specified a December 31, 2013 deadline for addressing referrals and quality assurance problems within a “backlog” of what turned out to be approximately 352 million pages of permanent Federal records at NARA previously subject to automatic declassification. The records had been reviewed (and sometimes re-reviewed) under the automatic declassification provisions established in 1995, but could not be acted upon by NARA because of referrals that had been missed by other agencies and other quality problems with their initial reviews. Although agencies had general success in identifying and resolving their own equities in their own records, the identification of the classified equities of other agencies had not always been successful. With the establishment of the NDC, a formal mechanism was established for agencies to work together to identify equities, protect information, and eventually declassify individual records when appropriate.

The NDC successfully retired the 352-million-page “backlog” by the December 31, 2013 deadline, which meant that all classified permanent records transferred to NARA prior to January 1, 2010 had been either declassified by the equity-holding agencies or exempted for national security information. The NDC was able to achieve this goal by successfully fostering collaboration and cooperation between disparate agencies to protect information requiring continued classification and to otherwise provide access to our nation’s history.
The NDC then applied the streamlined quality assurance processes that worked so well for the “backlog” records to the post-2009 accessioned records subject to automatic declassification, resulting in similar quality assurance success. The NDC is also turning its attention to declassifying special media (e.g., audio and visual records) that are often more complex to review because of the media. In addition, to strengthening the declassification process, the NDC has helped the declassification profession by establishing web-based training for declassification professionals. The NDC also regularly hosts single-day equity training as well as multi-day, multi-agency declassification training sessions every two years.

Beyond declassification processing, NARA must perform a variety of other work to properly care for and make available its holdings. For example, NARA must segregate all records exempted from automatic declassification; screen records for privacy concerns; and perform archival processing (description, holdings maintenance). In September 2014, the NDC began publishing online the titles of series that had completed all backlog quality assurance processing, and offering a way for researchers to request series to go to the head of the queue for additional processing. As of July 2016, 224 of 283 requests had been completed, and six million pages were processed for access by researchers under this program.

In 2015, the NDC began a systematic re-review process for all records withdrawn during declassification reviews prior to 2009. Beginning with those records withdrawn before NARA established a computerized data tracking system in 2002, this project has resulted in the declassification of 52,000 previously exempted pages.

The NDC has also addressed special, thematic declassification projects. These collections include: the first authorized declassification and release of the Pentagon Papers (June 2011); two Berlin Wall special reviews and seminars (held in 2011 and 2013); records associated with the World War II Katyn Forest Massacre (2012); a digital collection of visa investigative records of the 1946-1951 Shanghai Diaspora Community (2014); and a coordinated government-wide collection of records detailing human rights abuses in Brazil (a project conducted during 2014-2015 in response to a request from the National Security Council).

The largest volume of permanently historical records handled by the NDC are Federal agency records. In addition, the NDC facilitates the review of Presidential records and papers maintained by NARA’s Presidential Library System in locations across the country. The Presidential Libraries had established the Remote Archives Capture (RAC) project in coordination with the Central Intelligence Agency (CIA) to scan the classified holdings of the Presidential Libraries for review by the agencies whose declassification personnel are located in the Washington, DC area. Review by departments and agencies under RAC was originally only supported at a CIA facility in the Washington, DC, area. Since 2014, RAC terminals have been established and used by ten departments and agencies within secure space in the NDC.
Challenges Facing Current and Future Declassification Efforts

The successful work of the NDC over the last seven years is just a beginning. Every year more records require declassification processing by the NDC as additional records become subject to automatic declassification. NARA estimates that more than 111,000 cubic feet of analog classified permanent records are eligible for transfer in the next 15 years and has identified more than 41,000 cubic feet eligible for transfer after calendar year 2031 (each cubic foot of paper records contains roughly 2500 pages). These figures do not include the analog records of the Intelligence Community (or other agencies that do not utilize the Federal Records Centers Program to store their classified records) or classified electronic records.

One of the greatest challenges for the NDC has been satisfying the requirements for Restricted Data/Formerly Restricted Data (RD/FRD) review mandated in the National Defense Authorization Acts for Fiscal Year 1999 and 2000 (Public Laws 105-261 and 106-65 respectively, known as “Kyl-Lott”). Addressing RD/FRD requires page-level review, a time- and personnel-intensive effort that is overseen by the Department of Energy, demanding a significant resource commitment by agencies. Approximately half of the accessioned records processed in the NDC still require this resource intensive page-level quality assurance review:

The NDC must also acquire a better IT system that allows for advanced search, review, and redaction capabilities, if NARA is to efficiently and effectively identify and protect information that requires continued classification and otherwise make declassified records available, especially as we need to process born electronic or digitized classified collections.
Implementation of the Controlled Unclassified Information (CUI) Program

Executive Order 13556, "Controlled Unclassified Information," November 4, 2010, established the CUI Program and designated the National Archives and Records Administration (NARA) as its Executive Agent. NARA executes these responsibilities through the Director of the Information Security Oversight Office (ISOO).

The CUI Program is a reform that addresses the inconsistent, and often conflicting, patchwork of over 100 different agency-specific policies, markings, and other requirements used to control "Sensitive But Unclassified (SBU)" information throughout the Executive Branch. The absence of standardized practices significantly increases the risk that agencies may mishandle information, impedes appropriate information sharing, and, when sharing takes place with non-Federal partners, creates confusion on safeguarding and dissemination controls. These problems have been aggravated by agency policies that are often hidden from public view.

NARA began implementing E.O. 13556 in FY 2011, by establishing an on-line, publicly available CUI Registry (www.archives.gov/cui) that lists all approved CUI categories and subcategories and provides common descriptions of what unclassified information requires protection across the Executive Branch.


In FY 2016, NARA issued a new regulation, "Controlled Unclassified Information (CUI)" (32 CFR part 2002), effective date November 14, 2016. The new CUI rule establishes consistent practices and procedures for safeguarding, disseminating, decontrolling, and marking CUI for all Executive Branch agencies.

The new regulation requires action by all Executive Branch agencies in 2017

NARA has issued deadlines for phased implementation of the CUI Program in CUI Notice 2016-01, “Implementation Guidance for the Controlled Unclassified Information Program,” September 14, 2016 (www.archives.gov/cui).

Within 180 days of the effective date of the 32 CFR, part 2002:

- All parent agencies must publish an implementing policy for the CUI Program and rescind all existing policies that are not consistent with the new regulation.
- All agencies must assess the current configuration of information systems and plan for the transition to the standard established in the regulation. Within one year of the effective date of
the regulation, agencies must develop a strategy or plan to modify all systems that contain or process CUI.

Within 180 days of the effective date of the agency CUI implementing policy:

- All agencies must develop and deploy CUI training to all agency employees that work with CUI. All agency employees must receive CUI training within 180 days of the release of the agency’s CUI training course(s).
- All agencies must implement and/or verify that all physical safeguarding requirements, as described in regulation and agency policy, are in place.
- If applicable, all subordinate components must publish implementing policies within 180 days of the issuance of the parent agency’s policy.

On November 1, 2017, all agencies must submit their first annual report to NARA, evaluating and assessing agency actions and activities related to implementing and sustaining the CUI Program.

By November 14, 2018, all agencies must begin self-inspections and other internal oversight efforts to measure and monitor implementation efforts.

**Planned, Future Actions**

NARA will undertake oversight actions, including formal assessments, recommendations, monitoring, and assistance, particularly providing feedback on agency policy and training or awareness initiatives. NARA will continue to submit an annual report to the President on the status of implementation of the Executive Order.

NARA will also begin efforts to establish a Federal Acquisition Regulation rule that will apply CUI requirements to the Federal contractors. This effort will promote standardization to benefit a substantial number of non-Federal organizations that may struggle to meet the current range and type of contract clauses, where differing requirements and conflicting guidance from numerous agencies for even the same information gives rise to confusion and inefficiencies.

NARA will continue to enhance the CUI Registry by adding markings and new categories as laws, regulations, and Government-wide policies are issued and others change; provide education, training, and awareness of critical program elements; assist in updating the NIST SP 800-171 to address implementation issues and changes in technology; and modify existing guidance and issue additional policy as necessary.

NARA requires Administration support to ensure the successful implementation of the new regulation across the Federal government.
NARA’s Open Government Leadership

The National Archives and Records Administration (NARA) has been a leader in open government and the implementation of the 2009 Open Government Directive. NARA is well aligned to be at the forefront of open government. Public access to government records has been at the core of the mission of the National Archives since it opened its research rooms to the public in the 1930s. The agency responded to the Open Government Directive by developing new initiatives to increase the three pillars of open government – transparency, participation, and collaboration. NARA’s mission reflects this commitment:

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

Interagency Open Government Working Group

NARA is the co-chair of the monthly meetings of the Interagency Open Government Working Group and hosts these in the Innovation Hub at the National Archives Building for approximately 50 agency representatives per month. NARA’s Office of Innovation co-hosts these meetings, develops agendas and communicates timelines and coordination of open government activities among agencies. NARA’s Chief Innovation Officer is the agency lead on Open Government. Several NARA components participate in these interagency meetings to represent records management, classification and declassification policy, controlled unclassified information, and innovation efforts.

U.S. Open Government National Action Plan (NAP)

NARA provided leadership in the development of the third National Action Plan. The agency hosted an interagency event with the White House to garner public input into the development of the plan, which featured presentations from government and civil society leadership. NARA provided staff support to an interagency team for six months in the development of the NAP and participated as part of the U.S. delegation at the Open Government Partnership (OGP) Global Summit in Mexico City. NARA staff members also regularly participate in open government briefings with foreign OGP countries. NARA’s commitments in the National Action Plan include:

- Improve Management of Government Records;
- Modernize Implementation of the Freedom of Information Act;
- Streamline the Declassification Process;
- Implement the Controlled Unclassified Information (CUI) Program; and
- Increase the Impact of Open Innovation Activities (through Citizen Archivist activities).
Staff Support to White House on Open Government

NARA has provided a detail to the White House Office of Science and Technology Policy since 2014 to support open government. The detailed staff person provides subject matter expertise to the Administration on policy issues related to open, participatory, and collaborative government, including Freedom of Information Act policy and modernization efforts. They have also coordinated the development and implementations of the U.S Open Government National Action Plans as part of the Open Government Partnership.

NARA Open Government Plan 2016-2018

NARA has had four open government plans and is considered a federal leader in its consultation and development process. The fourth plan was published in September 2016 and includes 50 commitments to strengthen open government throughout all business lines within the agency. The plan includes 10 flagship initiatives to make access happen through innovation, including the agency’s Innovation Hub and Citizen Archivist initiatives.

NARA’s internal Open Government Working Group meets monthly and works to develop the plan. The working group includes more than 40 members who considered more than 180 ideas, suggestions, and feedback that were received from staff and the public. This level of engagement was possible because the agency held robust online and in-person consultations, including an Open Government webinar with the Archivist of the United States and senior leadership, consultations sessions with civil society organizations, a NARA-wide town hall for staff members across the country, and 20 internal brainstorming sessions and briefings. The agency’s plan was published on Github, which enables ongoing public feedback and updates to the plan. The publishing of the code for the plan on Github enabled the General Services Administration to “fork” the effort and re-use for their open government plan. This effort was lauded by civil society organizations as a best practice.

Archivist of the United States Meetings with Civil Society

The Archivist invites members of the civil society community to meet with him and other NARA leaders twice a year to discuss issues of concern to the community. Civil society groups suggest agenda items on which they have questions or would like updates, and the Archivist sets the agenda to address those concerns. Topics include issues like efforts by the Office of Government Information Services, the FOIA ombudsman, to improve Freedom of Information Act processes throughout government; the progress of the National Declassification Center at getting records of historical interest declassified and available in research rooms; and NARA’s policy and assistance to agencies for modernizing information management in line with the Managing Government Records Directive. The civil society groups particularly value NARA’s open communication with them and alignment with their desire to make government information an accessible asset for the American public and NARA values their input.
Need for Increased Oversight of Records Management

NARA conducts oversight of Federal agencies' records management programs to ensure compliance with the Federal Records Act and its implementing regulations. Through oversight, NARA issues agencies findings and recommendations to improve their records management practices. Despite recent increases, NARA has limited resources available to oversee records management programs in agencies.

Current Oversight and Compliance Activities

NARA's 2016 budget included additional funding for new staff in the Office of the Chief Records Officer to enhance oversight of other agencies' electronic records. This funding was part of a broader NARA initiative that included a reorganization within the Office to the Chief Records Officer to better align existing and new resources focused on records management oversight. As a result of this effort, NARA is actively building out the program to allow us to substantially increase the number and types of oversight activities we can conduct each year. NARA currently has twelve records management professionals (doubled from 2015) dedicated to oversight, with plans to expand to over 20 staff by the end of 2017 including professionals with technical expertise for conducting audits of Federal agencies electronic records management systems.

NARA currently uses the following combination of inspections, studies, assessments, and reporting to monitor agency compliance.

- **Records Management Inspections**: Each inspection or review focuses on one or more specific elements of an agency's records management program. Inspection reports include findings and recommendations that agencies are required to address. We have been conducting two to four inspections per year since 2011. We began increasing to four to six inspections per year in 2016. [https://www.archives.gov/records-mgmt/resources/inspections.html](https://www.archives.gov/records-mgmt/resources/inspections.html).

- **Plans of Corrective Action Progress Reports**: NARA works with Federal agencies to create plans of corrective action based on inspection reports. Federal agencies submit their progress in making improvements to their programs. We monitor progress reports until all items on the plan are completed.


- **Senior Agency Official for Records Management Reports**: NARA requires the Senior Agency Official for Records Management (SAORM) to report annually their progress towards the goals in the Managing Government Records Directive (M-12-18) and other records

- **Unauthorized Disposition of Federal Records Reporting and Tracking:** NARA tracks and monitors all reports of unauthorized disposition of Federal records. Agencies are required to notify NARA of any alleged unauthorized disposition of their records. NARA may also receive information from other sources, such as the news media and private citizens.

- **Other Reporting and Data Calls:** NARA periodically asks Federal agencies to report on specific records management topics. For example, this year NARA will be issuing a data call related to the OMB/NARA M-12-18 requirement to manage all emails electronically by December 31, 2016.

**Planned, Future Actions**

NARA’s challenges in the oversight of records management in agencies have been exacerbated in recent years due to rapidly changing technology used in the creation of Federal records by the agencies. Overseeing how well agencies are managing electronic records in accordance with records management laws and regulations is difficult due in large part to our lack of staff with specific technological knowledge and expertise.

To address this issue, as stated above, we plan to add more staff to our oversight program in FY 2017 to allow us to increase our oversight activities, including inspections and studies. NARA is currently planning to conduct multiple studies on specific issues and topics affecting the management of Federal records. These studies will enable NARA to quickly identify common challenges and make government-wide recommendations.

We also plan to recruit an additional 6-8 staff with specific technical skills to allow NARA to conduct audits and analysis of Federal agencies’ electronic records systems. These additional resources will allow NARA to:

- Introduce the ability to conduct systems audits and provide expert advice concerning how electronic records are captured, managed, and stored to ensure they are properly configured to capture and manage records in accordance with records management laws, regulations, policies and guidance.
- Increase our ability to respond quickly to particular email or electronic records management challenges that develop in the Federal government.
NARA Congressional Affairs

NARA Issues of Interest to Congress

Records Management: During the 113th and 114th Congresses, the Archivist of the United States and the Chief Records Officer testified before Congress on multiple occasions relating to records management practices at other agencies (IRS, EPA, SEC), and NARA officials have been called to provide numerous Committee briefings on the Federal Records Act (FRA), the Presidential Records Act (PRA), the Freedom of Information Act, and Veterans' records. NARA expects the 115th Congress to have an even greater interest in conducting oversight of the FRA and the PRA, particularly as those acts relate to email and electronic messaging.

Archival Storage Space for Legislative Records: NARA stores the official records of Congress on behalf of the Clerk of the House and the Secretary of the Senate. NARA holds physical custody, but not legal custody of these records. For the past 80 years, NARA has stored these records at the National Archives building in Washington, DC, but we have run out of space in that building. As an interim solution, NARA has moved some records to the Washington National Records Center in Suitland, MD; however, there is not sufficient space available in that facility, either.

As a longer term solution, Congress appropriated $7 million to NARA in FY 2016, to renovate vacant space in a Government Printing Office (GPO) building in order to provide 64,000 cubic feet of archival storage for legislative records, but this is only a partial solution to the space shortage for legislative records. An additional 140,000 cubic feet of storage space at the GPO is available to NARA. The Clerk of the House and the Secretary of the Senate support efforts to secure additional congressional appropriations for the renovation of the additional space.

Archival Storage Space for Federal Records: In the summer of 2016, NARA submitted a report to Congress on the state of archival storage space across NARA. This report was prepared in response to a directive to NARA in Senate Report 114-97, accompanying the Financial Services and General Government Appropriations Act for FY 2016. NARA may be asked to follow up on this report by providing briefings to congressional committees in 2017.

The National Historical Publications and Records Commission (NHPRC): The NHPRC has been operating without a Congressional authorization since 2009. Although it has continued to be supported with an annual appropriation, the lack of a current authorization makes the program vulnerable to elimination by Congress. NARA’s authorizing committees are not presently supportive of any effort to reauthorize the NHPRC.

Federal Employee Viewpoint Survey: During the first session of the 114th Congress, the Archivist of the United States testified to Congress about NARA’s low scores on the annual Federal Employee Viewpoint Survey (EVS).
Legislation

NARA’s Office of Congressional Affairs is presently tracking over 180 bills in the House and Senate that directly and indirectly impact NARA’s various missions and employees. The vast majority of these bills will never proceed out of a committee or to a vote in either the House or Senate, and very few will be enacted before the conclusion of the 114th Congress.

There is a possibility that HR 5709, the Federal Records Modernization Act, could pass this year. If it does not, it will likely be reintroduced in the next Congress. NARA has an active interest in this bill beyond the bill’s focus on the Federal Records Act, because it also includes NARA/OMB approved amendments to update statutory authority of the Federal Register, and a provision that would permit federal legal protections for NARA volunteers.

NARA and Congressional Committees

NARA’s Office of Congressional Affairs primarily works with the congressional committees that have direct jurisdiction over NARA’s annual budget, and those that have oversight and authorization responsibility over NARA’s statutory missions.

For annual appropriations bills, NARA works with the House and Senate Appropriations Committees’ Subcommittees on Financial Services and General Government. For oversight and authorizations in the House, NARA comes under the House Oversight and Government Reform Committee, Subcommittee on Government Operations. For oversight and authorizations in the Senate, NARA comes under the Homeland Security and Governmental Affairs Committee. Other congressional committees with an active interest in NARA missions include Veterans’ Affairs, Intelligence and the Judiciary.

Membership on NARA’s Congressional Committees of Jurisdiction

House Committee on Appropriations
Subcommittee on Financial Services and General Government
* Ander Crenshaw (R-FL), Chairman
  Tom Graves (R-GA)
  Kevin Yoder (R-KS)
  Steve Womack (R-AR)
  Jaime Herrera-Beutler (R-WA)
  Mark Amodei (R-NV)
  *Scott Rigell (R-VA)

*Member retiring

House Committee on Oversight and Government Reform
Subcommittee on Government Operations
Mark Meadows (R-NC), Chairman
  Gerry Connolly (D-VA) Ranking Member
  Carolyn Maloney (D-NY)
  Eleanor Holmes Norton (D-DC)
  Wm. Lacy Clay (D-MO)
  Tim Walberg (R-MI)
  Buddy Carter (R-GA)
  Glenn Grothman (R-WI)
  Sanford Bishop, Jr. (D-GA)
Jim Jordan (R-OH)  
Ken Buck (R-CO)  
Mick Mulvaney (R-SC)  
Thomas Massie (R-KY)  
Trey Gowdy (R-SC)  

Stephen Lynch (D-MA)  
Stacy Plaskett (D-VI)  

**Senate Committee on Appropriations**  
**Subcommittee on Financial Services and General Government**  
John Boozman (R-AR), Chairman  
Jerry Moran (R-KS)  
James Lankford (R-OK)  

Chris Coons (D-DE), Ranking Member  
Richard Durbin (D-IL)  

**Senate Committee on Homeland Security and Governmental Affairs**  
Ron Johnson (R-WI), Chairman  
John McCain (R-AZ)  
Rob Portman (R-OH)  
Ron Paul (R-KY)  
James Lankford (R-OK)  
Mike Enzi (R-WY)  
Kelly Ayotte (R-NH)  
Joni Ernst (R-IA)  
Ben Sasse (R-NE)  

Tom Carper (D-DE), Ranking Member  
Claire McCaskill (D-MO)  
Jon Tester (D-MT)  
Tammy Baldwin (D-WI)  
Heidi Heitkamp (D-ND)  
Cory Booker (D-NJ)  
Gary Peters (D-MI)
Potential Briefings on NARA Programs and Initiatives

NARA is prepared to schedule any of the topical briefings listed below as well as briefings on any specific NARA Office (see organization charts) at the request of the Agency Review Team (ART). ART members should contact Chris Naylor (chris.naylor@nara.gov, 301-837-1997) to schedule briefings.

Open Government and Public Access

Open Government at NARA
*Pamela Wright, Chief Innovation Officer*

Digital Public Access
*Pamela Wright, Chief Innovation Officer*

Digitization of Archival Holdings *
*Pamela Wright, Chief Innovation Officer*

The Federal Register and the Code of Federal Regulations
*Oliver Potts, Director, Office of the Federal Register*

Daily Compilation of Presidential Documents and the Public Papers of the President
*Oliver Potts, Director, Office of the Federal Register*

Implementation of the FOIA by Departments and Agencies
*Nikki Gramian, acting Director, Office of Government Information Services*

Implementation of the FOIA at NARA
*Gary M. Stern, General Counsel / Chief FOIA Officer*

JFK Assassination Records Collection Act of 1992 and Requirements for 2017
*Martha Murphy, Director, FOIA and Special Access Division*

Declassification at the National Archives
*Sheryl Shenberger, Director, National Declassification Center*

Declassification of Presidential Papers and Records
*John Laster, Director, Presidential Materials Division*
Oversight of the Government-wide Security Classification System
*William Cira, acting Director, Information Security Oversight Office (ISOO)*

Establishment of the Controlled Unclassified Information (CUI) Program
*William Cira, acting Director, Information Security Oversight Office (ISOO)*

Public Interest Declassification Board (PIDB)
*William Cira, acting Director, Information Security Oversight Office (ISOO)*

National Historical Publications & Records Commission (NHPRC)
*Kathleen Williams, Executive Director, NHPRC*

Overview of NARA Advisory Committees
*Maria Stanwich, acting Chief of Staff*

**Citizen Engagement and Customer Service**

NARA Assistance with the Presidential Records Act
*Gary M. Stern, General Counsel and John Laster, Director, Presidential Materials Division*

NARA Assistance with Presidential Gifts
*John Laster, Director, Presidential Materials Division*

Support Provided by NARA to the Legislative Branch
*Richard Hunt, Director, Center for Legislative Archives*

National Archives Museum (Tour Opportunity)
*John Hamilton, Director of Congressional Affairs*

NARA’s “Treasure Vaults” (Tour Opportunity)
*Ann Cummings, acting Executive for Research Services and Richard Hunt, Center for Legislative Archives*

Innovation and the Innovation Hub at NARA (Tour Opportunity)
*Pam Wright, Chief Innovation Officer*

Support Provided to Researchers (Tour Opportunity)
*Ann Cummings, acting Executive for Research Services*

The Washington National Records Center (Tour Opportunity)
*David Weinberg, Director, Federal Records Centers Program*

Social Catalog
*Pam Wright, Chief Innovation Officer*
Education Programs and DocsTeach
*Maria Marable-Bunch, Director, Education and Public Programs Division*

The Presidential Library System
*Susan Donius, Director, Office of Presidential Libraries*

Federal Records Centers – Storage and Services Provided to Other Departments and Agencies
*David Weinberg, Director, Federal Records Centers Program*

Service to Veterans and their Families – National Personnel Records Center
*Scott Levins, Director, NPRC and John Hamilton, Director of Congressional Affairs*

**Government-wide Responsibilities and Stewardship**

NARA’s Role in the Electoral College and Constitutional Amendment Ratification Process
*Oliver Potts, Director, Office of the Federal Register*

Records Management Requirements – Compliance by Departments and Agencies *
*Laurence Brewer, Chief Records Officer*

Electronic Records Management – Challenges and Opportunities for Departments and Agencies
*Laurence Brewer, Chief Records Officer*

Electronic Records Archive (ERA) and Digital Preservation at NARA *
*Sam McClure, Electronic Records Program Officer and Swarnali Haldar, Chief Information Officer and Ann Cummings, acting Executive for Research Services*

Preservation and Conservation at NARA * (Tour Opportunity)
*Ann Cummings, acting Executive for Research Services*

Affiliated Archives Program
*Jay Bosanko, Chief Operating Officer and Ann Cummings, acting Executive for Research Services*

Holdings Protection and Recovery Efforts *
*Jay Bosanko, Chief Operating Officer*

Archival Storage Space Issues *
*Jay Bosanko, Chief Operating Officer*

NARA’s Real Property Portfolio
*Donna Forbes, Executive for Business Support Services*
Enterprise Risk Management, Internal Controls, and Open Audits *
*Micah Cheatham, Chief of Management and Administration and Jay Bosanko, Chief Operating Officer*

IT Security Challenges – High Value Assets *
*Swarnali Haldar, Chief Information Officer*

Project and Contract Management *
*Micah Cheatham, Chief of Management and Administration*

NARA’s Budget
*Colleen Murphy, acting Chief Financial Officer*

Congressional Affairs at NARA
*John Hamilton, Director of Congressional Affairs*

Audits and Investigations Conducted by the Office of the Inspector General
*James Springs, Inspector General*

**Employee Engagement**

Human Capital Overview and Management Challenges *
*Sean Clayton, Chief Human Capital Officer*

Improved Employee Engagement and the Federal Employee Viewpoint Survey (FEVS) at NARA
*Debra Wall, Deputy Archivist*

Equal Employment Opportunity Programs at NARA
*Ismael Martinez, Director of EEO*

*Identified as one of the OIG’s Top Ten Management Challenges.*
The Honorable David S. Ferriero was sworn in as 10th Archivist of the United States on November 13, 2009.

Early in 2010 he committed the National Archives and Records Administration to the principles of Open Government—transparency, participation, and collaboration. To better position NARA to fulfill these goals, Mr. Ferriero initiated an agency transformation in 2010. The transformation restructured the organization and set goals to further our mission, meet the needs of those who rely on us, and find new, creative ways to approach the agency's work.

Openness and access drive NARA's actions in a variety of ways. The agency has embraced a number of social media tools—Facebook, Twitter, blogs, YouTube, Tumblr, and others—to reach a wider and broader audience. NARA uses this digital engagement as a two-way street. Early in his tenure, Mr. Ferriero celebrated the contributions of "citizen archivists," and he encourages public participation in identifying historical Federal records and sharing knowledge about them.

Access and protection go hand in hand, and NARA has taken steps to ensure that future generations will continue to enjoy access to Federal records. In August 2012, NARA produced the Managing Government Records Directive to modernize and improve Federal records management practices. Mr. Ferriero also instituted new security measures to deter theft or mishandling of records.

Several new facilities, designed to protect the records and improve access to them, have been opened since 2010. The George W. Bush Presidential Library became the 13th Presidential Library under NARA's administration. The National Personnel Records Center in St. Louis, MO, moved into a newly constructed building that is better equipped to preserve the millions of veterans records in its care. And the National Archives at New York and the National Archives at Denver moved to new locations. In Washington, DC, the National Archives Museum's visitors entrance was reconfigured, and the new David M. Rubenstein Gallery opened in December 2013.

Previously, Mr. Ferriero served as the Andrew W. Mellon Director of the New York Public Libraries (NYPL). He was part of the leadership team responsible for integrating the four research libraries and 87 branch libraries into one seamless service for users, creating the largest public library system in the United States and one of the largest research libraries in the world. Mr. Ferriero was in charge of
collection strategy; conservation; digital experience; reference and research services; and education, programming, and exhibitions.

Before joining the NYPL in 2004, Mr. Ferriero served in top positions at two of the nation's major academic libraries, the Massachusetts Institute of Technology in Cambridge, MA, and Duke University in Durham, NC. In those positions, he led major initiatives including the expansion of facilities, the adoption of digital technologies, and a reengineering of printing and publications.

Mr. Ferriero earned bachelor's and master's degrees in English literature from Northeastern University in Boston and a master's degree from the Simmons College of Library and Information Science, also in Boston. Mr. Ferriero served as a Navy hospital corpsman during the Vietnam War.

Deputy Archivist of the United States
Debra Steidel Wall
debra.wall@nara.gov

Debra Steidel Wall became Deputy Archivist of the United States in July 2011. She previously served as the agency's Chief of Staff (2008-2011), as Senior Special Assistant to the Archivist (2005-2007), and before that as Director of the Lifecycle Coordination Staff, where she led staff responsible for developing policies, processes, systems and standards relating to the life cycle of records. She was the initial manager of the Archival Research Catalog (ARC) database and other information technology projects, was Deputy Director of the Information Resources Policy and Projects Division, and worked as an archivist in the Motion Picture, Sound, and Video unit.

Debra joined NARA in 1991 as an archivist trainee and holds an undergraduate degree in history and government from Georgetown University, and a graduate degree in film from the American University. She has a master's certificate in information technology project management from George Washington University, and has served as a member of the International Council on Archives (ICA) Committee on Information Technology and Committee on Descriptive Standards.

Chief Operating Officer
William J. Bosanko
william.bosanko@nara.gov

William J. Bosanko was appointed as the Chief Operating Officer effective January 1, 2013. Prior to this appointment, he served as NARA's Executive for Agency Services and was responsible for NARA's efforts nationwide to service the ongoing records management needs of Federal agencies and to represent the public's interest in the accountability and transparency of these records. Mr. Bosanko previously served as the Director of the Information Security Oversight Office from January of 2008 to March of 2011 where he was responsible for oversight of the government-wide security classification system and the National Industrial Security Program. Mr. Bosanko began his career with NARA in February of 1993, first as an Archives Technician and later as an Archivist, working on NARA's Special Access and FOIA Staff and NARA's
Records Declassification Division. He holds a Bachelor of Arts degree in Political Science from Susquehanna University (Selinsgrove, Pennsylvania).

Chief of Management and Administration
Micah Cheatham
micah.cheatham@nara.gov

Micah Cheatham was appointed as NARA's Chief of Management and Administration (CMA) on October 1, 2016. Prior to this appointment, he served as NARA's Chief Financial Officer (CFO), where he was the principal adviser to the Archivist on Federal financial management and provides enterprise wide leadership for budget, accounting policy and operations, financial reporting, and operation of NARA's Trust Fund. He has previously served as the Director of Budget for the General Services Administration and in financial management positions in the Internal Revenue Service. Micah holds an undergraduate degree in Economics from the London School of Economics and a graduate degree in Applied Economics from the University of Michigan.

Acting Chief of Staff
Maria Carosa Stanwich
maria.stanwich@nara.gov

On October 2, 2016, Maria Carosa Stanwich was appointed acting Chief of Staff. She is the principal adviser to the Archivist for NARA's comprehensive communications program, serves as the agency champion for customer experience, and provides leadership for NARA's Executive Secretariat. Since January 24, 2016, she was appointed Chief Strategy and Communications Officer during a period of reorganization. Prior to these appointments, Ms. Stanwich served as Chief of Staff in the immediate Office of the Archivist, Executive Officer for Business Support Services, Operations and Public Programs Director for the National Archives Museum, and Deputy Director of the John F. Kennedy Presidential Library and Museum. Before joining NARA, Ms. Stanwich taught high school history in Washington, DC, and Boston. She graduated with a B.A. in International Relations from Boston University and holds an Ed.M. in Administration, Planning, and Social Policy from Harvard University's Graduate School of Education.

Chief Innovation Officer
Pamela Wright
pamela.wright@nara.gov

Pamela Wright became the National Archives' first Chief Innovation Officer in December 2012. She leads staff responsible for agency-wide projects and programs in the following areas: innovation, digitization, web, social media, online description, and online public engagement. Ms. Wright previously served as the agency's Chief Digital Access Strategist (2009–2011), where she pulled together the web, social media, and online catalog staff into an award-winning integrated team for improved online public access, and as the manager of the Archival Research Catalog (2005–2008), where she led staff responsible for developing and
implementing policies, processes, systems and standards relating to the description of records. She currently serves as the agency representative to the White House Open Government Working Group and the Digital Public Library of America.

Ms. Wright began her work at the National Archives as an archivist in the Initial Processing and Declassification unit in 2001 and holds undergraduate degrees in history and English from the University of Montana, as well as a graduate certificate in project management from the George Washington University. Prior to her work at the Archives, Ms. Wright was a staff historian for a private consulting firm, conducting research at local, state and federal facilities across the country.

Executive for Agency Services
Jay Trainer
jay.trainer@nara.gov

Jay Trainer was appointed as the Executive for Agency Services effective June 2013. As such he is responsible for NARA's nationwide efforts to service the ongoing records management needs of Federal agencies and to represent the public's interest in the accountability and transparency of these records. Agency Services is comprised of the Office of the Chief Records Officer, the Federal Records Centers Program, the Information Security Oversight Office, the National Declassification Center, and the Office of Government Information Services.

Jay is a career NARA employee having started as a student trainee at the Dayton Federal Records Center in 1988. Upon reassignment to Washington, DC, in 1991 he held a progression of management analyst and financial analyst positions at headquarters offices for the Federal Records Center, Records Management, and Regional Archives programs and the Washington National Records Center. Since 2004, Jay served as Assistant Director for the Federal Records Centers Program (FRCP). As the Assistant Director, Jay had oversight authority for four lines of business: Operations, the National Personnel Records Center, Customer Relations Management, and Business Development. He also exercised daily authority over staffing, finance, facilities, and administrative functions as well as a lead role in FRCP strategic planning efforts. Jay also served as a member of the NARA Strategic Support Team assisting with strategic planning and benchmarking efforts.

Jay holds a BA in History from the University of Dayton and an MA in American History from George Mason University.

Acting Executive for Research Services
Ann Cummings
ann.cummings@nara.gov

Ann Cummings has served as Acting Executive for Research Services since April 2016. In this role, she is responsible for directing a program that acquires, preserves, and makes accessible the National Archives' vast holdings of accessioned Federal records at fourteen locations nationwide. Since 2011, Ann served as the Access
Coordinator responsible for Research Services’ archival operations in the Washington DC area. She holds a B.A. in History from Friends University in Wichita, Kansas and an M.A. in History from Wichita State University.

Director, Office of Federal Register
Oliver Potts
oliver.potts@nara.gov

Oliver Potts was appointed as the Director of the Federal Register in August 2015. As Director, he is responsible for publication of the official text of Federal laws, Presidential documents, and regulations. He previously served as Deputy Executive Secretary at the Department of Health and Human Services where he also served in legal counsel positions. Oliver holds a BA in Government and Politics from George Mason University and a JD from the University of Connecticut School of Law.

Executive for Legislative Archives, Presidential Libraries, and Museum Services
Jim Gardner
jim.gardner@nara.gov

Dr. Jim Gardner was appointed the Executive for Legislative Archives, Presidential Libraries, and Museum Services effective August 15, 2011, and provides executive direction, guidance, strategic coordination, and evaluation of NARA’s national education and exhibits programs, the Center for Legislative Archives and the Presidential Libraries system. Dr. Gardner brings to this assignment over 30 years of experience leading complex national, public and private organizations that span the historical, cultural, museum, library, archival, and educational communities. Most recently, he has spent over 12 years working at the Smithsonian Institution’s National Museum of American History (NMAH). Since 2009, he has served as the Senior Scholar, overseeing collections and research planning and working on pan-Smithsonian initiatives. Dr. Gardner previously served as Associate Director for Curatorial Affairs at NMAH, with responsibility for the Museum’s collecting, research, and exhibition development as well as its involvement with Smithsonian Affiliates and the Smithsonian Institution Traveling Exhibition Service. Prior to his appointment at the museum he served as Deputy Executive Director of the American Historical Association. He also served as Director of Education and Special Programs for the American Association for State and Local History. Dr. Gardner holds Doctorate and Masters Degrees in History from Vanderbilt University and an undergraduate degree in History from Rhodes College.

Acting Chief Financial Officer
Colleen Murphy
Colleen.Murphy@nara.gov

On October 2, 2016 Colleen Murphy was appointed acting Chief Financial Officer. As CFO, she is the principal adviser to the Archivist on Federal financial management and provides enterprise wide leadership for budget, accounting policy
and operations, financial reporting, and operation of NARA's Trust and Gift Funds. Since 2010, Colleen served as NARA’s Accounting Officer. She has Bachelor Degrees from the University of Maryland in Accounting and Government and Politics.

**Chief Information Officer**
Swarnali Haldar
swarnali.haldar@nara.gov

Swarnali Haldar was appointed NARA’s Executive/Chief Information Officer (CIO) effective June 29, 2014. She is responsible for leading programs and projects for information systems and tools that allows customers to permanently preserve digitized as well as born digital information and tools for customers to discover NARA's holdings. She will continue to develop strategies to enhance NARA’s capabilities to support records management. Swarnali has been with NARA since February of 2013. Prior to her appointment as CIO, she served in the role of Deputy Chief Information Officer/Director of Operations. Before joining NARA, Swarnali served as the CIO for the Foreign Agricultural Service within the Department of Agriculture. She is an accomplished senior manager with domestic and international experience in leading the strategy and tactical operations of an information technology organization. She has proven experience in innovative, results-driven success managing a multi-million dollar government information technology organization and has a proven track record for providing information services to headquarters as well as field offices. She holds a Bachelor of Science degree in Computer Science from the University of Maryland Baltimore County (UMBC).

**Executive for Business Support Services**
Donna Forbes
donna.forbes@nara.gov

Donna Forbes has served as Acting Executive for Business Support Services since July 2015. She came to NARA in May 2015 as Chief Facilities Engineer and Operations Manager. Business Support Services assists NARA’s internal customers nationwide. Services include managing the Agency’s safety program; training and certifying project managers; operating and maintaining all NARA facilities; providing security management; and administering field support management throughout the organization. Prior to joining NARA, Donna served in facilities management positions at the Department of Labor, NASA’s Goddard Space Flight Center, and the Department of Agriculture. She retired from the U.S. Navy Reserve as a Commander. Donna is a registered professional engineer in the Commonwealth of Virginia. She holds a bachelor’s degree in electrical engineering from Southern Methodist University and a master’s degree in engineering from the University of Maryland, College Park.
Chief Human Capital Officer
Sean Clayton
sean.clayton@nara.gov

Mr. Clayton currently serves as Chief Human Capital Officer for the National Archives and Records Administration. He is a graduate of the Senior Executive Service Candidate Development Program with the Social Security Administration (SSA). He held several senior leadership positions at SSA including Acting Deputy Assistant Regional Commissioner for Management and Operations Support in the San Francisco Region as well as Director of Performance Management and Analysis for the Office of Quality Performance.

Prior to joining SSA, Mr. Clayton served as a Human Capital Specialist for the Department of Energy (DOE) where he was responsible for recruitment strategy, policy development, and workforce analysis. Mr. Clayton also worked as an Equal Employment Opportunity Specialist while working for the U.S. Department of Agriculture's Farm Service Agency (FSA). He served as FSA's National Hispanic Employment Program Manager. During his tenure with FSA he was elected as the Chair of the National Council of Hispanic Employment Program Managers. In this role, Mr. Clayton consulted with various federal agencies and non-profit organizations in the development of Hispanic hiring solutions to overcome Hispanic underrepresentation in the Federal workforce.

Mr. Clayton attended Ursinus College and received his Bachelor of Arts degree in Politics. He went on to receive his Masters degree in Public Administration at American University with a focus on Organizational Diagnosis and Change Management.

Chief Records Officer
Laurence Brewer
laurence.brewer@nara.gov

As the Chief Records Officer, Mr. Brewer leads records management throughout the Federal Government with an emphasis on electronic records. He provides overall direction and guidance for Federal agencies on all aspects of records and information management. This includes overseeing the scheduling and appraisal of Federal records, the development of records management regulations and guidance, and evaluating the effectiveness of records management programs in Federal agencies.

Prior to his current appointment, Mr. Brewer held a number of positions in NARA's records management program, including management positions working directly with Federal agencies to improve records management government-wide. Most recently, he directed the National Records Management Program, coordinating the activities of headquarters and field records management staff in support of NARA's overall strategic plan.

Prior to joining NARA in 1999, Mr. Brewer was a records management consultant responsible for managing records management programs at the Environmental Protection Agency and the Virginia Department of Transportation. He has more than 25 years of experience in records and information management and earned his Certified Records Manager (CRM) designation in 1998. Mr. Brewer is also
a senior fellow of the Partnership for Public Service's Excellence in Government Program, which focuses on developing the leadership skills of senior government employees. He holds an M.A. in Political Science from the University of Georgia, and a B.A. in Government from the College of William and Mary.

General Counsel
Gary M. Stern
garym.stern@nara.gov

Gary M. Stern has been the General Counsel of the National Archives and Records Administration since 1998, and also serves as NARA's Chief Freedom of Information Act Officer, Senior Agency Official for Privacy, and Dispute Resolution Specialist. Mr. Stern provides legal and policy guidance with respect to NARA's implementation of the Federal Records Act, the Presidential Records Act, and all of the other statutes, regulations, orders, and directives that govern NARA's multiple archival and records-related responsibilities. Before coming to NARA, Mr. Stern worked for the U.S. Department of Energy (1995-98), the U.S. Federal Advisory Committee on Human Radiation Experiments (1994-95), and the Washington Office of the American Civil Liberties Union (1987-94), where he specialized in national security, classification, and information law issues. While at the ACLU, Mr. Stern participated as a plaintiff in Armstrong, et al. v. Executive Office of the President, the first major case involving government email recordkeeping practices, and also served as legal consultant to the National Academy of Science's Committee on Declassification of Information for the Environmental Remediation and Related Programs of the Department of Energy. Mr. Stern earned his law degree in 1987 from Yale Law School, where he served as editor-in-chief of the Yale Journal of International Law; he graduated Phi Beta Kappa from Vassar College in 1983, where he majored in Ancient Greek.

Director, Congressional Affairs
John Hamilton
john.hamilton@nara.gov

John Hamilton serves as Director of Congressional Affairs for the National Archives, where he plans, directs, and coordinates the legislative and congressional relations activities of NARA. Before coming to NARA, Mr. Hamilton led federal relations efforts for the University of California (UC) in Washington, DC, primarily in the Federal budget and appropriations processes, science and technology policy, and higher education programs and regulations. Mr. Hamilton also served as the assistant director for federal relations at the National Association of State Universities and Land-Grant Colleges, and worked as a legislative assistant to U.S. Congressman Robert Traxler, following issues related to education, science, labor, civil service, transportation and the Federal courts. Mr. Hamilton is a native of Michigan and received a BA in history from Saginaw Valley State University in Michigan and an MBA from an international graduate school at Kyung Hee University in Seoul, South Korea.
Director of Communications and Marketing
John Valceanu
john.valceanu@nara.gov

John Valceanu is the Director of Communications and Marketing, overseeing NARA's public and media communications, product development and internal communications. Before joining NARA in February 2016, John worked for the U.S. Department of Defense, where he led the teams that manage content on Defense.gov, DoD's official home page, and which produce news and feature articles for military newspapers and websites around the world.

In addition to DoD, John's government experience includes serving as acting director of Enterprise Web Management at the General Services Administration. He retired from the military after completing a 20-year combined active and reserve U.S. Army career as a public affairs specialist, including tours with the 82nd Airborne Division, the Southern European Task Force Infantry Brigade and on the staff of "Soldiers," the official magazine of the U.S. Army. John has a bachelor's degree in liberal arts and creative writing from Sarah Lawrence College and a master's degree in public administration from Troy University.
National Archives Office of Inspector General (OIG)

The Office of Inspector General (OIG) is an independent unit within NARA charged with detecting and preventing fraud, waste, abuse, and mismanagement. Through our audits, investigations, and other inquiries we help the Agency to more effectively and efficiently run their programs and operations. Essential to our independence is the fact agency management may not prevent or prohibit the OIG from initiating, carrying out, or completing our work. We are agents of positive change striving for continuous improvement in our NARA and in our own office.

What We Do

We perform audits, investigations, and other reviews of all aspects of any issue affecting NARA’s programs and operations. Our mission is to promote economy and efficiency; and to prevent and detect fraud, waste, and abuse. In addition to ongoing reporting, twice a year we provide a Semi-annual Report to Congress that details the work we have done in the previous six months.

Important Facts About the OIG

• Currently staffed with 18 FTEs, the OIG is based in College Park, MD, and is funded by our own line in NARA’s appropriation of approximately $4.1 million.
• There are six armed criminal investigators on staff with statutory law enforcement authority.
• All NARA employees shall cooperate fully with the OIG and must report suspected criminal acts, fraud, waste, abuse and gross mismanagement to the OIG.
• The IG has access to all records, reports, audits, reviews, documents, papers, recommendations, or other material available to the agency relating to NARA programs and operation.
• The OIG may issue subpoenas to non-Federal entities for records and information.
• Under the IG Act, the IG is required to keep both Congress and the head of the agency fully and currently informed concerning fraud and other serious problems, abuses and deficiencies.
• The IG is under the general supervision of the Archivist, and to preserve their independence, does not receive an annual performance evaluation. IG pay is regulated by the IG Act.
• While many larger OIGs run their own support offices (i.e. HR, procurement, travel), we utilize agency offices for economy. This does not allow those offices to impinge OIG independence.

NARA’s Top Challenges

1. **Electronic Records Archives** – This is NARA’s primary strategy for addressing the challenges of archiving electronic records. However its initial development was plagued by delays, cost overruns, and technical short comings. Many of the initial core requirements were not fully addressed, and ERA lacks the originally envisioned functionality.

2. **Improving Records Management** – News headlines have underscored the fact agencies are not keeping and transferring all required Federal records to NARA. NARA needs to work to ensure the proper electronic and traditional records are in fact preserved and sent to NARA in the first place.
3. **Information Technology Security** - Each year, risks and challenges to IT security continue to be identified. Many of these deficiencies stem from the lack of strategic planning with regard to the redundancy, resiliency, and overall design of NARA’s network.

4. **Expanding Public Access to Records** - Although NARA recently updated their digitization strategy, historically the digitization approaches implemented were not large enough to make significant progress. Further, due to poor planning and public access system limitations, millions of records digitized through NARA’s partnership agreements were not made accessible to the public in an efficient and timely manner. NARA must ensure the appropriate management, controls, and resources are in place to successfully implement its digitization strategy and expand public access to records.

5. **Meeting Storage Needs of Growing Quantities of Records** - NARA is approaching its overall limits in archival storage capacity, and there are currently no plans to acquire or build more. Space limitations are affecting NARA’s accessioning, processing, preservation, and other efforts.

6. **Preservation Needs of Records** - NARA holdings grow older daily and face degradation associated with time. According to NARA, preservation resources have not adequately addressed the growth in holdings needing preservation action. Preserving records is a fundamental element of NARA’s duties to the country, as NARA cannot provide access to records unless it can preserve them for as long as needed.

7. **Improving Project and Contract Management** - NARA faces many challenges with project and contract management. For example, IT systems are not always developed in accordance with established NARA guidelines. These projects must be better managed and tracked to ensure budget, scheduling, and performance goals are met.

8. **Physical and Holdings Security** - Document and artifact theft is not a theoretical threat; it is a reality NARA has been subjected to time and time again.

9. **Human Resources Management** - NARA has not developed a comprehensive approach to human capital management. Adequate policies and procedures have not been developed, updated, and communicated; making it difficult to manage human capital effectively.

10. **Enterprise Risk Management** - NARA has not established an ERM capability, and the agency has not established a fully effective internal control program. Thus, NARA is vulnerable to risks that may not be foreseen or mitigated, and does not have the ability to self-identify and appropriately manage or mitigate significant deficiencies.

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**Inspector General**

James E. Springs  
[james.springs@nara.gov](mailto:james.springs@nara.gov)

James E. Springs was appointed as the Inspector General effective March 23, 2015. Mr. Springs has 27 years of government experience working in the Inspector General community. Mr. Springs joined NARA in 1997 and has previously served as the Acting Inspector General and Assistant Inspector General for Audits. He holds a Bachelor of Science degree in Accounting from Saint Augustine's College.
Administrative Information for the Agency Review Team (ART)

NARA Points of Contact (POCs) for ART Members

Chris Naylor, Deputy Chief Operating Officer and Agency Transition Director, will serve as the POC for ART members. Jay Bosanko, Chief Operating Officer, will serve as the alternate POC. ART members should contact Chris or Jay with any questions regarding logistical issues, information needs, or scheduling of briefings/tours.

POC: Chris Naylor, Deputy Chief Operating Officer
Work: 301-837-1997
Cell: 301-974-7688
Email: chris.naylor@nara.gov

Alternate POC: William “Jay” Bosanko, Chief Operating Officer
Work: 301-837-3604
Cell: 202-246-4264
Email: william.bosanko@nara.gov

Facility and Workstations

NARA will be providing ART members with workstations and a dedicated conference room at the National Archives at College Park, 8601 Adelphi Road, College Park, MD, 20740. Upon arrival at the Adelphi Road entrance, security officer will check the driver's license of the operator and photo identification of any passengers (all visitors must present photo ID) and direct the driver to available parking. After parking, visitors should enter the building through the main entrance and pass through security control into the front lobby. Until ART members have badges, they will need to be escorted from the main lobby to the workstations in Room 4200. There is a cafeteria that serves breakfast and lunch.

There are monitors and keyboards at the workstations in Room 4200 that ART members can use with their laptops. Basic office supplies (e.g., pens, stapler, etc.) will be available for ART members at their workstations.
**WiFi Access and IT Support**

There is dedicated WiFi available for ART members at their designated workstations in College Park. There is also public WiFi in many areas of the College Park and Washington D.C. buildings.

Once onsite, ART members may contact Michael McGuire, Director, IT Operations, directly regarding any IT issues.

IT POC: Michael McGuire, Director, IT Operations  
Work: 301-837-3578  
Cell: 301-830-0185  
Email: michael.mcguire@nara.gov

**Badging Process**

In order to receive building credentials (i.e., badges) for access to general staff access, ART members will need to fill out an NA Form 6006 and turn it in to Chris Naylor. NARA’s Security Office will then process the request, which takes approximately three business days. Prior to receiving NARA building credentials, ART members will need to be escorted at all times in staff areas.