DRAFT FOR PUBLIC COMMENT

National Archives and Records Administration

Plan for Digitizing Archival Materials for Public Access

2007-2016

Version: September 10, 2007

FOREWORD

Created in 1934, the National Archives and Records Administration (NARA) is an independent Executive agency responsible for preserving in the National Archives of the United States and providing access to the permanently valuable documents and materials created in the course of business conducted by the United States Federal Government. Our archival holdings number more than 10 billion pages of unique documents, many of them handwritten, and include formats such as maps, charts, aerial and still photographs, artifacts, and motion picture, sound, and video recordings. The records we hold belong to the public – our mission is to ensure the public can discover, use, and learn from the records of their Government.

We sought the input of our stakeholders and users last year as we developed our new Strategic Plan, Preserving the Past to Protect the Future: The Strategic Plan of the National Archives and Records Administration, 2006-2016. This draft **Plan for Digitizing Archival Materials for Public Access, 2007-2016** builds from the Strategic Plan in the area of strategies for expanding public access to our important historical holdings through digitization. We are seeking your comments and suggestions on this draft Plan to help us consider the effects of agency efforts on the public, State and local governments, and industry, and maintain an up-to-date understanding of the marketplace in which our information dissemination products are placed. As a result, your feedback helps us ensure:

- the Plan and its outcomes address the needs of our customers and NARA;
- our partnerships will not undermine the existing diversity of information sources and will avoid inappropriate competition with industry; and
- the expected public and private benefits derived from our partnerships exceed the public and private costs.

The document is divided into several sections. The first section, INTRODUCTION AND BACKGROUND, provides information on NARA's mission, our archival holdings, and our past experience with digitization, to give you the context of the draft *Plan for Digitizing Archival Materials for Public Access, 2007-2016.* Section II, PLAN OVERVIEW, describes our planned goals, activities, and priorities for digitization. Sections III through V provide listings of current digitization activities being carried out by NARA and through partnerships to digitize and make available archival materials. Appendix A contains draft operating principles that we are using as we enter into partnerships and Appendix B references relevant NARA guidance that applies to handling of archival materials being digitized and the technical guidelines for image creation and description. We particularly invite your comments on Sections II, III, V, and Appendix A.

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SECTION I: INTRODUCTION AND BACKGROUND

Who is NARA and what is our mission?

Created in 1934, the National Archives and Records Administration (NARA) is an independent Executive agency responsible for preserving and providing access to the documents and materials created in the course of business conducted by the United States Federal Government. At the National Archives, we preserve the past to protect the future. The records we hold are the original sources of the American Story, documenting the collective history of our nation through the actions of individuals. As the nation's record keeper, we will continue to help ensure that every American knows the role records play in a democracy and the personal stake they have in the National Archives.

NARA is the archives of the Government of the United States, responsible for safeguarding records of all three branches of the Federal Government. Our mandate is unique. Also unique is our ability to use the records in our holdings to educate and facilitate understanding of the history of our country. Records document this history, as well as the rights and entitlements of individuals and also support the tenets of democracy that allow citizens to examine the actions of their government. Thus, included in our mission is the responsibility to share our holdings through programs that promote civic literacy and education. The records we hold belong to the public – our mission is to ensure the public can discover, use, and learn from the records of their Government.

What are our archival holdings?

We hold the archival records of the three branches of the Federal Government since its beginning in the 18th century – and documentation from the Continental Congress and Revolutionary War before we became a country. We hold the records and donated historical materials of all former Presidents since Herbert Hoover in our Presidential Libraries. The volume of materials—paper-based, electronic, and sound and video recordings—is huge. NARA's 36 facilities throughout the country house about 28 million cubic feet of records, of which 3.5 million cubic feet represent permanent paper holdings. That's about *10 billion* pieces of paper we must preserve and provide access to for the life of the republic. Other permanent holdings include:

- over 93,000 motion picture films;
- more than 5.5 million maps, charts, and architectural drawings;
- more than 207,000 sound and video recordings;
- more than 540,000 artifacts;
- more than 18 million aerial photographs;
- nearly 35 million still pictures and posters; and
- more than 3.5 billion electronic records.

And the volume grows every year.

How do we provide public access to our records now?

The vast majority of our documents – 99.98 per cent - have been available only in the archival facility in which they are stored. Traditionally, researchers have had to visit the facility or request copies for a fee by mail. We also provide public access to selections of materials on specific themes or subjects through exhibits at our archival facilities and traveling exhibits to other institutions. Only a very small percentage of our holdings have been microfilmed (220,000,000 pages out of 10 billion pages, or about .02 percent) and can be purchased or viewed at multiple NARA facilities or at a non-NARA facility that owns a copy of the microfilm.

However, microfilm as a dissemination mechanism is an obsolete tool, and has been supplanted by online delivery of copies of our materials. By engaging in digitizing for public access, we will dramatically increase dissemination of our holdings. And, we will be meeting our customers' needs and expectations: email feedback and web site surveys show that users expect to find all of our holdings available online.

What have we done in the past to digitize for public access?

Our largest digitization project to date has been the Electronic Access Project (EAP), made possible in the late 1990s by a special Congressional appropriation. We made about 124,000 digital copies which are available through the Archival Research Catalog (ARC) on NARA's web site. The digital copies include:

- 15,545 textual documents
- 66 architectural and engineering drawings items
- 60 artifact items
- 323 maps and charts
- 58,399 still pictures

Through this project NARA learned much about the costs and technological requirements necessary to implement and support the digitization of archival material. Ultimately, NARA concluded that creating copies for our web site, and preserving those copies, exceeded our resources except on a small-scale. However, technological advancements (including our Electronic Records Archives, or ERA, project), rising customer expectations, and the availability of potential partners now enable us to renew efforts in this area.

How does this draft Plan for Digitizing Archival Materials for Public Access, 2007-2016 fit into the NARA Strategic Plan?

With NARA's new strategic plan, *Preserving the Past to Protect the Future: The Strategic Plan of the National Archives and Records Administration, 2006-2016*, NARA recognizes the need to develop a long-term coherent strategy for digitizing and making available its holdings. The strategic plan states NARA's mission:

> *The National Archives and Records Administration serves American democracy by safeguarding and preserving the records of our Government, ensuring that the people can discover, use, and learn from this documentary heritage. We ensure continuing access to the essential documentation of the rights of American citizens and the actions of their government. We support democracy, promote civic education, and facilitate historical understanding of our national experience.*

The strategic plan contains specific language that addresses digitization. It says that NARA will work to digitize selected records, including those most requested by researchers, and will put searchable descriptions of *all* our holdings online. It says we will provide clear information about how the records may be located and used, and that we will maintain the archival context that allows us to understand the actions of government: Who created the records? Why? How were the records used? What is their original order? How do they relate to other records of the same person or organization? Finally, it says that NARA will make digital copies of selected non-electronic records available online, and will set priorities for putting these holdings online.

The strategic plan is available online at http://www.archives.gov/about/plans-reports/strategic-plan/. This draft digitizing plan comes out of that strategic plan, and we seek your input on its goals, strategies, and priorities.

SECTION II: OBJECTIVES AND STRATEGIES

Scope

As a government agency, NARA provides current information dissemination products to the public (see http://www.archives.gov/comment/web-priorities.html for our inventory of information dissemination products and priorities for placing them online). NARA is unique among government agencies in that we are also charged with making the government's historical information available to the public. We also have many innovative programs and partnerships for doing so, including partnerships with the Foundation for the National Archives and various Presidential Library Foundations that support both traditional and online exhibits and education programs.

This plan addresses our efforts to digitize and make available historical documents to the public online. The plan applies to permanent records that have been accessioned into the holdings of the National Archives of the United States, including the 14 Regional Archives and the 12 Presidential Libraries, as well as our two Washington, DC area facilities. The breadth and depth of archival materials covered by this plan is stunning. Examples include:

o Presidential daily schedules and personal diaries
o Official military personnel files for millions of veterans
o Telegrams sent by President Lincoln
o Federal population census records from 1790 through 1930
o Records of Congress, including treaties
o Sound recordings of Supreme Court oral arguments
o Mathew Brady Civil War photographs
o Ship passenger arrival lists and naturalization documents
o Freedmen's Bureau materials
o Case files documenting more than ten million land entries
o Hundreds of thousands of newsreels
o About nine million aerial photographs, including Strategic Bombing Survey images
o Harriet Tubman's pension file
o Electoral votes from the first presidential election
o President Nixon's resignation letter
o Nuremberg trial documents
o Patent applications
o The *Federal Register*, *Code of Federal Regulations*, the *United States Government Manual*, and *Public Papers of the President*
o Ansel Adams' photographs of national parks
o Indian school records
o State Department central files
o Captured German World War II records
o Tuskegee patient medical files
o Records of the 9/11 Commission

This plan does not address temporary or records center holdings (access to and dissemination of which remains the responsibility of the creating agencies), or permanent records in our custody that are "born digital." It does not address current information dissemination products, such as agency reports and plans, privacy and accessibility notices, or records management guidance. It does not address all partnerships, just those related to digitizing and making available archival holdings.

The plan attempts to implement a national, system-wide approach to NARA's digitizing activities.

We seek public comment, particularly from our users, other NARA stakeholders, and potential partners, on the objectives, strategies, and priorities outlined in this plan.

Objectives of Digitizing

NARA has identified the following objectives from digitizing our holdings for public access:

- o Provide online access to an increased number of our holdings.
- o Enhance preservation of records by reducing wear and tear on the originals for reference and reproduction.
- o Provide access to those materials that can no longer be accessed in their original format.
- o Enhance users' understanding of records authenticity and archival context (e.g. who created the records; why were they created; how were they used).
- o Use resources effectively. For example, original records that have been digitized may be relocated to less expensive archival storage locations. Partnerships, where the partner provides resources for digitizing, would expand the scale of digitizing beyond what NARA itself can do.
- o Improve our service to customers consistent with their evolving expectations, and with consideration of NARA's available resources and customers' willingness to pay for value-added or convenience services.
- o Promote equitable access to government information by the public.

Definition of Digitizing for Public Access

For the purposes of this plan, "digitizing" should be seen not just as the act of scanning an analog document into digital form, but as a series of activities that results in a digital surrogate being made available to end users for a sustained length of time. The activities include:

- o Document identification and selection
- o Document preparation (including preservation, access review and screening, locating, pulling, and re-filing)

- o Basic descriptive and technical metadata collection sufficient to allow retrieval and management of the digital copies and to provide basic contextual information for the user
- o Digital conversion
- o Quality control of digital copies and metadata
- o Providing public access to the material via online delivery of reliable and authentic copies
- o Providing online ordering for reproduction services at quality or quantities beyond the capacity of an end user
- o Maintenance of digital assets

To improve public access, NARA is working to create one central inventory of all of our archival holdings, the Archival Research Catalog (ARC). Available on our web site, www.archives.gov, ARC currently contains descriptions of about 54% of our permanent holdings, and approximately 126,500 digitized copies of holdings. Information can also be found on our web site in the *Guide to Federal Records* and other online finding aids that have not yet been transferred to ARC. We emphasize that these tools provide users the ability to identify what archival holdings we have by reviewing their descriptions; except for the material digitized and made available through ARC, they do not provide access to the holdings themselves. We reiterate that most holdings are available only from the archival facility in which they are stored.

Approach to Digitizing

NARA will use a combination of four strategies for digitizing and making holdings available online:

Strategy One
NARA will gather and make available on the web archival materials that we have already digitized in the course of performing our agency functions, but for one reason or another is not available online. For example, NARA has digitized a number of high interest documents for exhibits; with moderate effort these materials could be described and placed online on NARA's web sites. A NARA-wide project to inventory these digitized copies and assess the level of effort required has been initiated. In FY 2008 we plan to:

- o Complete the inventory
- o Develop a plan for proceeding, including an assessment of equipment, infrastructure, and staffing resources needed
- o Develop processes to ensure capture of images and metadata in future operational digitizing scenarios
- o Start making these digital copies available online

See Section III for an identification of the materials we have identified to date. We seek public input on prioritizing the posting of these materials.

Strategy Two
NARA will partner with organizations from a variety of sectors (private, public, non-profit, educational, government) to digitize and make available holdings. Partnerships present an opportunity for increased access to historical government information through the increased availability of information technology products and services. Partnerships will enable NARA to make more digitized holdings available than we could on our own, because the partner will bear most of the expense of digitizing. NARA currently is in discussion with a variety of potential partners and encourages interested parties to contact us at vision@nara.gov.

The products of these digitizing partnerships may include value-added services and features provided by the partner, such as searchable text and detailed indexing, and, as such, are not considered NARA Government electronic information dissemination products. However, partners may not claim copyright on the digital images. To ensure that NARA maintains its public trust, NARA has developed a set of principles to guide partnership agreements. These principles are found in Appendix A. Most significantly, the principles state that partnerships are non-exclusive, that access to the products of the partnerships will always remain free in NARA research rooms, and that, after an agreed-upon period of time, NARA will have the right, but not necessarily the obligation, to provide free online access to the digitized materials. By "non-exclusive," we mean that we will be open to multiple digitizing partners for different sets of materials, not that we necessarily will have the same original archival materials digitized by multiple parties. Although the principles relate specifically to partnerships to digitize archival holdings for public access, many of them will apply to other types of partnerships as well.

See Section IV for a list and description of current partnerships into which NARA has entered formally. We invite public comment on additional digitizing partnership models that we might pursue and on the principles in Appendix A.

Strategy Three
NARA will undertake new digitizing projects on its own, focusing on materials that are not requested by partners or not appropriate for partnerships. For example, we might digitize our "treasure vault" or at-risk material that only NARA can handle, or on high-interest materials for which no partner can be found. These projects could take a variety of forms, with a variety of funding sources. The projects would be crafted with an eye toward enabling NARA to enhance its capacity to preserve and digitize holdings.

NARA will explore these and other possibilities in the coming year. See Section V for more information as it is developed.

Strategy Four
Finally, NARA will pursue digitization of archival materials as part of its preservation reformatting approach.

We continually reformat at risk archival materials so that they may continue to be used by the public. A paper document may become so fragile that we need to create a copy for public access; or, a video recording made in an outdated format, such as Betamax, must be transferred to a modern format that can be viewed on current equipment. As supplies of traditional analog reformatting media diminish due to market forces, digitization is becoming a key activity in NARA's preservation reformatting strategy. Audio files are already being digitized as a reformatting strategy. Motion picture, video, and still photographs soon will be. NARA is in the process of adopting a digital workflow for preservation reformatting textual records. While computer output microfilm, with a life expectancy of 500 years, is our sustainable format of choice for paper records, the digital processes used to create this microfilm will yield tremendous access opportunities as well.

NARA will seek to leverage the materials converted by this program and make them available online to users.

Prioritizing

This plan does not intend to enumerate specific sets of holdings and identify the order in which they should be digitized. Our holdings are too vast and our users too varied to do that in any meaningful way. Rather, this plan establishes, at a high level, basic principles for prioritizing our efforts:

For partnered projects:
- A viable partner is interested in digitizing material, according to our established principles (Appendix A), in a manner that will support preservation and improve public access to a substantial body of records, at a significant cost savings to the government.

For internal efforts:
- The digitizing of the materials in question meets a demonstrated need of one or more of our major customer groups. NARA serves a broad spectrum of American society, as well as researchers worldwide, including:
    - genealogists and family historians
    - academic, business, occupational, and historical researchers
    - students and educators (K-16)
    - publication and broadcast journalists
    - Congress, the White House, the Courts, and other public officials
    - Federal Government agencies and the individuals they serve
    - state and local government personnel
    - professional organizations and their members
    - supporters' groups, foundations, and donors of historical materials
    - veterans, current and former Federal employees, their families, and authorized representatives
    - general public, including museum visitors
- The material is not currently readily available in other formats (such as microfilm).

- Digitizing the materials in question meets a demonstrated and high priority preservation need for the agency consistent with the proper performance of agency function.
- Funding is available or likely to be available and sustainable for the project.

In order to manage and publicize our efforts and to serve as many user groups as possible, NARA will maintain an agency-wide public registry of its approved digital projects. Although these projects will be developed and implemented by a variety of NARA units throughout the country, we will strive to manage them as a coherent, coordinated portfolio of products and services.

We welcome public input on these basic criteria, as well as comments on what materials should be prioritized for digitizing.

Measurement

The strategic plan states that by 2012, 1 percent of our holdings will be available online. This figure includes both electronic records and non-electronic records that have been digitized, either by us or by our partners. By *online* we mean that the public can retrieve copies over the Internet without an interaction with NARA staff, and the archival context of these records is available in our online catalog. NARA has not yet determined how specifically to measure this target, especially for non-electronic records. For example, do we measure by volume? By page count? How do we normalize these measures across media type? How do we best capture information about volume and usage from partners? As these details are worked out, this plan will be updated.

In addition, NARA will seek other measurements that tell us what our users' needs are, and how satisfied they are with our digitizing approach.

Process for Feedback

NARA takes its stewardship responsibility very seriously. We recognize that we are entrusted with the care of America's documentary evidence, and that these materials are an invaluable public resource. We are seeking written comment on this draft through a Federal Register notice and announcement on our website, and will hold a public forum during the comment period. We will revise this plan as appropriate to incorporate public comment. The approved plan will be posted on our website at www.archives.gov.

We will publicize and seek written comments on proposed partnerships before they are signed. We will do so by alerting the public and interested communities by making announcements on our web sites and posting messages on major listservs. At the same time, we will be careful to protect the proprietary or other sensitive business information of our potential partners.

The principles embodied in this plan, particularly Appendix A, are intended as guidelines rather than hard and fast rules. We expect that the plan will undergo revision given the fast

pace of technical change and the broadening of our own experience. Accordingly, we will review and update the plan at least annually, and if we make significant changes to the plan in the interim, we will seek public comment on the new version.

SECTION III: NARA EXISTING DIGITAL COPIES TO BE GATHERED AND MADE AVAILABLE ONLINE
Identified As of August 20, 2007

NARA Unit	Archival Materials	Number of Digital Files
Harry S. Truman Library	Photograph Database	10,000
	Eleanor and Harry - The Correspondence of Eleanor Roosevelt and Harry S. Truman	375
	Ideological Foundations of the Cold War	632
	Travel Logs	1,100
	President Truman's 1947 Diary	30
	Harry S. Truman - The Presidential Years	150
	The War Relocation Authority and the Incarceration of Japanese-Americans During WWII	925
	Hoover and Truman - A Presidential Friendship	300
	The Decision to Drop the Atomic Bomb	600
	The War Crimes Trials at Nuremberg	700
	Desegregation of the Armed Forces	1,031
	Berlin Airlift	416
	NATO	573
	Truman and the United Nations	789
	Dear Bess - Love Letters from the President	102
	1948 Election Campaign	636
	Establishing the Marshall Plan	539
	The Truman Doctrine	518
	Recognition of the State of Israel	338
	The Korean War	197
Lyndon B. Johnson Library	Lady Bird Johnson Biographical Photographs	80
	LBJ - Photographs from June 23-25, 1967	262
	Vietnam Related Images Originally Posted on NAIL	140
	Photos from LBJ: The White House Years by Harry Middleton	340
	Photographs of LBJ Swearing-in Aboard Air Force One, Nov. 22, 1963 Selected High Interest Topics	21
	White House Communications Agency Speeches of President Lyndon B. Johnson	358 1,458
Dwight D. Eisenhower Library	Dwight D. Eisenhower 201 File	3,000

Gerald R. Ford Library	National Security Council Meeting Minutes	662
	National Security Study and Decision Memoranda	250
	Vietnam War Declassification Project	50
	Selected Foreign Affairs and National Security Memoranda of Conversations	94
	A Day in the Life of a President - Exhibit	
	Media Photo Kits	50
	Selected Photographs from the Ford Presidency	85
		200
Jimmy Carter Library	White House Staff Photographers Photographs	1000
	White House Communication Agency, Presidential Digital Audio Files	40
	White House Communication Agency, First Ladies Digital Audio Files	
	Jimmy Carter Sunday School Lessons	138
		38
NARA's Mid Atlantic Region (Philadelphia)	Fugitive Slaves	350
	Teaching the History of School Desegregation Efforts: Brown v. Board of Education and Civil Rights	31
	Finding Max Einstein	10
	Telling Pennsylvania's Civil War Stories: New Narratives from Old Collections	17
	Pennsylvania Quest for Freedom	22
NARA's Pacific Region (San Francisco)	Guide to Records of Asian Americans and Pacific Islanders at NRHSA	24
	Images for Popup Exhibit	19
NARA's Pacific Region (Laguna Niguel)	Astrogeology Monthly Reports	60
NARA's Rocky Mountain Region	Album of Institute of American Indian Arts, 1986	5
NARA's Central Plains Region (Kansas City)	Jack McCall Criminal Case File	86
	Japanese War Balloon Photos	15
	Holiday Items	8
	Brookside Photographs	8
	Royal Theater Panorama	7
	Buffalo Pictures	7
	Hires Root Beer Images	4
	Disney v. Hamilton Images	6
	Surveyor	1
	Crow Creek Winter Scene	1

NARA's	MA-6 photos & This New Ocean	700
Southwest	Mercury Drawings	700
Region	Sentence Books, Penitentiary, 1884-1909	4,200
	Circuit Common Law Book, 5/6/1889-12/28/1911	4,900
	Sentence Book, Jail, 1889-1909	3,500
	Photos of Fort Crockett, Travis, San Jacinto	20
	Provisional Court Docket, 1863-65	700
	District Common Law Book, 12/3/1855-3/26/1959	38,500
	Index to Sentences, ca. 1866-1890	700
	Provisional Court Docket re: Condemnation, 1863	700
	Hotel Register, Jo. Lotta Hotel, San Antonio	700
	Kaw Homestead & Allotment Deeds, 1903	700
	Register of Kaw Families, ca. 1915	700
	Kaw Allotment Tract Book, 1903	700
	Allotment Maps, 1898-1906	2,100
	Provisional Court Minutes, 1863-1865	700
	CA 388, Delgado v. Bastrop ISD	700
	Reference Prints of Glass Plate Negatives	1,400
	Register of Pupils, 1884-1908	1,400
	Descriptive Statements of Children, 1885-1902	1,400
	Statements of Arrivals and Departures, 1897-1900	1,400
	Semi-annual Attendance Reports, 1925-35	1,400
	Quarterly School Reports, 1902-07, 1936-41	1,400
	Monthly Report of Indian Schools, 1902-36	1,400
	Report of Attendance by Tribes, 1910-36	1,400
	Daily Record of Attendance, 1914-22	1,400
	Gradebooks, 1916-27	1,400
	Records of Grades - Checkerboard Grades	1,400
	World's Fair Daily Indian School Journal, 1904	1,400
	Indian School Journal, 1904-26	1,400
	Chilocco Annual, 1925-80	1,400
	Naturalization Records	2,100
	Transcripts of Testimony, Akers-Woodard	7,700
	Provisional Court Final Records, 1863-64	700
	Cherokee 1896 Census	N/A*
	CA 3152, Jackson v. Rawdon	N/A
	CA 13291, Naguin v. Terrebonne Parish Schools	N/A
	Plat Maps, 1908	N/A
	General Index to Law and Equity Cases, 1890-1907	N/A
	General Index to Criminal Cases, 1890-1907	N/A
	Abstract of Informations & Indictments, 1890-1895	N/A
	Record of Indictments, 1893-1907	N/A
	Criminal Docket, 1889-1897	N/A
	Criminal Bench Dockets, 1898-1907	N/A
	Record of Judgments and Sentences, 1893-1907	N/A
	Grand Jury Docket, 1901-1907	N/A
	Registers of Gold Bullion, Coins, and Jewelry	N/A
	Texas City Disaster Photos	N/A
	Civil Case 1311, Miller v. Barnes	N/A
	Exact item counts not yet determined.	

Office of Records Services- Washington, DC	United States Forest Service	~ 74,000
	World War I images	100,000
	Videodisk photos – miscellaneous subjects	140,000
	US Air Force - WWII	50,000
	Microfiche	N/A
	Reference and Fee Request Documents	5,000
	Records of the U.S. Senate, including Isaac Bassett papers	7,000
	Records of the U.S. House of Representatives	2,500
	Records of the Joint Committees of Congress	500
	Sound recordings: Department of State, International Broadcast Division Department of Justice Department of Justice, JFK Assassination Recordings Federal Bureau of Investigations Federal Communications Commission Foreign Broadcast Intelligence Service Central Intelligence Agency Supreme Court (SCOTUS) United States Information Agency, Music USA United States Information Agency, Voice of America United States Air Force Gift Collection of Material Relating to Polar Expeditions Records of PUEBLO	7,600 uncompressed .wav files
		N/A
	Records used in temporary exhibits & Public Vaults including: • Eyewitness • The Way We Worked • American Originals • Dear Mr. President • Americans in Paris • Picturing the Century • Designs for Democracy Records scanned for the Congressional Visitor Center, Federal Hall, and NARA's Learning Center will also be included.	

SECTION IV: LIST OF FORMAL NARA PARTNERSHIPS TO DIGITIZE ARCHIVAL MATERIALS

<u>FY 2006</u>
1. NARA has partnered with Google to make 100 moving image titles from our collection available through Google Video and through the Archival Research Catalog (ARC). The agreement was announced on February 24, 2006. More information can be found at http://www.archives.gov/press/press-releases/2006/nr06-64.html.

2. On June 8, 2006, NARA announced a partnership with EMC to digitize the entire collection of papers, documents, photographs and audio recordings of President John F. Kennedy, eventually making them accessible to citizens throughout the world via the Kennedy Presidential Library and Museum's web site. More information is available at http://www.archives.gov/press/press-releases/2006/nr06-112.html.

3. NARA entered into a partnership with the University of Texas to create a Presidential Timeline web site to make digital copies of presidential documents available online. The Presidential Timeline was designed and developed by the Learning Technology Center in The University of Texas at Austin College of Education, in conjunction with the Presidential Libraries and Terra Incognita Productions.   The Presidential Timeline Project was made possible through a grant from the National Endowment for the Humanities with additional support from The Lyndon Baines Johnson Foundation and The University of Texas Libraries.   The web site was launched in February, 2007. See http://www.archives.gov/press/press-releases/2007/nr07-59.html and www.presidentialtimeline.org for more information.

4. NARA's Southwest Region entered into an Memorandum of Understanding (MOU) with the Genealogy Society of Utah (GSU) to permit digitization of some Naturalization records, Dawes Commission Applications for Allotment and Applications for Enrollment to the Five Civilized Tribes. GSU had previously microfilmed such records onsite in accordance with our regulations at 36 CFR part 1254 on private microfilming, but now GSU is beginning to scan the records in lieu of the microfilm. An electronic copy (CD or DVD) of the scanned image is provided to NARA-Southwest Region upon completion of certain milestones.

<u>FY 2007</u>
1. On January 10, 2007, NARA announced that it has partnered with iArchives/Footnote to digitize selected records from our holdings, with a focus on microfilm publications. This non-exclusive agreement will enable researchers and the general public to access millions of newly-digitized images of the National Archives historic records on a subscription basis from the Footnote web site. The digitized materials will also be available at no charge in National Archives public research rooms including those at the Presidential Libraries and regional archives across the country. After an interval of five years, all images digitized through this agreement will be available at no

charge through the National Archives web site.   More information is available in a press release at http://www.archives.gov/press/press-releases/2007/nr07-41.html. The agreement itself is available at http://www.archives.gov/iarchives/iarchives-digitization-agreement.html.

SECTION V: NARA-LED DIGITIZING PROJECTS

Pending

APPENDIX A: NARA PRINCIPLES FOR PARTNERSHIPS TO DIGITIZE ARCHIVAL MATERIALS
August 20, 2007

This document contains a set of draft operating principles which we are testing and that are subject to refinement as NARA explores a variety of partnership opportunities. The principles described below are intended, in part, to serve as guidelines to help NARA evaluate potential partnerships and craft mutually beneficial agreements. If a potential partnership does not adhere to all the principles in this document, we would expect there to be some compelling additional benefit to ensure that the partnership is in the best interest of the American public.

1. Agreements with partners to digitize archival materials will be non-exclusive. That is, we will be open to multiple digitizing partners for different sets of materials, not that we will have the same original archival materials digitized by multiple parties.

2. Partnerships shall support the goals of increased access and enhanced preservation of archival materials. NARA considers its partnerships to be one component in furtherance of these goals because partnering will accelerate the digitization of our physical records. However, we will also avoid taking actions that preclude the digitization of records by other means (e.g. funded grants). Our objective is to both digitize high use records, and to continue to develop our own capacity to digitize archival materials.

3. To provide for full access and effective preservation, partners will digitize full series or file segments of records, not just selected documents. This will allow for the removal of the original records from research room use. However, when a partnership primarily intends to support the development of educational materials, on-line exhibits, and other thematic presentations, or in the rare case that a partial series digitization may otherwise support NARA's access and preservation goals, NARA may choose to digitize selected archival materials rather than full series or file segments of records.

4. Public access to publicly owned resources will remain free. Partners may develop and charge for value-added features, but access to the digital copies ultimately should be readily accessible and free. NARA acknowledges partners' potential proprietary interest in the digital copies and to value-added features, and also emphasizes its own need to maintain and provide an "archival view" of the materials that allows us to understand the actions of government (e.g. who created the records? Why? How were the records used? What is their original order? How do they relate to other records of the same person or organization?). NARA also acknowledges that there may be a variety of models to achieve free on-line public access to digitized materials.

   - Partners shall provide NARA without charge a full set of the digital copies produced by the partnership. These copies shall adhere to NARA's technical specifications. Ultimately, NARA will have unrestricted ownership of these copies, including the right to make these copies freely available online.

- Partners shall provide NARA without charge a minimum set of metadata generated by the project sufficient to make the digitized copies usable by NARA, and that adheres to NARA's descriptive standards. Ultimately NARA will have unrestricted ownership of this metadata. If the partner creates enhanced metadata needed for its value-added features, we would encourage, but would not require, the partner to donate that metadata to NARA.

5. NARA will structure partnerships to balance the interests of the American public with the partner's financial investment in the project. There is no single required partnership model.

6. NARA cannot guarantee the authenticity of the digital copies. While NARA expects the partner to take reasonable measures to ensure the accuracy and integrity of the digital copy, including assurances to protect against hacking or other security violation of converted materials, NARA cannot endorse the authenticity of archival materials hosted on a digitizing partner's web site.

7. Although NARA will guarantee that our digital copies have not been altered after we take possession, copies for users requiring certification will be made from the original documents.

8. No partnership agreement to digitize access-restricted materials shall permit the release of these materials before an agreed upon date or specific contingency, nor shall it delay timely public access.

9. The safety and accessibility of original records will be safeguarded at all times during the digitizing process.

    - Archival materials will be handled according to the relevant preservation and security standards at all times.

    - NARA makes the final determination whether archival materials are too fragile for digitization through a partnership.

    - To minimize handling wear-and-tear, original materials normally will only be digitized once.

    - Digitization will take place at a NARA facility or at another facility which has been approved by NARA (preservation and security) staff.

    - NARA and partners will seek to minimize the amount of time archival materials will be removed from public access during the digitizing process.

10. NARA will seek to protect and enhance its own institutional interests, while at the same time respecting the interests of our users and our partners.

- NARA makes the final determination regarding whether materials may be digitized or not.

- Any use of the NARA brand must be approved in writing by NARA.

- The partner shall pay all direct costs associated with the digitizing partnerships, to include project management, document identification, document preparation (including access review and preservation activities), metadata collection and quality control, data management, digital conversion, and partner's delivery, marketing, and maintenance, especially when the partner is for-profit or the project is large in scale.   NARA may exercise more leeway when the partner is not-for-profit or if the project is especially important to the mission of the agency. NARA will seek partner assistance in defraying NARA's own delivery, marketing, and maintenance costs.

- NARA does not allow for wholesale downloading of a large or complete body of digital content on our web site, both to protect the proprietary interests of our partner in the digital copy, and to safeguard NARA's computer systems.

APPENDIX B: RELEVANT NARA GUIDANCE

1. Technical Guidelines for Digitizing Archival Materials for Electronic Access (2004):
   http://www.archives.gov/preservation/technical/guidelines.html

2. Lifecyle Data Requirement Guide (frequent updates):
   http://www.archives.gov/research/arc/lifecycle-data-requirements.doc

3. NARA 1571, Archival Storage Standards:
   http://www.archives.gov/foia/directives/nara1571.pdf

4. Preservation Guidelines for Contractors Handling Records and Historical Materials:
   http://www.archives.gov/preservation/technical/vendor-training.html

5. NARA 1701, Loans of Holdings in NARA's Physical and Legal Custody:
   http://www.archives.gov/foia/directives/nara1701.html