NATIONAL ARCHIVES

PRESIDENTIAL TRANSITION

2020–2021

NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION

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I. Agency Overview

NATIONAL ARCHIVES

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.*

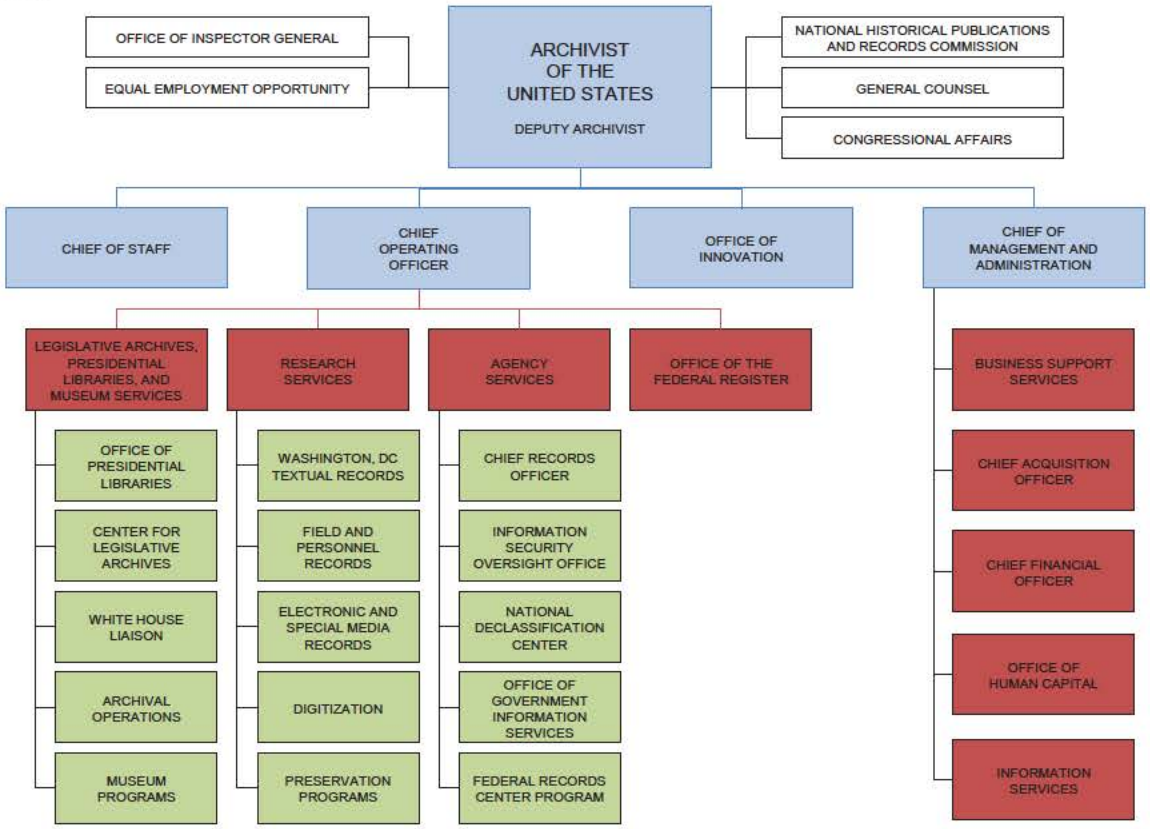
Build Our Future Through Our People.—*NARA will create and sustain a culture of empowerment, openness, and inclusion; and ensure that NARA has a diverse workforce with the skills necessary to fulfill the agency's mission.*

NATIONAL ARCHIVES

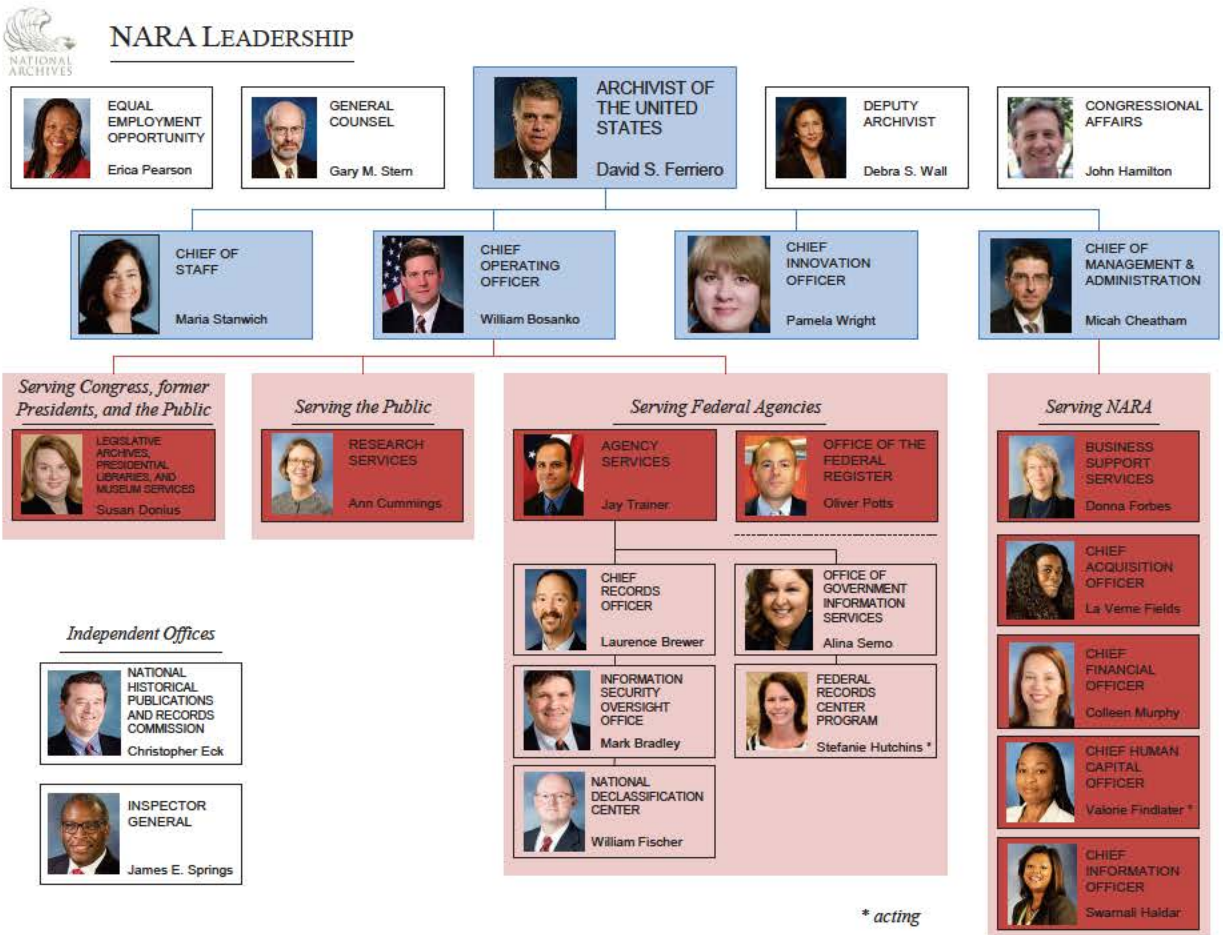
NARA GEOGRAPHIC LOCATIONS

NARA has 43 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 Organization



NARA Leadership



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)

Operating Expenses (no-year)
FY 2020 Appropriations Act provided no-year funding for:
- *Repairs and alterations to NARA's College Park facility*
- *Civil Rights Cold Case Records Collection Act*

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

Revolving Fund:

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

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 Federal Register:
- *Operating Expenses*
- *GPO Page-Rate Fund*

Office of the Chief of Management and Administration:
- *Operating Expenses*
- *Records Center Revolving Fund (allocated)*

Business Support Services:
- *Operating Expenses*
- *Records Center Revolving Fund (allocated)*
- *Repairs and Restoration*

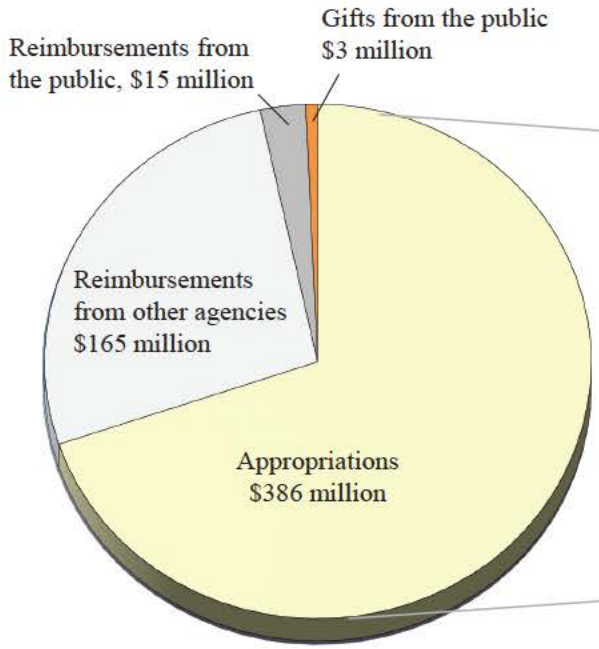
Office of the Chief Acquisition Officer:
- *Operating Expenses*
- *Records Center Revolving Fund (allocated)*

Office of the Chief Financial Officer:
- *Operating Expenses*
- *Records Center Revolving Fund (allocated)*
- *National Archives Trust Fund (trust fund accounting)*

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

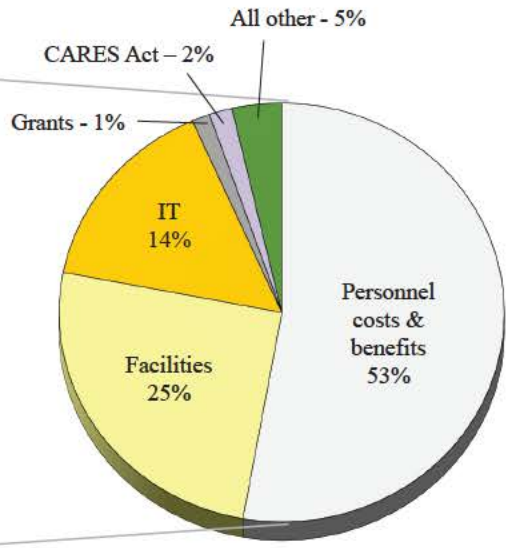
Information Services:
- *Operating Expenses*
- *Records Center Revolving Fund (allocated)*

NARA Sources and Uses of Funds



FY 2020 Sources of Funding
$569 million *

* includes Coronavirus response funding in the CARES Act



FY 2020 Uses of Funds
(appropriations only)
$358 million *

* includes carry-over balances from prior-year appropriations

NARA Key Statistics

FY 2020 NARA Holdings

Traditional holdings (cubic feet)…….....32.5 million
Non-Archival records (cubic feet)……27.2 million
Archival records (cubic feet)……..……5.3 million
Archival records (number of pages)……13.25 billion

Artifacts (number of items)..……601,000
Archival electronic records……..818 terabytes

FY 2019 Visit Data *

Total physical visits (all types)…….....4,083,000
Researcher visits…….....78,000
Education and public programs visits…….....610,000
Total museum visitors (all locations)……3,394,000
Washington, DC museum visitors……1,101,000

FY 2019 Public Access Statistics *

Total reference requests…….....1,597,000
Written correspondence……..…….1,288,000
Research rooms (items furnished)…….....230,000
Freedom of Information Act requests…….....68,000
Document reproduction orders……..…..11,000

Federal Register on-line document retrievals…293 million

Total web visits…….....40 million

Records declassified and released to the public since January 2010 **(pages)……....128 million**

** The COVID-19 pandemic disrupted NARA operations in FY 2020; as a result, FY 2020 metrics do not reflect typical performance.*

II. Budget

NARA Budget

The FY 2021 President's budget requests $367 million for three of NARA's four discretionary appropriations, providing for NARA Operating Expenses, Office of Inspector General, and Repairs and Restoration of NARA-owned buildings. NARA did not request FY 2021 funding for the National Historical Publications and Records Commission (NHPRC) Grants program. NARA's FY 2021 request is a reduction of $11 million from the FY 2020 enacted level.

NARA's highest priorities for the FY 2021 budget are Presidential Transition, the recapitalization of the Records Center Revolving Fund, and investments to improve our services to veterans. In addition, NARA has two long-term initiatives supporting digitization (*Electronic Records Initiative*) and electronic records preservation (*Electronic Records Archives*).

- *Presidential Transition*—The FY 2021 Continuing Resolution (P.L. 116-159) provides 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. §§ 2201-2209), in the event of a change in administrations. Funds requested would provide for the secure transfer and long-term storage of Presidential records and artifacts at NARA facilities in the Washington, DC, metropolitan area. These funds also provide for a small staff to begin processing records and support special access requests by Congress and the incoming Administration.

- *Recapitalization of the Records Centers Revolving Fund*—The Records Centers Revolving Fund is a full cost recovery revolving fund that finances the reimbursable operations of the Federal Records Centers Program (FRCP). The cash balance of the fund has been nearly exhausted due to extended facility closures and limited operations during the COVID-19 pandemic. The FRCP has narrowly avoided furloughs due to extraordinary administrative action. The Records Centers Revolving Fund requires additional funding to finance necessary investments and to restore the cash balance so that the FRCP can sustain future disruptions, including a possible "second wave" of COVID-19 in the fall. The Administration requested funding in the FY 2021 Continuing Resolution and in supplemental appropriations for Coronavirus relief. The House FY 2021 Coronavirus supplemental bill (HR 925) included an appropriation to the revolving fund for this purpose.

- *Veterans' access to their military records*—The FY 2021 President's Budget includes funding to provide sustained, appropriated funds to support the National Personnel Records Center (NPRC) in St. Louis, MO. The NPRC stores over 2.1 million cubic feet of retired military service records and responds to over one million requests for copies of those records each year. Veterans and their families request copies of their military service records to prove eligibility for health care at Department of Veteran's Affairs (VA) medical facilities, death benefits and military burials, and for genealogical research. The NPRC is a reimbursable program and the costs of fulfilling veterans' records requests is financed by the Department of Defense, NARA's Operating Expenses appropriation, and, in some cases, the veterans themselves. This initiative would move more of the funding to NARA appropriations and allow NARA to provide free copies of military separation documents to all veterans and their families.

- *Electronic Records Initiative (ERI)*—NARA's FY 2021 budget includes funding to accelerate the processing and public release of large volumes of high-value Federal records through mass digitization of paper records and at-risk special media records (audio, video, and motion picture records). ERI is a multi-year budget initiative to provide for high-speed scanning of textual records, a modern digitization lab for special media records, and desperately needed storage space for both textual and special media records. This initiative was first funded in the FY 2020 budget.

- *Electronic Records Archives (ERA)*—NARA's FY 2021 budget includes funding for the continued development of the next-generation ERA 2.0. ERA is NARA's primary electronic information system 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.

NARA obligated $577 million in FY 2020, including obligations from NARA's four discretionary appropriations, plus the Records Centers Revolving Fund, a trust fund, and a gift fund. 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.

III. Strategic Plan

NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION

2018–2022 Strategic Plan

FEBRUARY 2018

Agency Overview

The National Archives and Records Administration (NARA) is an independent agency established in 1934 to identify, protect, preserve, and make publicly available the historically valuable records of all three branches of the Federal government. NARA manages the Federal government's archives, administers a system of Presidential Libraries, operates museums, conducts education and public programs, provides oversight of government-wide records management activities, and provides temporary storage of other agencies' records on their behalf. NARA publishes the Federal Register and makes grants through the National Historical Publications and Records Commission. NARA provides for the appropriate declassification of classified national security information, mediating Freedom of Information Act disputes, and overseeing agency actions regarding classified and controlled, unclassified information.

NARA holds over 5 million cubic feet (equivalent to 12.5 billion pages) of permanently valuable archival Federal and Presidential records in traditional (analog) formats, and 795 terabytes of electronic archival records. NARA provides access to archival records at public research rooms located across the country, through the online National Archives Catalog, and in response to written correspondence, email, and telephone requests. NARA engages the public with archival records through our website, archives.gov, educational and public programs, and museum exhibits at the National Archives Museum in Washington, DC and thirteen Presidential Libraries. NARA holds over 700,000 artifacts, primarily Presidential materials, which add context and support understanding of the events documented in NARA's records.

NARA provides a variety of services to other Federal agencies. NARA stores and services nearly 28 million cubic feet of other agencies' records, on a reimbursable basis, through the Federal Records Centers Program (FRCP). NARA helps other agencies meet their Federal records management responsibilities through regulations, policies, training, and oversight. NARA facilitates the regulatory process by providing public notice and soliciting public comments on proposed agency rulemakings through the Federal Register. NARA manages the declassification of historical, classified records and provides agencies with standardized processes to ensure their interests are identified and appropriately considered in the declassification process. NARA supports government-wide information policy by providing Federal agencies and industry with standards for protecting sensitive Government information and by supporting the effective administration of the Freedom of Information Act (FOIA) across the Executive Branch.

NARA Mission, Vision, and Values

MISSION STATEMENT

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.

We 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 and transform the American public's relationship with their government. We will lead the archival and information professions to ensure archives thrive in a digital world.

NARA 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.

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.

Young visitors create their own film from WWII records in the Public Vaults Exhibit, National Archives Building, Washington, DC.

Transformational Outcomes

The NARA Transformation is a continuous process of reviewing and assessing the agency's operations, programs, and strategic direction in order to transform NARA into a dynamic and modern agency. Transformation requires us to regularly engage external organizations, peer institutions, and our customers, in order to drive innovation and demonstrate leadership in electronic records management, archival science, and efficient operations. Transformation requires us to foster a new organizational culture that is agile and responsive to change, accepts risk, rewards innovation, and seeks continuous improvement.

NARA's Transformation is guided by six "transformational outcomes" that describe how we will fulfill our mission in a modern environment.

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.

A visitor learns about the Vietnam War in the Vietnam Gallery, Richard Nixon Presidential Library and Museum, Yorba Linda, CA.

STRATEGIC GOAL 1
Make Access Happen

Make Access Happen affirms that "public access" is NARA's core mission and is a higher calling that gives purpose and meaning to all our work. We are reaching beyond the traditional role of making records available for others to discover and we are instead making access happen by delivering increasing volumes of electronic records to the American public online, using flexible tools and accessible resources that promote public participation. In order to achieve success in this goal, NARA must digitize millions of records we hold in analog formats, keep pace with the continuous stream of new records we receive each year, and develop new ways to help citizens find our records through the online National Archives Catalog.

1.1 By FY 2021, 82 percent of NARA holdings will be processed to enable discovery and access by the public.

Archival processing refers to those actions NARA must take in order to provide efficient access for research, including: performing basic holdings maintenance, describing the records in the National Archives Catalog, so that the public knows the records are available for research, and entering the records into NARA's inventory control system, so that NARA staff can retrieve and serve those records when requested.

Visitors research their genealogy in the Boeing Learning Center, National Archives Building, Washington, DC.

NARA must accelerate archival processing in order to increase the total percent of records that are available for research, even as the total volume of records grows every year. Currently, 78 percent of NARA traditional (analog) records and 89 percent of electronic records are processed. Given the size of NARA's holdings, this means a significant number of records have not been processed and are not available for public access. In addition, NARA receives about 100,000 cubic feet per year of new archival records in traditional (analog) formats. The volume of new electronic records transferred varies significantly from year-to-year, but is substantial.

Strategies:

- Fully deploy standardized processing procedures and internal controls, and benchmark performance.
- Develop new applications for processing electronic archival records in the modernized Electronic Records Archive 2.0 information system.
- Explore cutting-edge technologies such as advanced search to automate processing of large volumes of electronic records.

Contributing Programs: Research Services; Legislative Archives, Presidential Libraries, and Museum Services; Information Services.

1.2 By FY 2024, NARA will digitize 500 million pages of records and make them available online to the public through the National Archives Catalog.

NARA has committed to digitize all of its traditional (analog) holdings and make them available to the public online. NARA holds approximately 12.5 billion pages of documents, photographs, films, and other records in analog formats, the majority of which are only accessible in-person, in public research rooms or through reproductions provided in response to specific customer requests.

NARA must accelerate digitization processes and address technical limitations in the National Archives Catalog so that the public can access NARA records from any location. Today, NARA has nearly 235 million pages of records digitized, but only about 15 percent of those digital records are currently available to the public through the National Archives Catalog. Challenges with the technical solution behind the Catalog have limited NARA's ability to add new digital files to the system.

Strategies:

- Enter into new public-private digitization partnerships with new types of partners.
- Integrate digitization into the responsibilities of archival units nationwide.

Education Specialist Michael Hussey explains the DocsTeach web resource to a teacher in the Boeing Learning Center, National Archives Building, Washington, DC.

- Acquire and provision digitization equipment and software across the enterprise.
- Modernize the National Archives Catalog to address scalability issues.

Contributing Programs: Research Services; Legislative Archives, Presidential Libraries, and Museum Services; Information Services; Office of Innovation.

1.3 By FY 2025, NARA will provide digital, next-generation finding aids to 95 percent of the holdings described in the National Archives Catalog.

Finding aids are tools that help researchers find information in a specific record group, collection, or series of archival materials. NARA staff are adept at creating finding aids based on the physical location of analog records; however, NARA has struggled to apply these skills in an electronic environment. NARA must develop new products that help the public to research, explore, and discover digitized and electronic archival records.

Strategies:

- Build capabilities in design and user experience, to better understand user needs.
- Pilot finding aids in different platforms to find the most effective delivery methods.
- Develop models and governance processes to allow decentralized and ad-hoc preparation of next-generation finding aids.

Contributing Programs: Research Services; Legislative Archives, Presidential Libraries, and Museum Services; Information Services; Office of Innovation.

STRATEGIC 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 continuously engage with and learn from our customers: individuals, organizations, and other Federal agencies. We build long-term and strategic customer relationships to ensure our services are valued by our customers and we work together to improve overall efficiency and effectiveness.

2.1 By FY 2020, 93 percent of customer requests will be ready within the promised time.

NARA strives to provide consistent, reliable, and reputable service in order to increase customer engagement and encourage customers to see NARA as a trusted partner. NARA provides service to a variety of public and Federal agency customers, including responding to reference requests, furnishing items in public research rooms, providing veterans and their families with copies of military separation documents (DD-214), and responding to Freedom of Information Act (FOIA) requests from the public.

NARA currently provides 93 percent of customer requests in the promised time as a weighted average across multiple services. However, NARA will be challenged to maintain this standard as the agency transitions to a fully-electronic environment. NARA is committed to maintaining its current high standards of customer service to maintain the trust and confidence of its customers.

Strategies:

- Benchmark and revise standards for efficient and timely responses to requests.
- Develop and baseline new metrics that better address overall customer satisfaction.
- Migrate written correspondence and other off-site requests to an online solution.

Contributing Programs: Research Services; Agency Services; Legislative Archives, Presidential Libraries, and Museum Services; Office of General Counsel; Office of Innovation; Information Services.

Teachers learn about scanning records in the Innovation Hub, National Archives Building, Washington, DC.

2.2 By FY 2020, NARA will achieve a 90 percent satisfaction rating from participants in museum, outreach, educational, and public programming activities.

NARA engages with the public through museum exhibits, educational and public programs, online tools and services, and by soliciting public participation in agency initiatives. NARA measures public satisfaction and participation levels to understand the breadth of agency engagement with its customers and the public.

NARA consistently receives customer satisfaction ratings in the 90th percentile from museum visitors and participants in educational and public programs. NARA will be challenged to maintain high satisfaction ratings as it explores ways to coordinate engagement functions and activities across multiple delivery channels, including online.

Strategies:

- Expand use of crowd-sourcing tools to improve public access and engagement.
- Develop a national outreach program that promotes awareness of our holdings nationwide.

Contributing Programs: Legislative Archives, Pres-idential Libraries, and Museum Services; Office of Innovation.

2.3 By FY 2025, NARA will have 1 million records enhanced by citizen contributions to the National Archives Catalog.

NARA encourages the public to engage with their government and explore American history by contributing unique content to the online National Archives Catalog. NARA encourages members of the public to add "tags" and transcribe records to improve search results and to make handwritten or difficult-to-read text accessible for a wider audience.

Capital Area scouts learn about Patents in the Boeing Learning Center, National Archives Building, Washington, DC.

Strategies:

- Expand use of crowd-sourcing tools to improve public access and engagement.
- Build capabilities in design and user experience to better understand user needs.

Contributing Programs: Office of Innovation.

2.4 By FY 2020, NARA will have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping.

NARA's success in meeting its strategic goals and objectives depends on the capability of its customer agencies to transform their programs and systems to support fully-electronic recordkeeping. NARA must enhance its support of Federal agency records management officials with effective policies, modern tools, and new services to support the transition to electronic records.

Strategies:

- Conduct a business process reengineering to improve customer-facing functions of the Electronic Records Archive 2.0.
- Provide Federal agencies with digitization guidance and "success criteria" for managing electronic records.
- Develop Federal records management requirements and work with Federal and commercial vendors to incorporate the requirements into software applications and cloud offerings.

Contributing Programs: Agency Services; Information Services.

STRATEGIC GOAL 3
Maximize NARA's Value to the Nation

Maximize NARA's Value to the Nation recognizes that public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of our records. We are reforming and modernizing records management policies and practices across the Federal government to support the transition to digital government. NARA will drive public and commercial re-use of historical government data and records to create measurable economic activity.

3.1 By FY 2019, NARA will conduct inspections of records management practices at 10 percent of Federal agencies per year, to ensure that Federal email and other permanent electronic records are being managed in an electronic format.

NARA must provide its customer agencies with the policy, guidance, and training necessary to appropriately manage records in their custody. NARA must also provide its stakeholders with reasonable and independent assurance that those agencies are complying with relevant laws and regulations.

NARA conducts on-site inspections of other agencies' records management practices to help those agencies strengthen their recordkeeping programs and ensure that records are being managed appropriately. NARA conducts inspections according to established procedures, publishes findings and recommendations in written reports, and requires agencies to respond with corrective actions that are tracked through completion. NARA has conducted 18 inspections since 2011. NARA's goal is to complete a total of 26 inspections in FY 2019.

Strategies:

- Review compliance issues identified from completed inspections and revise baselines as needed for future inspections.
- Develop procedures to evaluate Federal electronic records and recordkeeping systems.
- Stand-up a unit dedicated to inspecting agency electronic recordkeeping systems.

Contributing Programs: Agency Services.

National Archives and Records Administration, Fort Worth, TX Archives and Records Center.

3.2 By December 31, 2022, NARA will, to the fullest extent possible, no longer accept transfers of permanent or temporary records in analog formats and will accept records only in electronic format and with appropriate metadata.

NARA and most Federal agencies currently maintain separate policies, practices, and physical infrastructures for managing records in traditional (analog) formats compared to electronic records. This structure is costly and complex, which increases the risk that permanently valuable records in either format may not be appropriately retained. NARA must take decisive action to transition Federal recordkeeping to a fully-electronic environment to promote efficiency, increase access to information, and allow NARA and Federal agencies to focus resources on meeting the challenges of managing electronic records.

After December 31, 2022, NARA will no longer accept new transfers of analog records for storage by the Federal Records Centers Program (FRCP) to the fullest extent possible. NARA will continue to store and service all records received by the FRCP by that date until their scheduled disposition date. Once those records reach their disposition date, NARA will accept the permanent records into the National Archives in their original (analog) format.

Beginning January 1, 2023, all other legal transfers of permanent records must be in electronic format, to the fullest extent possible, whether the records were "born electronic" or not. After that date, agencies will be required to digitize permanent records in analog formats before transfer to NARA.

Strategies:

- Establish appraisal, scheduling, and pre-accessioning processes that reflect modern electronic records management.
- Redesign records management training to assist agencies in building a records management workforce that is skilled in electronic records and data management.

- Establish clear policy on digitizing permanent records and the appropriate disposition of analog originals.
- Work with agencies and the private sector to build capacity for mass digitization of analog records and transition storage of temporary analog records to the private sector.

Contributing Programs: Agency Services; Research Services; Legislative Archives, Presidential Libraries, and Museum Services; Office of Innovation.

3.3 By FY 2025, at least 15 external sources will be using NARA data sets from the National Archives Catalog as a primary source.

NARA collaborates with stakeholders, the public, and private organizations to make historical records available to the public. NARA currently delivers large sets of records to the public through third-party websites, including Wikipedia, the Digital Public Library of America, and non-profit genealogy sites. NARA must increase the number and variety of platforms and organizations that use NARA data sets to allow for deeper public engagement with the data and stimulate economic activity through the use and re-use of government information.

Strategies:

- Enhance NARA's Application Programming Interface (API) to improve public access to large datasets in the National Archives Catalog.
- Build new public-private partnerships that allow for a broader range of uses of NARA data sets.
- Develop collaborative relationships with other cultural institutions to attract new private investment in web applications that use and re-use government information.

Contributing Programs: Office of Innovation

Reception center, National Archives and Records Administration, Fort Worth, TX Archives and Records Center.

STRATEGIC GOAL 4
Build our Future Through our People

Build our Future through our People is our commitment to provide all our employees with learning and leadership opportunities necessary to successfully transition to a digital environment. We are dedicated to empowering our employees to engage in their work, innovating to improve our work processes and products, and becoming the next generation of leaders. We are building an inclusive, empowering workplace culture that connects employees with the agency mission. We are developing a diverse workforce with the skills necessary to fulfill our mission.

4.1 By FY 2020, 40 percent of NARA staff at all grade levels will have participated in a formal leadership development program activity to support the agency effort to build an agency of leaders.

NARA must have a cadre of skilled leaders – in supervisory and non-supervisory positions – in order to effectively transition to a fully-electronic environment. NARA invests in leadership development activities to ensure the agency has a diverse pool of competent leaders with appropriate technical skills and experience. Currently, 32 percent of NARA employees have participated in a formal leadership development program activity in the past five years. NARA must expand and enhance its leadership development program to provide more opportunities for staff participation and development.

Strategies:

- Re-design NARA's Supervisor Development Program and establish regular refresher training for all managers and supervisors.
- Enhance NARA's cross-training program to include more opportunities in leadership roles.
- Expand course offerings to provide more opportunities for staff at field locations.
- Develop standards and metrics to evaluate program effectiveness.

Contributing Programs: Office of Human Capital.

Federal Records Center employees loading digital materials for storage.

4.2 By FY 2020, 85 percent of NARA positions will be filled within 80 days.

NARA must have an effective hiring process in order to reach the best talent in a competitive market. NARA measures performance using the Office of Personnel Management (OPM) 80-day "time to hire" standard, beginning with the hiring manager's initial request to fill a vacancy to the employee's start date.

NARA must have a highly-qualified, highly-motivated, and diverse workforce in order to achieve the agency's strategic goals and objectives. Currently, approximately 53 percent of NARA positions are filled within 80 days. NARA must fill more positions within the 80-day standard in order to secure the best candidates and minimize the disruption of extended vacancies.
Strategies:

- Improve human capital business processes and make better use of technology.
- Realign how the Office of Human Capital delivers services to internal customers.
- Ensure managers and supporting Human Capital staff are appropriately trained.

Contributing Programs: Office of Human Capital.

4.3 By FY 2020, 95 percent of NARA positions will have clear and achievable career paths for NARA employees.

"Career pathing" at NARA is a structured process of analyzing organizational units to reduce managerial span-of-control, redesign core jobs to improve employee motivation and productivity, and ensure a fairer and more effective performance management system.

NARA must have a motivated workforce that is organized into effective work units in order to achieve the agency's mission and goals. NARA must address imbalances in the organizational structure, assignment of work, and performance management standards to better support employee motivation and engagement. NARA staff must see reasonable and achievable paths to rewarding and productive careers in order to engage in their work and build an inclusive workplace. To date, NARA has completed career pathing for approximately 36 percent of agency positions. NARA must establish transparent and meaningful career paths to ensure the agency has a motivated and diverse workforce with the skills necessary to fulfill the agency mission.

Strategies:

- Redesign front-line positions to improve employee empowerment.
- Assess and correct appropriate supervisor-to-employee ratios.
- Develop new positions in journey grades to increase analytical work and encourage technical subject matter expertise.
- Resolve additional barriers to career progression and build inclusive work units.

Contributing Programs: Office of Human Capital; Office of Equal Employment Opportunity.

4.4 By FY 2020, NARA will have a career development program in place to support NARA's transition to electronic records.

NARA must ensure employees are prepared to transition to a fully electronic environment and are prepared to support other agencies with new tools, guidance, and expertise. NARA must provide a robust career development program consisting of training and experiential learning that allows all employees to identify and plan for career growth opportunities and develop competencies. NARA must develop a diverse workforce that is appropriately trained and empowered to participate in an inclusive workplace, and able to effectively support the migration to a fully electronic environment.

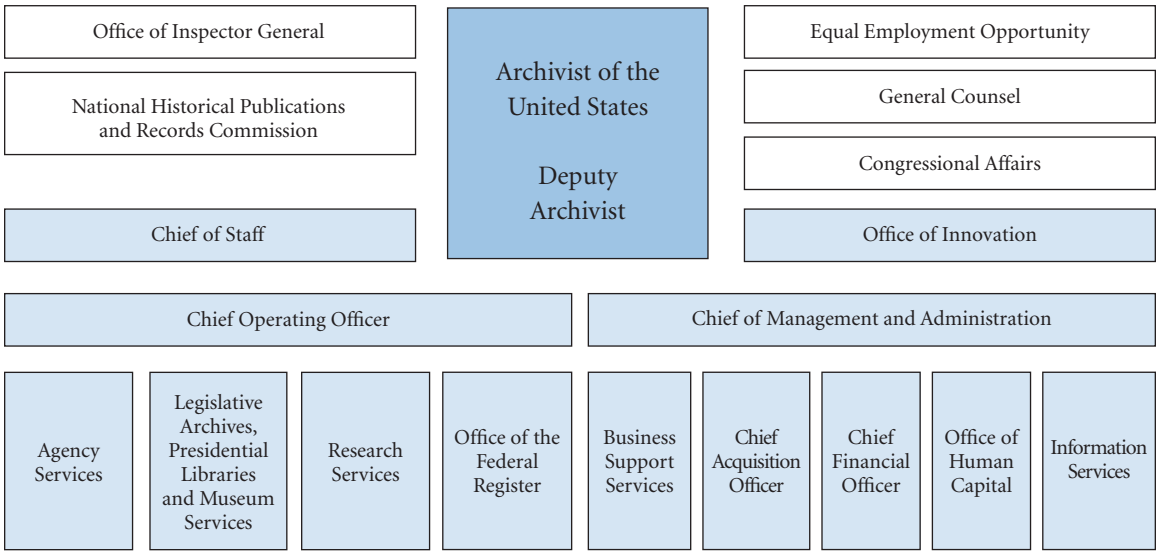
Strategies:

- Identify competencies and requirements to support career development.
- Transform career development and job-skill training programs to meet the needs of electronic records.
- Expand NARA's cross-training program to offer more opportunities in a broader range of roles.
- Develop job-specific development programs to build professional competencies.

Contributing Programs: Office of Human Capital.

NARA ORGANIZATION

NARA is organized around customer segments, which ensures that resources and management attention are focused on delivering coordinated and effective service to all stakeholders. NARA's customer-focused organizations allow the agency to better engage its stakeholders, encourage their collaboration and participation, and respond to their needs expediently and efficiently. This structure eliminates duplication of processes and resources, creates a more flexible and agile organization, and promotes shared accountability for the performance of the agency as a whole.



The *Archivist of the United States* is vested with broad authority to store and protect the records in NARA's custody and oversee the management of records in the custody of other Federal agencies. The Archivist is appointed by the President and confirmed by the U.S. Senate and is supported by the *Deputy Archivist*, who is the agency's senior career official.

The *Chief of Staff* provides administrative support to the Archivist and Deputy Archivist, leads NARA internal and external communications programs, and champions innovations to improve the customer experience for internal and external customers.

The *Office of Innovation* plans, directs, and coordinates NARA's Open Government efforts, the online public catalog, digitization strategy and partnerships efforts, and NARA's web and social media presence.

The *National Historical Publications and Records Commission (NHPRC)* is an independent statutory body that provides grants to preserve and publish non-Federal records that document American history. The Archivist of the United States chairs the Commission.

The *Chief Operating Officer* provides leadership and direction to NARA's customer-facing organizations:

- *Agency Services* leads NARA efforts to meet the records management needs of Federal agencies and represents the public's interest in the transparency of these records. Agency Services includes the Office of the Chief Records Officer of the United States, the Federal Records Centers Program, the Information Security Oversight Office (ISOO), the National Declassification Center, and the Office of Government Information Services (OGIS).
- *Legislative Archives, Presidential Libraries, and Museum Services* fulfills the records needs of the White House and Congress, researchers who make use of Presidential and Congressional records, and museum visitors, educators, and students.
- *Research Services* provides world-class service to researchers and citizens wanting to access the records of the National Archives and preserves archival holdings for the benefit of future generations.
- *The Office of the Federal Register* fulfills the Archivist's responsibilities to publish the daily Federal Register, the Code of Federal Regulations, and the Statutes-at-Large, and other statutory requirements.

The *Chief of Management and Administration* provides leadership and direction to NARA administrative and management functions:

- *Business Support Services* provides efficient and effective facility and property management, physical security, and administrative services at NARA field locations.
- *Chief Acquisition Officer* fulfills NARA needs for procurement and contracting services, and manages the distributed acquisition workforce.
- *Chief Financial Officer* leads NARA operations and activities related to budget, accounting, financial management, and internal controls.
- *Office of Human Capital* supports an effective and diverse NARA workforce through hiring, employee training and development, and workplace engagement.
- *Information Services* applies information technology and sound information management practices to support NARA programs and activities.

STAKEHOLDER ENGAGEMENT

NARA shared drafts of this Plan with external stakeholders in the Summer and Fall of 2017. NARA issued a draft for comment by staff on the agency's internal collaboration tool, conducted an anonymous staff survey, and held two live Town Hall meetings to solicit comments and answer questions. NARA also posted a draft to the agency website, archives.gov, and GitHub for public review. NARA sent letters soliciting input from professional organizations, peer institutions, and the public, and issued a memorandum to senior officials at other Federal agencies, encouraging their review and comment. NARA also held two open forums where senior leaders presented the draft Strategic Plan to records management staff and leaders from other Federal agencies. Later, after incorporating comments and views expressed by staff and other stakeholders, NARA sent copies of the revised Plan to the agency's Authorizing and Appropriations Committees in Congress for their review.

EVIDENCE BUILDING

NARA used information from the full portfolio of evidence to develop this Strategic Plan. NARA started 2018-2022 strategic planning by conducting a traditional environmental scan, including a review of new trends and emerging practices in archives and information management, agency performance data, program reviews conducted by NARA programs, and the Office of Inspector General's Top Ten Management Challenges. NARA Executives also reviewed materials describing the efforts and strategies employed by the National Archives of Australia and Canada to transition to electronic records.

NARA incorporated evidence gathered to support agency reform plan proposals, which were developed at the same time that NARA formulated the new Strategic Plan. NARA Executives conducted a risk-based analysis of every agency activity or function, and issued a survey to all staff to solicit their ideas on ways to improve NARA and reduce risk. NARA used this evidence to prepare a risk profile and design new strategic objectives that mitigate long-term, strategic risks to the agency. As a result, NARA's 2018-2022 Strategic Plan establishes a long-term vision to move the agency forward and transform archiving, but also includes plans to address long-term risks and increase agency efficiency and effectiveness.

NATIONAL
ARCHIVES

IV. Issue Papers

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) provides a broad definition of Presidential record (which must be retained and automatically transfers to NARA when the President leaves office) as distinct from a personal or political record (which is the personal property of the President). NARA can provide 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 the Executive Office of the President (EOP) systems, including classified 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 has had an opportunity to review the records in order to consider any claims of 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 the disposal of Presidential records 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 generic 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 hard copy 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.

- 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. NARA supports planning for the future Presidential Library of the incumbent President.

- NARA provides exhibit-quality facsimiles of records from the archival holdings of the National Archives to the White House for visiting heads of state gifts, and for gifts the President presents when he is on official and State visits overseas.

- 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 supports the White House on the management of Federal records and oversight of classified and controlled unclassified information.

- NARA provides guidance and approves records disposition schedules for the Executive Office of the President (EOP) components that create Federal records in accordance with the Federal Records Act (FRA). NARA works with the Office of Administration, Office of Management and Budget, United States Trade Representative, Office of Science and Technology Policy, Office of National Drug Control Policy, the Council on Environmental Quality, the Intellectual Property Enforcement Coordinator, and other EOP staff to provide FRA records management guidance, training, assistance with particularly difficult recordkeeping challenges or issues, and the review and approval of records disposition schedules.

- NARA's Information Security Oversight Office (ISOO) is responsible for providing policy guidance and oversight of the Government-wide classified national security system and the National Industrial Security Program (NISP), and reports annually to the President on their status, in accordance with Executive Order 13526, "Classified National Security Information," and Executive Order 12829, "National Industrial Security Program," as amended.
    - ISOO chairs the National Industrial Security Program Policy Advisory Committee.
    - ISOO chairs the State, Local, Tribal, and Private Sector Policy Advisory Committee (SLTPS-PAC), in accordance with Executive Order 13549, "Classified National Security Program for State, Local, Tribal, and Private Sector Entities."
    - The Director of ISOO serves as the Executive Secretary of the Interagency Security Classification Appeals Panel (ISCAP) and ISOO staff provide all administrative and logistical support. The ISCAP represents the President by serving as the highest appellate authority for challenging the classification of information, and by deciding on appeals of Mandatory Declassification Review requests. It approves, on behalf of the President, agency requests for exemptions to automatic declassification as specified in Executive Order 13526. All ISCAP records are Presidential records and become part of that President's library at the conclusion of the administration.

- Through ISOO, NARA serves as the Executive Agent for implementing Executive Order 13556, "Controlled Unclassified Information," and overseeing agency actions to ensure compliance.

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 maintains a staff of experienced senior editors who work with the EOP to 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 *Presidential Documents*.

- 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.*

Transition to Electronic Records Memorandum

For the last decade, the National Archives and Records Administration (NARA) has been leading efforts across the Executive Branch to modernize and transform Government by moving towards digital government. Most recently, NARA and the Office of Management and Budget (OMB) issued a memorandum on the Transition to Electronic Records (OMB M-19-21) in July 2019.

This memorandum directed all Federal agencies to: 1) ensure that all Federal records are created, retained and managed in electronic formats, with appropriate metadata, and 2) consistent with records management laws and regulations, develop plans to close agency-operated storage facilities for paper and other, analog records, and transfer those records to Federal Records Centers operated by NARA or commercial storage facilities. In addition, the memorandum consolidated previously issued guidance and established specific target dates for agencies to make the transition to a fully electronic government.

Some of the targets in the Memorandum have either passed or been achieved by Federal agencies. Agencies were required to manage all their permanent electronic records in an electronic format by 2019. This target has been known to agencies since the release of the 2012 Managing Government Records Directive (OMB M-12-18), and agencies have made considerable progress towards meeting that goal, as reflected in NARA's Federal Agency Records Management Report for 2019. However, considerably more work remains to meet this target.

Federal agencies were also instructed to maintain robust records management programs that comply with the Federal Records Act and its implementing regulations. To achieve this, they must designate a Senior Agency Official for Records Management (SAORM) at the Assistant Secretary level or equivalent, who has direct responsibility for ensuring that the agency efficiently and appropriately complies with all applicable records management statutes, regulations, and policy. In addition, agencies must designate an Agency Records Officer (ARO) who is responsible for overseeing agency recordkeeping requirements and operations. NARA maintains a list of appointed SAORMs and AROs on our website.

Other targets remain in the future. By 2022, Federal agencies will manage all permanent and temporary records electronically to the fullest extent possible. Permanent records will eventually be transferred and accessioned by NARA in an electronic format. Temporary records, which do not get transferred to NARA, must either be in electronic form or transferred as inactive records

to a commercial storage facility that meets NARA requirements. NARA was instructed to establish a process to issue exceptions to these requirements and did so with the release of NARA Bulletin 2020-01 on September 30, 2020.

NARA was also instructed to revise records management regulations and guidance to support agencies' transition to fully electronic recordkeeping by September 30, 2020. These updated regulations and guidance provide clear standards for fully electronic recordkeeping, including electronic records storage, formats and metadata, as well as transfer guidance, including NARA Bulletin 2018-01: Format Guidance for the Transfer of Permanent Electronic Records. NARA is also working to provide modernized processes to efficiently schedule, transfer, and accession permanent electronic records. NARA is in the process of updating regulations with clear policies to support agencies in their efforts to digitize paper records. In 2019, we revised 36 CFR 1236 to add standards for digitizing temporary records, which constitute the majority of Federal records, so that agencies may dispose of analog, source records after they are digitized. We are further revising our electronic records management regulations to add a subpart containing standards for digitizing permanent Federal records so that agencies may dispose of the original source records, where appropriate and in accordance with the Federal Records Act amendments of 2014.

Planned, Future Actions

The targets established in M-19-21 mark a significant step forward for the establishment of a robust digital government for the 21st century. NARA will continue to monitor the progress agencies are making through an expanded oversight and inspection program. This will allow NARA to assess the overall progress Federal agencies are making and determine where improvements are needed, either from the agencies themselves or by identifying gaps in NARA's policies and regulations. We will also issue additional regulations to address the digitization of other types of analog records, such as microforms, film-based negatives, and transparencies, to support agencies' ability to comply with M-19-21.

Challenges will continue to arise as agencies utilize new technologies to create records and information, deploy new IT systems, and continue this transition to a digital government. To meet these challenges, we must continue to understand the significant role technology plays in creating and maintaining modern Federal records. We must also recognize the growing impact of Federal data management policy within agencies. We will only be successful if we provide leadership and direct appropriate resources towards understanding the entire Federal information management landscape.

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 findings and recommendations to agencies for improving their records management programs and practices.

NARA's strategic plan (2018-2022) includes a goal to conduct inspections of at least 10% of federal agencies annually. This goal puts an emphasis on increasing oversight of records management programs and practices. Inspections include follow up activities by both NARA and inspected agencies in the form of plans of corrective action. The purpose of these plans are to require remediation and mitigate risks to records, and to hold agencies accountable for completing these actions.

Current Oversight and Compliance Activities

The Office of the Chief Records Officer has increased its capacity to conduct records management oversight, including adding staff with specific skills and expertise in records audits, information governance, and technology.

We have increased our ability to conduct oversight of records management in several ways, including introducing system audits of electronic records systems, establishing different types and approaches to inspections and assessments, and creating summary products that expand the reach of our findings and recommendations.

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

- Records Management Inspections and Assessments: Each inspection or review focuses on one or more specific elements of an agency's records management program. We monitor progress reports until all items on the plan are completed. We have produced summary reports from the data gathered by inspections in order to more broadly disseminate our findings and recommendations and identify common challenges. These reports include Inspection Reports, Assessment Reports, and Semi-Annual Reports.

- Unauthorized Disposition of Federal Records Reporting and Tracking: NARA tracks and monitors all allegations 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. Additional information is available at: https://www.archives.gov/records-mgmt/resources/unauthorizeddispositionoffederalrecords

- Annual Reporting by Federal Agencies to NARA: NARA requires agencies to submit reports on the state of their records management programs and their compliance with federal regulations. An annual summary report is posted to the website. The most recent consolidated report was published September 2020: 2019 Federal Agency Records Management Annual Report. We require three types of reports from each agency:

    - Records Management Self-Assessment: Since 2009, NARA has been administering the annual Records Management Self-Assessment (RMSA). Federal agencies self-report data about their records management policies and practices and compliance with Federal records management regulations and NARA guidance. https://www.archives.gov/records-mgmt/resources/self-assessment.html.

    - Senior Agency Official for Records Management Reports: NARA requires the Senior Agency Official for Records Management (SAORM) to report annually on their progress towards the transition to electronic recordkeeping in line with OMB/NARA M-19-21 and also other strategic initiatives and challenges for records management. https://www.archives.gov/records-mgmt/resources/saorm-reports

    - Federal Electronic Records and Email Management Maturity Reports: In 2016, NARA introduced the use of maturity models to measure email management. In 2019, we added Electronic Records Management into the model. The models use specific success criteria for managing these types of records to allow agencies to assess their progress and report that information to NARA. https://www.archives.gov/records-mgmt/resources/email-mgmt-reports

Planned, Future Actions

NARA's challenges in the oversight of records management in agencies have become more complex in recent years due to rapidly changing technology used in the creation of Federal records by agencies. In general, NARA seeks to increase staffing and other resources to expand the reach of oversight, and invest in training and development of staff who need specific skills to effectively conduct records management inspections and audits.

In addition, we recently launched the capability to perform electronic systems audits. We have hired staff with specific technical skills to allow NARA to conduct systems audits and provide expert advice concerning the capture, management, and storage of electronic records and to provide reasonable assurance that systems are properly configured to capture and manage records in accordance with records management laws, regulations, policies and guidance.

Federal IT Infrastructure Modernization Poses Risk to Records Management

The Federal Government must continually analyze and consider how technological changes impact mission critical work. For NARA, 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 (social media, text messaging, ephemeral messaging, chat) that do not easily incorporate records management controls;
- ease at which Federal employees can create records outside of agency approved systems (i.e., use of personal email accounts);
- challenges 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 file formats in proprietary systems;
- legacy systems requiring modernization or integration of new digital technologies;
- slow adoption of new technologies and evolution of existing systems;
- complex federal IT procurement processes that hinder the efficient acquisition of tools and services agencies must have to create records and continually improve their records management capabilities;
- flexible acquisition strategies to transfer ownership of data that avoid redundant large scale movement of data; and
- investing in a storage infrastructure to accommodate the ever increasing volume of born-digital records.

It is vital that Federal IT infrastructure accommodates for these challenges. As agencies adopt the Cloud Smart initiative, it is also imperative the network infrastructure and bandwidth connecting physical locations to the Cloud be upgraded to support both increasing storage capacity and ensuring accessibility for electronic records. Given the increased adoption of Internet of Things (IoT), the security of the records have to be re-envisioned and traditional security models have to be modernized. As the volume of born-digital records increase, it is increasingly becoming impossible to do any kind of manual processing, so Federal IT infrastructure should modernize and adopt Robotic Process Automation (RPA) or Artificial

Intelligence (AI) as part of regular business practice (see NARA's Cognitive Technologies White Paper for more information).

The OMB/NARA Memorandum on Transition to Electronic Records (M-19-21) requires agencies to move toward fully-electronic recordkeeping. As agencies continue to 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. If agencies do not appropriately manage and preserve records in sustainable formats, their permanent records will not last long enough before they are transferred to the National Archives or will require intensive efforts to make them available to the American people.

One area NARA has demonstrated leadership in managing electronic records is the Federal Records Modernization Initiative (FERMI). FERMI is NARA's effort to provide a government-wide, modern, cost-effective, standardized, and interoperable set of records management solutions and services to Federal agencies. NARA identified the common, core requirements all Federal agencies need to support their records management programs and issued those as the Universal Electronic Records Management Requirements. NARA also serves as the Records Management Functional Area Lead on the Business Standards Council run by GSA's Unified Shared Services Management (USSM) office. NARA's goal is to ensure that records and information management is built into the government-wide shared services offered by Quality Service Management Offices (QSMOs).

The ongoing pandemic caused by COVID-19 has presented many challenges for Federal agencies as they moved to a largely telework environment for their employees. As a result, agencies have invested heavily in improving their electronic infrastructure. In addition, they have greatly increased their reliance on collaboration technologies. Such technologies require greater attention to ensure records created in these areas are appropriately captured and managed.

Planned, Future Actions

NARA must continue to be an advocate and champion for 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 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.

The ideal state of ERM in the Federal Government includes widespread adherence to the specifications and standards set by NARA and the Federal records management community. This would support the inclusion of records management requirements in shared services used for all mission support services and the adoption of systems and tools that meet each agency's unique business requirements while ensuring 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 disposal or transfer to NARA.

Federal Electronic Records and the Electronic Records Archives

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 September 2020, ERA manages close to 950 Terabytes of electronic records, totaling over 1.9 billion digital objects.

ERA 2.0 is essential to support fully-electronic recordkeeping

As part of the move to all electronic recordkeeping in the Federal government, after December 31, 2022, NARA will no longer accept new transfers of permanent or temporary analog records, to the fullest extent possible (OMB Memorandum M-19-21, Transition to Electronic Records). With a shift to all digital transfers, NARA expects the volume of electronic records transferred to the National Archives for permanent retention to increase significantly in the very near term. NARA anticipates a continued 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 from their agency systems, more often in cloud-based infrastructures, directly into our records archiving system. The shift to all digital transfers will require additional NARA archival staff to support the increase in electronic records accessioning.

To address the need for scalable records storage and services, NARA has begun to roll out ERA 2.0, the next-generation of the Electronic Records Archives. ERA 2.0, currently deployed for internal use only, features cloud-based storage and processing capabilities that allow NARA to process and manage its ever-growing body of electronic holdings. Basing ERA 2.0 in the cloud also provides a means to "future-proof" the system against technical obsolescence of the infrastructure (both computing and storage resources) that is used to implement it. At full capability ERA 2.0 will improve the user experience for Federal agencies that transfer records to NARA, by enhancing electronic transfer capabilities and system reliability so that agencies can effectively transfer electronic records through electronic means, including transferring directly from their own cloud environment to the cloud environment of ERA 2.0. When completed, ERA 2.0's tools to verify, describe, search, review, and redact records within the storage environment will allow NARA to process, preserve, and make accessible the massively increasing body of electronic records in its holdings while also allowing NARA to retire outdated legacy systems.

Planned, Future Actions

In FY 2021, NARA will deploy new forms and workflows for scheduling and transfer of Federal records and will migrate all current forms and data from the first generation ERA system into ERA 2.0. With the basic capabilities in place and existing forms migrated, NARA will make the new system available for use by all Federal agencies. During FY 2021, a major focus for enhancements is the implementation of additional long-term digital preservation features, including file format characterization and auditing of the preservation status of the records and their component files. Among NARA's other future actions is a planned acquisition of multiple cloud computing and storage environments to improve the scalability and availability of our system. This will also ensure the system remains able to support direct transfers from agency cloud-based systems in a reliable manner.

NARA needs significantly increased funding in order to continue its investment in ERA 2.0 for years to come in order to add new capabilities, such as search, access review and redaction, subsume legacy records processing systems, provide expanded operations and maintenance services, and to address storage needs for a growing volume of electronic data from agencies and internal digitization efforts. Some cost savings may come from retiring legacy systems whose functionality will be subsumed into ERA 2.0, in terms of reduced hardware and software costs, but similar costs will continue to be incurred in providing functionality and data storage in a cloud environment.

As NARA expands the capabilities of ERA 2.0 to meet the challenges of a large and growing body of electronic records, NARA will continue to migrate unclassified functionality from legacy records processing systems, which should realize cost savings; however, savings will be limited until NARA can provide similar functionality for classified records and can fully retire all of our legacy systems. NARA is still in the early stages of assessing how ERA 2.0 capability can be used to meet our mission responsibilities for classified electronic records, and will need support to develop an efficient and effective solution that will meet our needs in a secure manner.

Challenges Responding to FOIA Requests

NARA is the repository for the permanent, historical records of all three branches of the U.S. Government. While the vast majority of the more than 15 billion pages and hundreds of terabytes of archival records are fully open to the public, a sizeable volume contain sensitive information that cannot be released without being reviewed for applicable FOIA exemptions – most notably, classified national security information, personal privacy information, and law enforcement information (as a general rule, NARA does not withhold information subject to the deliberative process and other privileges from its archival records).

NARA's biggest archival challenge has been trying to keep up with its ever growing FOIA backlog during a prolonged period of budget and staff reductions, even as we receive hundreds of millions of pages (or their electronic equivalent) of new federal records every year and the equivalent of a billion page collection of Presidential records every four or eight years, during a prolonged period of budget reductions.

Although FOIA applies only to records of executive branch agencies, NARA protects sensitive information in legislative and judicial branch records, as well as our collections subject to donor deeds of gift, in roughly the same manner. The Presidential Records Act (PRA), which applies to all Presidential records beginning with President Reagan, incorporates most, but not all, of the FOIA exemptions.

Because of practical and legal differences in the way that FOIA applies to different parts of the agency, NARA has a decentralized FOIA program; roughly divided among three archival program offices: The Office of Research Services, which focuses principally on unclassified archival records, including law enforcement records; the National Declassification Center, which focuses on classified archival records; and the Office of Presidential Libraries, which oversees the Presidential Libraries subject to the PRA.

Responding to FOIA requests is essentially the last stage of the lifecycle for providing access to permanent archival records. Determining public availability for federal records begins at the accessioning stage, when the creating agency is supposed to identify which FOIA exemptions apply to any of the records. Based on that information and its own initial spot checking of the records, NARA either makes the records available in full or reviews the records and withhold pages, folders, or boxes from public access, or closes the records until further screening or a FOIA review occurs.

Researchers need to file FOIA requests to gain access to closed or restricted records, which often require line-by-line review for possible redaction of exempted information. Similarly, records in the PRA Presidential Libraries are subject to FOIA beginning five years after the end of the administration. Because of the nature of Presidential records, the terms of the PRA, and the fact that the White House does not identify applicable FOIA exemptions before transferring its records to NARA, Presidential records must undergo a line-by-line review prior to release.

The ability to complete a high percentage of FOIA requests within the statutory 20 working days is largely dependent on the size, frequency, and complexity of each request – i.e., how long it takes to locate the requested volume of potentially responsive records, determine which of them are actually responsive, and then review them for applicable FOIA exemptions. Although responding to FOIA requests is still largely a manual process involving skilled FOIA professionals, each of these steps has the potential to be made more efficient, particularly if they can be automated, but only to a degree and sometimes with unintended consequences.

Searching for textual records within a universe of, for example, 50 million pages in multiple stack locations is significantly slower than searching an email database, but the volume of potentially responsive records and false positives that are returned on an email search of 220 to 300 million emails (which is the volume of the George W. Bush and Obama Presidential Libraries, respectively) can be staggering compared with collecting a limited set of boxes based on relevant folder titles. While NARA processing archivists can review up to 60,000 pages per year (or 300 pages per day), we commonly receive FOIA requests that encompass hundreds of thousands and sometimes millions of pages – most notably, there are over 160 million pages in the backlog at the George W. Bush Presidential Library alone.

Planned Future Actions

NARA's first strategic goal is to "Make Access Happen," and an essential component of that goal is "to digitize all of its traditional (analog) holdings and make them available to the public online." But even as more archival records are digitized, many of them will still have to be reviewed for applicable FOIA exemptions. Accordingly, NARA must make significant investments in the technology, processes, and staffing necessary to digitize and provide access to all of its records in a timely manner, to include:

- Mass digitization of analog records, up to 500 million pages per year.
- Accelerated development of NARA's Electronic Records Archives (ERA) 2.0 system, to include state of the art artificial intelligence/"e-discovery" search, review, and redaction tools that can be accessed remotely.
- Significant increases in archival staff to conduct and oversee FOIA review in order to ensure that we can release as much information as possible while continuing to protect classified, privacy, law enforcement, and other highly sensitive information.

National Declassification Center - Promoting Transparency and Security

The National Declassification Center (NDC) was established within NARA in December 2009 to oversee the declassification review of classified records in the custody of the National Archives. The NDC accomplishes its mission through interagency partnerships and collaboration. The NDC promotes transparency in government through the declassification review and release of archival records that no longer warrant protection. It continues to protect classified national security information by identifying and segregating documents and information that remains sensitive. This work is fundamental to our form of government and the public interest. It also supports NARA's mission of "making access happen."

Accomplishments

In its ten years of operations, the NDC has achieved important results, including:

- Elimination of a 350 million page backlog of records pending declassification.
- Expansion of an existing interagency document referral center to meet the Executive Order 13526 directive to address declassification review referrals for classified records. The NDC used a Lean Six Sigma analysis to design new declassification processes to perform quality assurance of agency reviews.
- Development of review workflows, including special media formats, developed standardized declassification training, and held several interagency training conferences to improve and advance declassification practices.
- Engagement with the public through its innovative Indexing-on-Demand program and publication of quarterly release lists. In its work processing Freedom of Information Act (FOIA) and Mandatory Declassification Review (MDR) requests for classified archival records, the NDC has been able to greatly reduce NARA's backlog and close the ten oldest open FOIA cases in three of the last five years.

These successes and innovative practices rest on the interagency partnerships that are central to all the NDC does.

Planned, Future Actions and Upcoming Challenges

In recent years, NARA started a process to consolidate classified Presidential records from each of the Presidential Libraries at the National Archives at College Park, Maryland (Archives II) and directed the NDC to expand its declassification operations to include Presidential records. Early in this effort the Nixon White House Tapes and the team that processes them became part of the NDC. The consolidation process accelerated in 2020 and will continue in 2021. This will include processing FOIA and MDR requests for classified Presidential records. The NDC is also positioning itself to expand into the realm of electronic review by piloting a tool to review classified electronic records and taking steps to prepare employees and NARA for expanding digital operations. The NDC is excited to play a lead role in shaping the future of declassification through work in these areas.

Nevertheless, Presidential records and electronic review pose challenges for the NDC. Because the expected volume of classified Presidential records to be received in the coming years exceeds the volume of records the NDC has ever received in a comparable timeframe or over several years, Presidential records will greatly expand the volume of records under review in a given year. This increased caseload, along with the backlog resulting from COVID-19 disruptions, will strain the NDC beyond current staffing levels. New positions will be necessary in order for the NDC to meet the increasing workload relating to Presidential records, while also maintaining ongoing Federal records declassification operations. The NDC is also using aging IT systems that need updating and replacement. The NDC must acquire a new IT system that allows for advanced search, review, and redaction capabilities to advance in the area of electronic review of FOIA/MDR requests for Federal and Presidential records and systematic declassification review, which will require substantial funding resources to maintain and operate.

Digitization Needed to Support Open Government and Efficient Operations

Through the Federal Data Strategy, the Administration has set clear goals for all Executive branch agencies to provide government information online and in machine-readable formats. "Open data" is changing 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.

NARA's strategic goal to Make Access Happen establishes "public access" to permanent archival records 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.

One of our objectives under our Make Access Happen strategic goal is to: Make our records available to the public in digital form to ensure that anyone can explore, discover, and learn from NARA holdings. Initiatives include:

- Describe our holdings online to make them easy to use and provide archival context.
- Digitize our analog archival records to make them available online.

The *Strategy for Digitizing Archival Materials for Public Access, 2015-2024* (http://www.archives.gov/digitization/strategy.html) addresses the scope, objectives, and approaches to digitize our records and make more of our holdings available. We embarked on a major effort to digitize archival materials to expand public access to our holdings, which includes non-exclusive partnerships with organizations from a variety of sectors. We have partnerships in place with Family Search, Ancestry, and the Veteran's Administration, to name a few. More information about our partners may be found online at: http://www.archives.gov/digitization/partnerships.html.

Since the launch of our strategy, NARA has been able to scan, describe, and provide online access to over 120 million pages of records. This is on track to reach our objective of having 500 million pages of digital copies online by FY2024. Although this is providing more digital access

to our records than most of our peer institutions, it is a small start to getting our over 15 billion pages of paper records scanned.

Planned, Future Actions

Our technological infrastructure has been challenged by this dramatic increase in digital public access to our records. We have planned enhancements, developed roadmaps, and continue to define the resources we need to provide public access to federal records. Prior to the pandemic, NARA worked with our partners to digitize records in our facilities across the country. We also worked with public volunteers to get scans into the Catalog, and we scanned millions of documents in our labs. We are planning to continue that work as facilities reopen. Depending on the length of downtime, this may lengthen the time needed to reach our 2024 strategic goal of 500 million pages. But to meet our ultimate goal of digitizing all of our paper records, we need to dramatically increase our digitization capacity to 200-500 million pages per year, which will require a necessary increase in funding.

2021 Deadline Concerning JFK Assassination Records

Background

The President John F. Kennedy Assassination Records Collection Act of 1992 (44 U.S.C. § 2107 note) 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 (25 years after the statute was enacted), unless the President personally extended the withholding. All records are in NARA's legal and physical custody, and include over 5 million pages of which about 88% are open in full, 11% redacted, and less than 1% withheld in full.

On October 26, 2017, the President temporarily certified an additional 180 days to allow executive departments and agencies to review all information that remained withheld from full public disclosure to determine whether such information warranted continued postponement under the Act. By March 12, 2018, agencies that sought further postponement were required to report to the Archivist of the United States (Archivist) the specific information within particular records that met the standard for continued postponement under section 5(g)(2)(D) of the Act.

Based on the information provided by agencies and further review by NARA staff, the Archivist recommended to the President further postponement of 13,922 documents that contained partial withholdings.

Status and Timeline of Records Review

In his Presidential Memorandum of April 26, 2018, the President agreed with the Archivist's recommendation that the continued withholdings were necessary to protect against identifiable harm to national security, law enforcement, or foreign affairs that is of such gravity that it outweighs the public interest in disclosure even after the 25 year deadline. The President ordered that agencies re-review each of the documents that continue to have redactions over the next three years. At any time during this review period, and no later than October 26, 2021, agencies shall disclose information that no longer warrants continued withholding.

The records currently withheld represent the equities of three departments and two agencies. In addition, there are 80 Record Information Form (RIF) numbers that were identified by agencies when the records collection was assembled in the 1990s, but are not associated with a specific record and therefore require further postponement pending their resolution. Another 53 documents will never be released in full because NARA received these documents in a redacted form from the originating agency. Lastly, 520 records continue to be withheld because they contain grand jury or IRS information, or are subject to judicial seal, and require a court order to release, in accordance with sections 10 and 11 of the Act.

Planned, Future Actions

NARA has notified the equity holding agencies of their review responsibilities outlined in the Presidential Memorandum of April 2018. Any agency that seeks further postponement beyond October 26, 2021, shall, no later than April 26, 2021, identify to the Archivist the specific basis for concluding that records (or portions of records) satisfy the standard for continued postponement under section 5(g)(2)(D) of the Act.

Thereafter, the Archivist shall recommend to the President, no later than September 26, 2021, whether continued withholding from public disclosure of the identified records is warranted after October 26, 2021. If after an agency completes its review, there is a disagreement with the Archivist concerning the justification for the continued postponement of the record, the agency will be afforded the ability to appeal to the President who has the final determination power.

Due to the COVID-19 pandemic and the limited availability of staff on-site, NARA and the equity holding agencies may encounter difficulties conducting the document re-review within the given timeframe. NARA requires Administration support to meet all deadlines and ensure that all decisions are made with sufficient time to process the individual documents for release by the October 26, 2021 deadline.

Civil Rights Cold Case Records Collection Act Next Steps

Background

The Civil Rights Cold Case Records Collection Act of 2018 (CRCCA) (Public Law 115-426, codified at 44 U.S.C. § 2107 note) was signed into law on January 8, 2019, in order to provide an expeditious process to review, declassify, and release to the public records related to civil rights cold cases from events that occurred between January 1, 1940 and December 31, 1979. Closely modeled on the President John F. Kennedy Assassination Records Collection Act of 1992, the CRCCA mandates that the National Archives and Records Administration (NARA) establish a collection of copies of the civil rights cold case records. In addition, NARA must prepare and publish the subject guidebook and index to the collection, and establish criteria for federal agencies to transmit copies of civil rights cold case records to NARA, to include required metadata. Additionally, a five member independent review board, the Civil Rights Cold Case Records Review Board, will be established to review, consider, and render decisions regarding the release or postponement of civil rights cold case records.

While the Freedom of Information Act (FOIA) is a valuable tool for public access, this special process to release records related to civil rights cold cases under the CRCCA is historic because these records will be reviewed by the Review Board and proactively released to historians, researchers, journalists, and anyone interested in solving civil rights cold cases. The civil rights cold case records that have been identified so far in NARA's custody include some files that are classified or have other sensitivities, such as law enforcement and personally identifiable information. The agencies with the most equities in these records are the Department of Justice (DOJ) and the Federal Bureau of Investigation (FBI). While the reviews will not be subject to the nine FOIA exemptions, the CRCCA does identify the following six grounds for postponement of release where disclosure would:

- Damage national security, military defense, law enforcement, intelligence operations, or the conduct of foreign relations, or reveal classified information.
- Reveal the name or identity of a living individual who provided confidential information to the United States where it would pose a substantial risk of harm.
- Pose unwarranted invasion of personal privacy.
- Compromise an understanding of confidentiality between the government and a cooperative informant, where the harm to that understanding outweighs the public interest in the records.

- Endanger an individual's life or physical safety.
- Interfere with ongoing law enforcement proceedings.

NARA develops quarterly lists of transfers stored at the Federal Record Centers (FRC) that may contain civil rights records. Since these records are still in the legal custody of other Federal agencies, NARA contacted agency records officers about any records potentially related to civil rights cold cases to ensure that the records are not destroyed at the FRCs before they can be reviewed and processed as part of the CRCCA. Representatives of NARA, DOJ, and the FBI have discussed guidance to departments and agencies, but we remain in a holding pattern pending the appointment of the members of the Civil Rights Cold Case Records Review Board.

The FY 2020 Consolidated Appropriations Act provided up to $2 million to provide for the administrative expenses of the Civil Rights Cold Case Records Review Board, and for additional costs to establish the Collection at NARA. The President has the exclusive authority to appoint individuals to the Review Board. Once the White House selects the members of the Review Board, NARA will begin the process of facilitating review of the cases and processing them for release.

Planned, Future Actions

During FY 2021, NARA will be developing guidance for Federal agencies that communicates the process of identifying and prioritizing cold cases for the CRCCA; metadata to capture; and how to address technical issues of transferring the records to NARA, from NARA to the Review Board, and back, etc. NARA needs to determine what platform will be effective and efficient for the work process of a variety of records, including special media files. It is important that the guidance address how redactions and postponements will be submitted and tracked. Lastly, records related to civil rights cold cases with equities involving multiple agencies will have to be jointly reviewed and processed.

V. Congressional Affairs

Office of Congressional Affairs

NARA's Office of Congressional Affairs tracks legislation and serves as a liaison to the House and Senate. It receives over 2,000 requests every year regarding assistance on Congressional casework matters, most often involving records for military veterans. It also provides VIP tours to Members of Congress and their families and staff. In a typical year, more than 1,000 people visit the National Archives Museum on a VIP Congressional tour

Key Issues for the 117th Congress

Access to Veteran's Records: Due to the COVID-19 pandemic and the resulting closure and phased reopening of NARA's National Personnel Records Center (NPRC), many Members of Congress have expressed concerns over the delay in responding to requests for records, particularly those made on behalf of military veterans seeking a federal benefit. The Office of Congressional Affairs has regularly briefed and updated Members of Congress and Congressional committee staff on the evolving status of the phased reopening of NPRC, but the growing backlog of requests is going to continue to result in Congressional interest, which may lead to increased oversight and legislative action.

Decision to Close the NARA Facility in Seattle: On January 24, 2020, the Office of Management and Budget approved the recommendation of the Public Buildings Reform Board (PBRB) to sell the GSA facility that houses NARA's field archives and Federal Record Center in Seattle, Washington. That facility also holds the Federal archival records from Alaska that were relocated to Seattle after a decision in 2014 to close NARA's facility in Anchorage, Alaska. NARA expects to remain in the Seattle facility for the next several years. Eventually the records will be moved to other NARA facilities and public access will remain available through digitization and other remote means. The closure of the facility and the relocation of the records out of the State of Washington is actively opposed by several stakeholder groups in the Pacific Northwest, including several Native American Tribes. Members of Congress from Washington and Alaska are engaged with these groups and will be expecting to work with NARA on solutions to ensuring public access to the records is uninterrupted. NARA has held several meetings with the regional stakeholder groups and the Congressional delegations from Washington and Alaska and expects to continue to do so in the next Congress.

Freedom of Information Act (FOIA) Oversight: During the 115th and 116th Congresses, the Director of NARA's Office of Government Information Services (OGIS) testified before the Senate and the House on FOIA oversight issues. The Senate Judiciary Committee held a hearing on the implementation of FOIA reforms across the federal government, and a House

Subcommittee held a hearing focusing on FOIA operations at the Department of Homeland Security. In both instances, the OGIS Director testified as a neutral ombudsman that Congress envisioned when they created the office.

Oversight of the Federal Records Act and Presidential Records Act, etc: Over the last several years, NARA officials have been called to provide numerous Committee briefings on the Federal Records Act (FRA), the Presidential Records Act (PRA), the FOIA, information security and classification/declassification issues. NARA expects the 117th Congress to have an even greater interest in conducting oversight of these matters, particularly in regard to email and electronic messaging/recordkeeping, and also to focus on the impact of information technology on the handling and declassification of classified national security information.

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. In FY 2016, Congress appropriated $7 million to NARA to renovate vacant space in a Government Publishing Office (GPO) building in order to provide 64,000 cubic feet of archival storage for legislative records. The renovation of this facility was completed in 2019, and NARA has been moving legislative records into this space. In addition, in FY 2018, Congress appropriated $7.5 million to renovate another large storage space at the GPO building for additional storage of legislative records. NARA and GPO intend to move forward with this project during the 117th Congress.

The National Historical Publications and Records Commission (NHPRC): The NHPRC has been operating without a Congressional authorization since 2009. Bipartisan support for the Commission, however, has always existed with the House and Senate Appropriations Committees in response to a vocal stakeholder group of historians and state archivists.

The Public Interest Declassification Board (PIDB): The authorization for the PIDB expired at the end of 2018, but was renewed for a 10 year period in the FY 2020 Defense Authorization Act. After it was reauthorized, the PIDB issued a landmark report making multiple recommendations to modernize the management of records classification and declassification. The Senate worked on legislation during the 116th Congress based on the recommendations of the PIDB report, and NARA expects this legislation to be reintroduced in the 117th Congress.

Legislation: NARA's Office of Congressional Affairs is presently tracking over 202 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 116th Congress. To date, 11 bills of the 202 tracked have been signed into law, nearly half of which have been appropriations bills/continuing resolutions. Other legislation tracked by NARA that has been

enacted into law includes the Blue Water Navy Vietnam Veterans Act and the Presidential Transition Enhancement Act.

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 Committee on Oversight and Reform. 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

An * indicates Members who are retiring after the 116th Congress.

House Committee on Appropriations Subcommittee on Financial Services and General Government

Mike Quigley (D-IL), Chairman	Steve Womack (R-AR), Ranking Member
*Jose Serrano (D-NY)	Mark Amodei (R-NV)
Matt Cartwright (D-PA)	Chris Stewart (R-UT)
Sanford Bishop, Jr. (D-GA)	David Joyce (R-OH)
Norma Torres (D-CA)	
Charlie Christ (D-FL)	
Ann Kirkpatrick (D-AZ)	

House Committee on Oversight and Reform

Carolyn Maloney (D-NY), Chairman	James Comer (R-KY), Ranking Member
Eleanor Holmes Norton (D-DC)	Jim Jordan (R-OH)
*Wm. Lacy Clay (D-MO)	Paul Gosar (R-AZ)
Stephen Lynch (D-MA)	Virginia Foxx (R-NC)
Jim Cooper (D-TN)	Thomas Massie (R-KY)
Gerry Connolly (D-VA)	Jody Hice (R-GA)
Raja Krishnamoorthi (D-IL)	Glenn Grothman (R-WI)
Jamie Raskin (D-MD)	Gary Palmer (R-AL)
Kweisi Mfume (D-MD)	Michael Cloud (R-TX)
Harley Rouda (D-CA)	Bob Gibbs (R-OH)
Ro Khanna (D-CA)	Clay Higgins (R-LA)
Debbie Wasserman Schultz (D-FL)	Chip Roy (R-TX)

John Sarbanes (D-MD)
Peter Welch (D-VT)
Jackie Speier (D-CA)
Robin Kelly (D-IL)
Mark DeSaulnier (D-CA)
Brenda Lawrence (D-MI)
Stacey Plaskett (D-VI)
Jimmy Gomez (D-CA)
Alexandria Ocasio-Cortez (D-NY)
Ayanna Pressley (D-MA)
Rashida Tlaib (D-MI)
Katie Porter (D-CA)

Ralph Norman (R-SC)
Carol Miller (R-WV)
Mark Green (R-TN)
Kelly Armstrong (R-ND)
Fred Keller (R-PA)
Greg Steube (R-FL)

Senate Committee on Appropriations
Subcommittee on Financial Services and General Government

John Kennedy (R-LA), Chairman
Jerry Moran (R-KS)
John Boozman (R-AR)
Steve Daines (R-MT)
James Lankford (R-OK)

Chris Coons (D-DE), Ranking Member
Richard Durbin (D-IL)
Joe Manchin (D-WV)
Chris Van Hollen (D-MD)

Senate Committee on Homeland Security and Governmental Affairs

Ron Johnson (R-WI), Chairman
Rob Portman (R-OH)
Rand Paul (R-KY)
James Lankford (R-OK)
Mitt Romney (R-UT)
Rick Scott (R-FL)
* Mike Enzi (R-WY)
Josh Hawley (R-MO)

Gary Peters (D-MI), Ranking Member
Tom Carper (D-DE)
Maggie Hassan (D-NH)
Kamala Harris (D-CA)
Kyrsten Sinema (D-AZ)
Jacky Rosen (D-NV)

VI. Potential Briefing Topics

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, 301-974-7688) 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
Alina Semo, Director, Office of Government Information Services

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

Declassification at the National Archives
William Fischer, Director, National Declassification Center

Declassification of Presidential Papers and Records
John Laster, Director, White House Liaison Division

Oversight of the Government-wide Security Classification System
Mark Bradley, Director, Information Security Oversight Office (ISOO)

The Controlled Unclassified Information (CUI) Program
Mark Bradley, Director, Information Security Oversight Office (ISOO)

Public Interest Declassification Board (PIDB)
Mark Bradley, Director, Information Security Oversight Office (ISOO)

National Historical Publications & Records Commission (NHPRC)
Christopher Eck, Executive Director, NHPRC

Overview of NARA Federal Advisory Committees
Maria Stanwich, Chief of Staff

Citizen Engagement and Customer Service

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

NARA Assistance with Presidential Gifts
John Laster, Director, White House Liaison 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, Executive for Research Services and *Richard Hunt, Director, 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, Executive for Research Services

The Washington National Records Center (Tour Opportunity)
Stefanie Hutchins, Acting Director, Federal Records Centers Program

Social Catalog
Pam Wright, Chief Innovation Officer

The Presidential Library System
Susan Donius, Executive for Legislative Archives, Presidential Libraries, and Museum Services

Federal Records Centers – Storage and Services Provided to Other Departments and Agencies
Stefanie Hutchins, Acting 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, Swarnali Haldar, Chief Information Officer, and *Ann Cummings, Executive for Research Services*

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

Affiliated Archives Program
Jay Bosanko, Chief Operating Officer and *Ann Cummings, 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, 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

Impact of COVID-19 on NARA Operations
Micah Cheatham, Chief of Management and Administration and Jay Bosanko, Chief Operating Officer

Workplace Culture

Human Capital Overview and Management Challenges *

Valorie Findlater, Acting Chief Human Capital Officer

Workplace Culture Program and the Federal Employee Viewpoint Survey (FEVS) at NARA
Debra Wall, Deputy Archivist

Equal Employment Opportunity Programs at NARA
Erica Pearson, acting Director of EEO

* Identified as one of the OIG's Top Ten Management Challenges.

VII. Background on Senior Leaders

NARA Senior Leaders (Management Team)

Archivist of the United States
David S. Ferriero
david.ferriero@nara.gov

The Honorable David S. Ferriero was sworn in as 10th Archivist of the United States on November 13, 2009.

David S. Ferriero was confirmed as 10th Archivist of the United States on November 6, 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 Wall was appointed as Deputy Archivist of the United States in July 2011. She previously served as the agency's Chief of Staff (2008-2011), and in a variety of management positions relating to bringing NARA’s archival holdings to the public online. She joined the National Archives in 1991 as an archivist trainee with a specialty in film, and holds an undergraduate degree in history and government from Georgetown University, and a graduate degree in film from the American University.

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

Maria Carosa Stanwich was appointed as NARA’s Chief of Staff on February 5, 2017. She is the principal adviser to the Archivist of the United States for NARA's comprehensive communications program, serves as the agency champion for

customer experience, and provides leadership for NARA's Executive Secretariat. She served as the Acting Chief of Staff since October 2016, when the Office of the Chief of Staff was created as part of the agency's reorganization.

Prior to that appointment, Maria served as the Acting Chief of Strategy and Communications Officer. She has previously 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, Maria taught high school history in Washington, DC, and Boston.

Maria holds a Bachelor of Arts degree in International Relations from Boston University and a Master of Education degree in Administration, Planning, and Social Policy from Harvard University's Graduate School of Education.

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

William J. Bosanko was appointed as NARA's 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 2008 to March 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 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 in October 2016. Prior to this appointment, he served as NARA's Chief Financial Officer. 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.

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

Pamela Wright became NARA's 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 served as the agency representative to the White House Open Government Working Group from 2010-2017 and serves on advisory boards for the Digital Public Library of America and Library and Archives Canada.

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.

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

Gary M. Stern was appointed as NARA's General Counsel in 1998, and also serves as NARA's Chief Freedom of Information Act Officer, Senior Agency Official for Privacy, and Dispute Resolution Specialist. Gary 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, Gary 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, he 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. Gary holds a JD from Yale Law School (1987), where he served as editor-in-chief of the Yale Journal of International Law, and an AB from Vassar College (1983), where he majored in Ancient Greek.

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

Oliver Potts was appointed as NARA's 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 Agency Services
Jay Trainer
jay.trainer@nara.gov

Jay Trainer was appointed as NARA's 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.

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

Ann Cummings has served as NARA's Executive for Research Services since December 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. From 2011 to 2016, 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.

Executive for Legislative Archives, Presidential Libraries, and Museum Services
Susan K. Donius
susan.donius@nara.gov

Susan K. Donius was appointed as NARA's Executive for Legislative Archives, Presidential Libraries, and Museum Services in August 2020. In this role, Susan provides oversight and coordination for the archival programs of the Center of Legislative Archives and Presidential Libraries, including records matters with the US Congress and the White House. She is also responsible for the museum and education programs for the National Archives in Washington, DC and New York City, the fourteen Presidential Libraries, and the Center for Legislative Archives.

From February 2012 to 2020, Susan served as the Director of the Office of Presidential Libraries coordinating programs and operations among the Libraries, including the establishment of new Presidential Libraries. Susan played an integral role in the establishment of the William J. Clinton, Richard Nixon, and George W. Bush Presidential Libraries. She has also consulted

internationally on the Presidential Library System and the establishment of new Presidential Libraries.

Susan began her career as an Archives Technician at the National Personnel Records Center in St. Louis, Missouri. She has also worked as a Management Analyst and Budget Analyst in the Office of Regional Records Services and the Office of the Federal Records Centers Program. Susan holds a bachelor's degree in Industrial and Organizational Psychology and Business Economics from Southern Illinois University and a master's degree in Information Management from Syracuse University.

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

As NARA's 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.

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

Swarnali Haldar was appointed NARA's Executive/Chief Information Officer (CIO) in June 2014. She is responsible for leading programs and projects for information systems and tools that allow 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 Executive for Business Support Services since November 2016. 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; 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 Financial Officer
Colleen Murphy
colleen.murphy@nara.gov

Colleen Murphy was appointed as NARA's Chief Financial Officer in October 2016. 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. From 2010 to 2016, Colleen served as NARA's Accounting Officer. She has Bachelor Degrees from the University of Maryland in Accounting and Government and Politics.

Acting Chief Human Capital Officer
Valorie Findlater
valorie.findlater@nara.gov

Valorie Findlater was appointed as NARA's acting Chief Human Capital Officer (CHCO) in January 2019. As the CHCO, she provides leadership and management of human capital planning, policy, program development and guides leadership in creating an environment that is conducive to strengthening the workforce's capacity to communicate, learn, collaborate and work together effectively. Valorie joined NARA in 2014. Prior to her current appointment, she served as the Director of Employee and Labor Relations, Performance Management and Benefits Division. Valorie holds a Bachelor of Science degree in Business Administration from the University of the West Indies, Jamaica.

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

John Hamilton serves as NARA's Director of Congressional Affairs, 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 NARA's 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.

Director, Executive Secretariat
Miranda Andreacchio
miranda.andreacchio@nara.gov

Miranda Andreacchio has served as NARA's Director of the Executive Secretariat since November 2017. In this role, she is responsible for leading a variety of support services to the immediate Offices of the Archivist and Deputy Archivist and to the greater NARA in the areas of administration, correspondence management, special events, agency historical resources, protocol, and committee management.

Prior to joining NARA, Miranda served as the Executive Officer for the National Weather Service, Office of Observations and the Chief of the Executive Secretariat for the U.S. Department of Homeland Security, Office of Intelligence and Analysis. Miranda also served in the U.S. Navy as a signals intelligence operator at the National Security Agency.

VIII. Office of Inspector General

National Archives Office of Inspector General

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 provide oversight helping NARA run more effectively and efficiently. 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 NARA and our office. Since 2015 James Springs has been NARA's Inspector General.

What We Do

We perform audits, investigations, and other reviews of all aspects on any issue affecting NARA's programs and operations. In addition to ongoing reporting, we provide a Semi-annual Report to Congress detailing our work from the previous six months.

Important Facts About the OIG

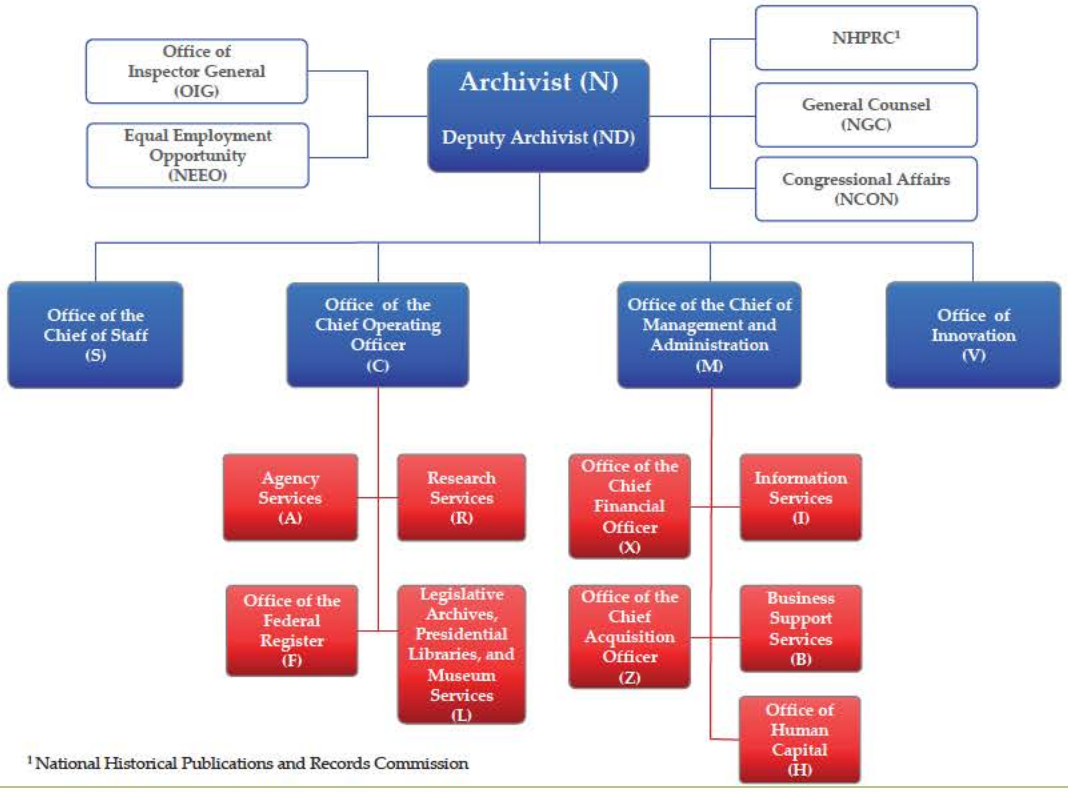
- Currently staffed with 18 FTEs based in College Park, MD, the OIG is funded by our own appropriation of approximately $4.1 million.
- There are five armed criminal investigators on staff with statutory law enforcement authority.
- All NARA employees shall cooperate fully with the OIG and must report 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.
- 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 problems.
- The IG is under the general supervision of the Archivist but does not receive an annual performance evaluation to preserve their independence. 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 (ERA)* – This system is NARA's primary strategy for addressing 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* – 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 preserved and sent to NARA.
3. *Information Technology Security* - NARA's challenges in IT Security continue to mount against the agency's goals to accomplish its mission as the nation's record keeper. Many of NARA's issues stem from control weaknesses which contribute to underdeveloped or ineffectively implemented policies and procedures.
4. *Expanding Public Access to Records* - Records that cannot be accessed have little use, and the public expects more and more records to be online. Historically, digitization approaches implemented at NARA were not large enough to make significant progress. Further, more than 18 percent of NARA's analog holdings (by series) have not been processed, so the public does not have efficient and effective access to them.
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* - Every day NARA's holdings age and slowly degrade. 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 significant challenges concerning project and contract management. A significant part of this challenge is NARA's acquisition workforce. Strengthening the acquisition workforce is essential to improving contractor management and oversight.
8. *Physical and Holdings Security* - People continue to steal documents and artifacts from NARA for their monetary and historical value. Further, the priceless history represented in these records are threatened by fire and other disasters. Yet the threats do not stop there as NARA holds troves of national security information as well.
9. *Human Resources Management* - NARA has migrated many functions to a non-NARA provider, but is challenged to correct past deficiencies in Human Capital practices.
10. *Enterprise Risk Management (ERM)* - NARA management has not made ERM a strategic priority and has yet to implement an ERM program that clearly identifies, prioritizes, and manages risks.

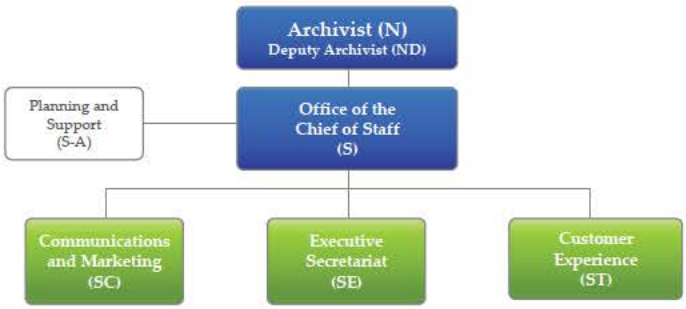
IX. Organizational Charts

NARA Organization Chart

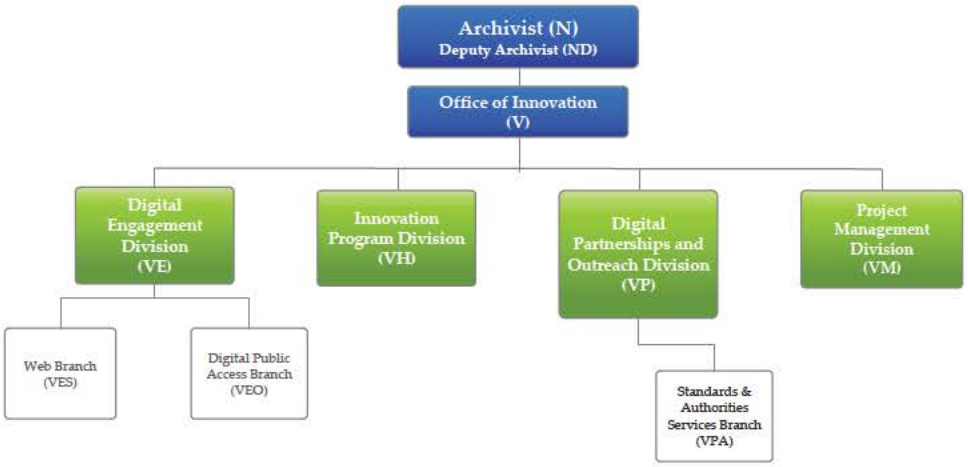


[1] National Historical Publications and Records Commission

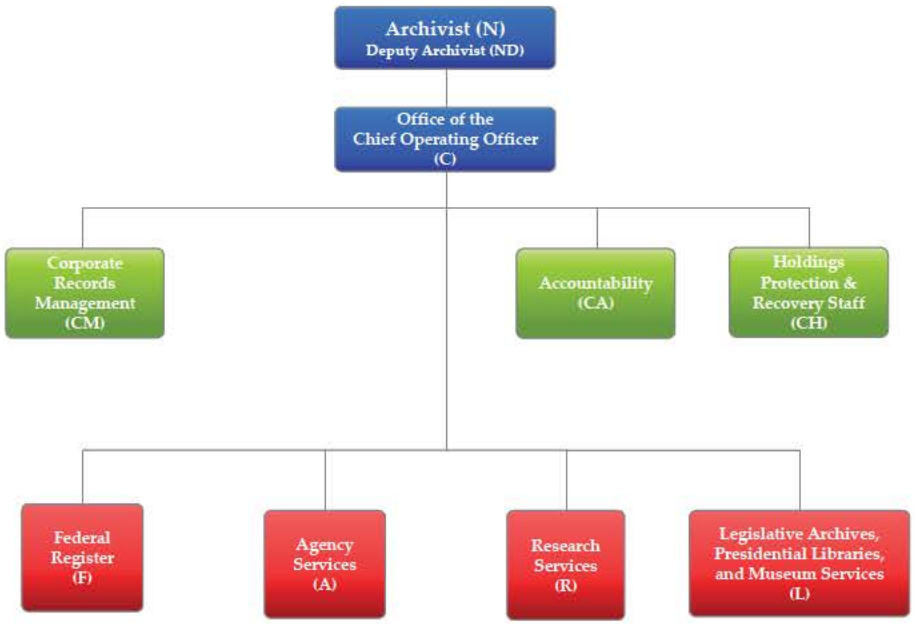
Office of the Chief of Staff



Office of Innovation

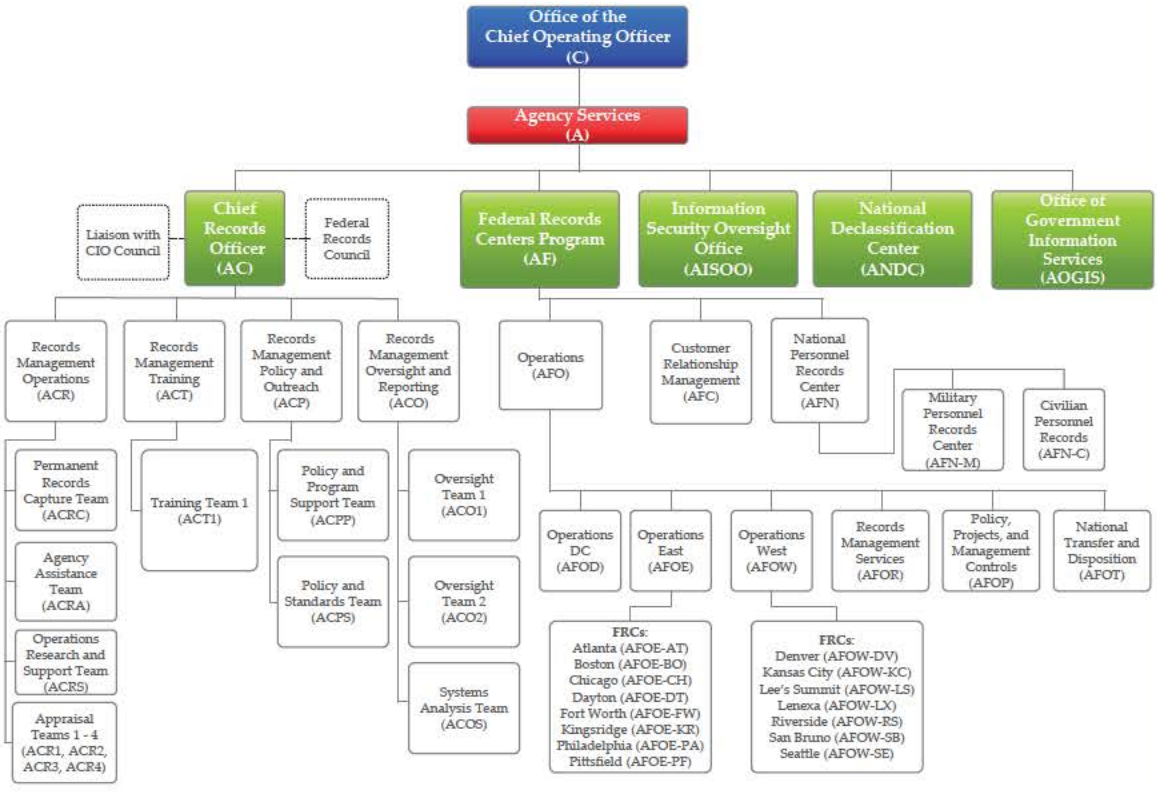


Office of the Chief Operating Officer

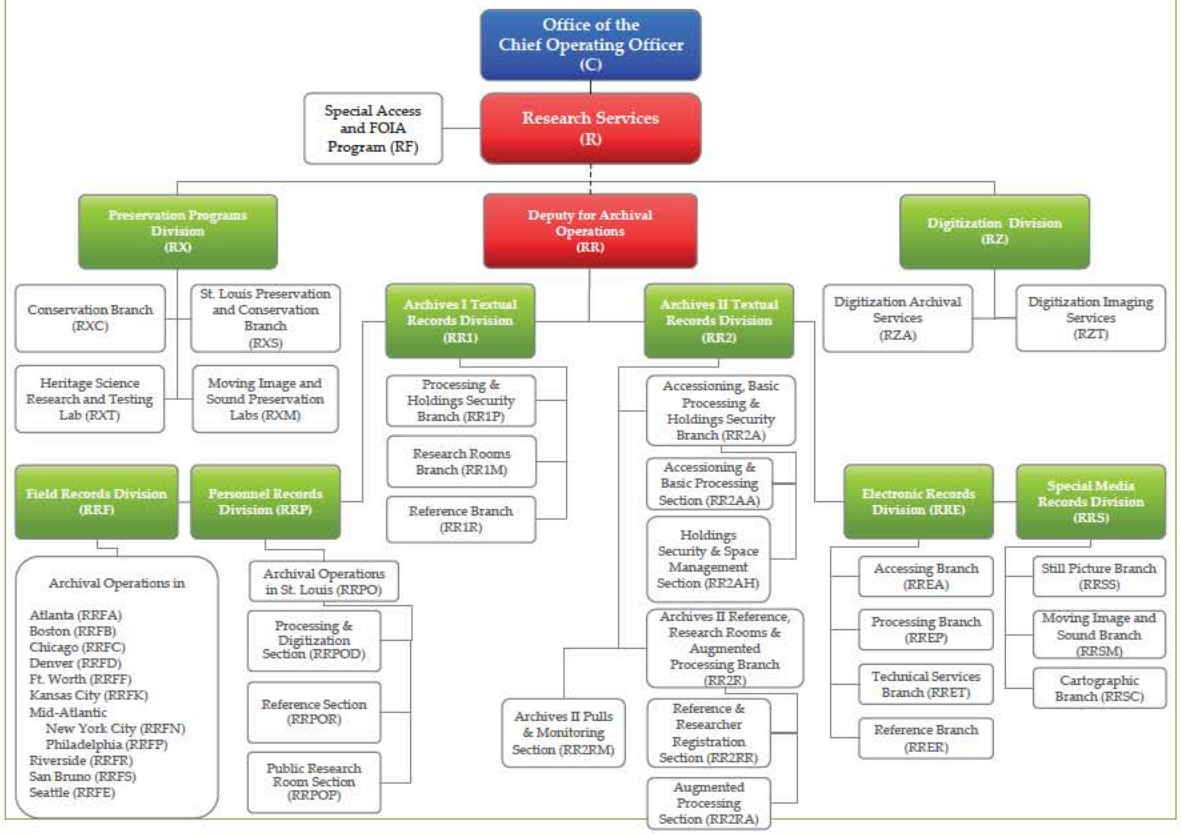


Office of the Federal Register

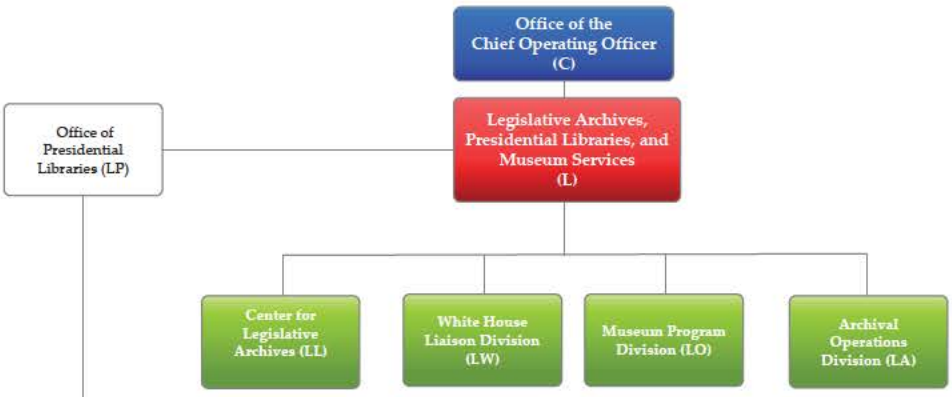
Agency Services



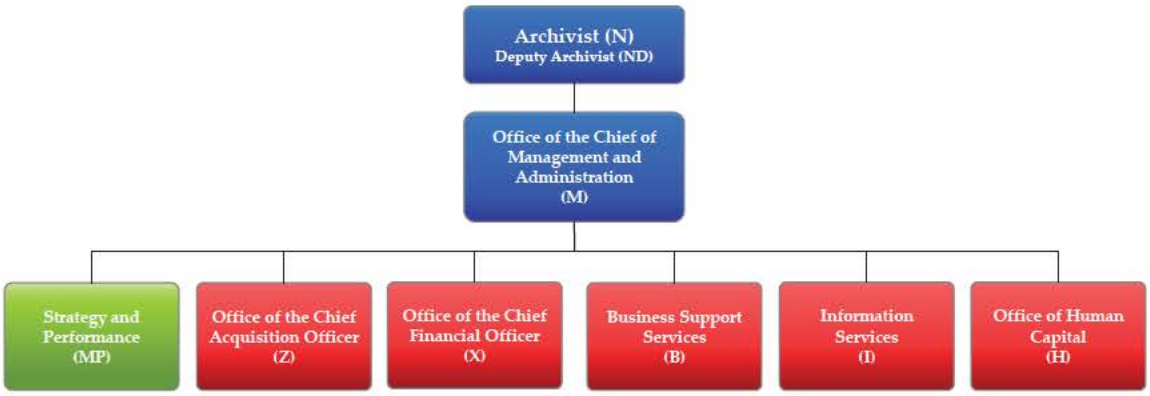
Research Services



Legislative Archives, Presidential Libraries, and Museum Services

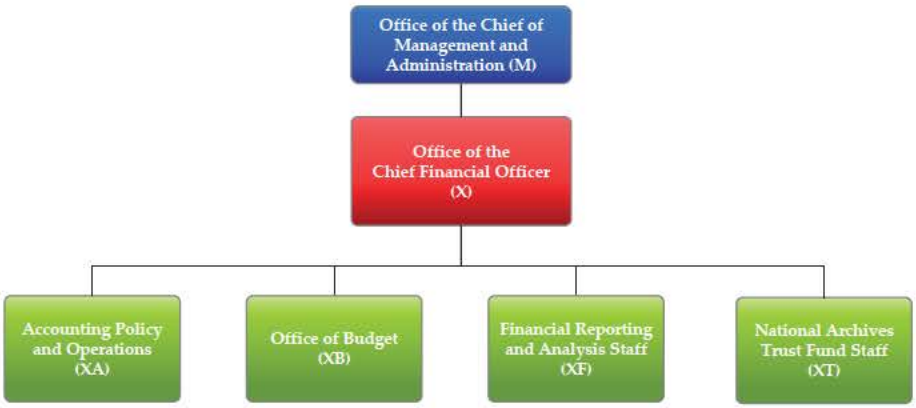


Office of the Chief of Management and Administration



Office of the Chief Acquisition Officer

Office of the Chief Financial Officer



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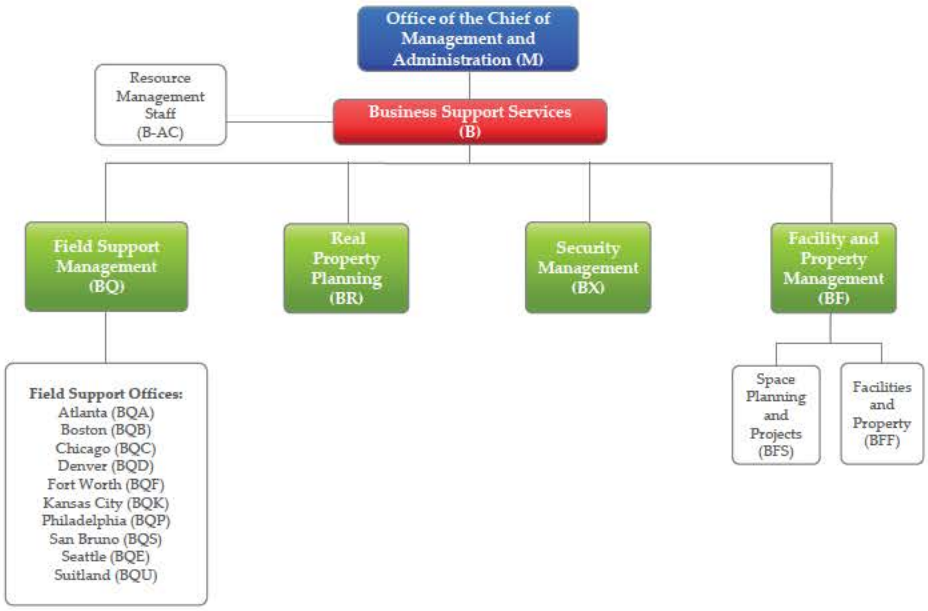
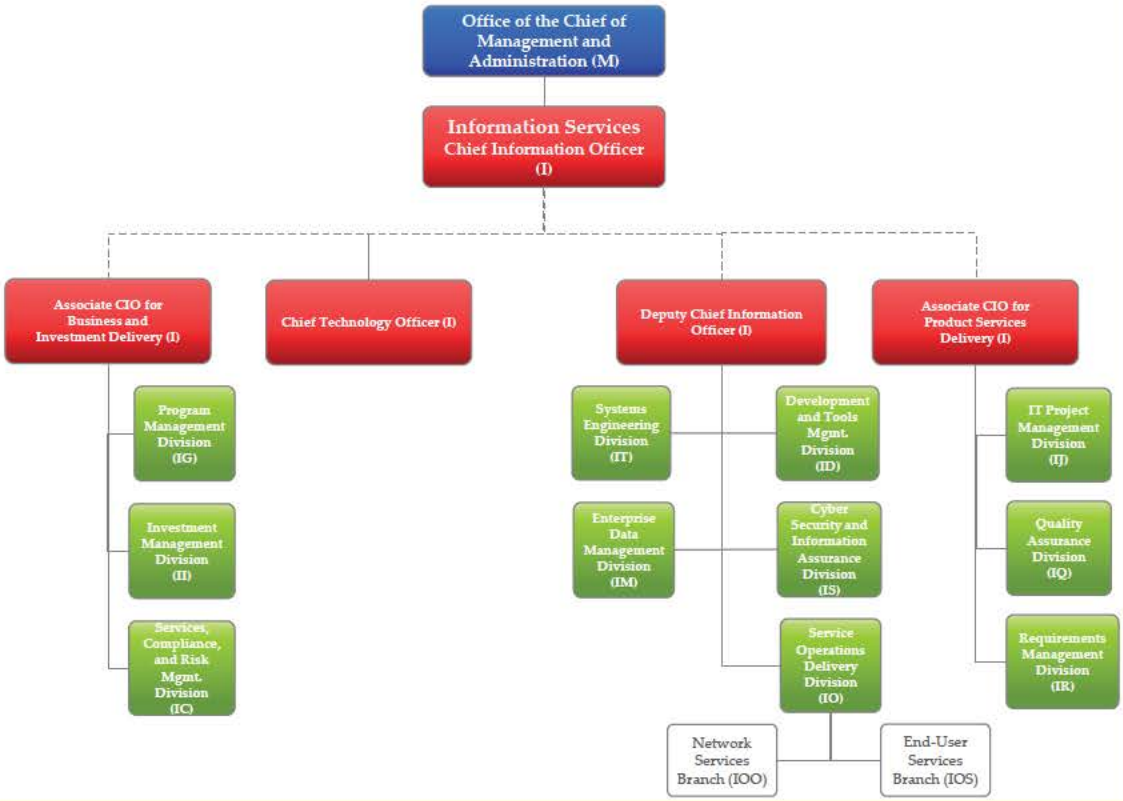
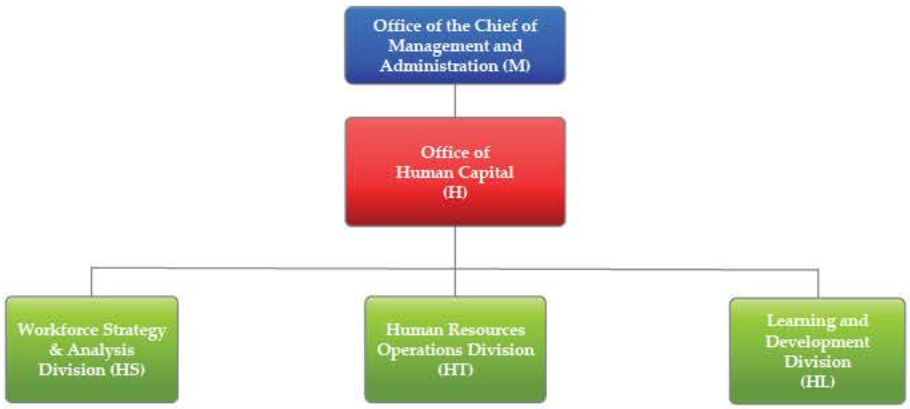


Information Services



Office of Human Capital



X. Administrative Information

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 is able to provide ART members with workstations and a dedicated conference room at the National Archives at College Park (Archives II), 8601 Adelphi Road, College Park, MD, 20740. Upon arrival at the Adelphi Road entrance, the 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. The onsite cafeteria is currently closed due to COVID-19.

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

COVID-19 Protocols at NARA Facilities

Everyone must wear appropriate face coverings (no valve or vent) over their nose and mouth at all times in NARA facilities, except when alone in a private office or cubicle and no one else is within 6 feet. Employees must remain at least 6 feet apart and avoid gatherings except when absolutely necessary. NARA staff will be available to meet with ART members or provide any requested briefing virtually through Google Meet or other approved video conferencing service.

NARA requests that ART members measure their temperature at home before traveling to NARA facilities and asks that they stay home if they are sick or are experiencing signs of COVID-19.

NARA will have hand sanitizer, disinfecting wipes, and gloves available for ART members at their workstations.

Badging Process

In order to receive building credentials (i.e., badges) for access to general staff areas, ART members will need to work with Chris Naylor to submit a facility access request. NARA's Security Office will then process the request, which takes approximately three to five business days. Prior to receiving NARA building credentials, ART members will need to be escorted at all times in staff-only areas.

NATIONAL
ARCHIVES

www.archives.gov