

OPEN GOVERNMENT PLAN

*National Archives and Records
Administration*



NATIONAL
ARCHIVES

2012-2014

MESSAGE FROM THE ARCHIVIST

Open government is embedded in the mission of the National Archives and Records Administration. Our work rests on the belief that citizens have the right to see, examine, and learn from the records that document the actions of their Government. Records management is the backbone of a transparent and accountable government.

Over the past two years, we followed the ambitious path we set in our first Open Government Plan, implementing almost 70 tasks to improve open government. Over the next two years, we will continue to improve transparency, participation, and collaboration, while embracing innovation and developing best practices.



We are creating a new culture based on common values and restructuring the agency to better serve the American people. We are transforming the agency to meet President Obama's call for a reorganization of government to give the people "a government that's more competent and more efficient." We are creating the critical conditions conducive for employee engagement. We are launching an internal collaboration network to enable staff to develop communities of practice that cut across the organization, find experts and advice more efficiently, and share news and knowledge with our staff community.

On January 21, 2009, President Barack Obama said, "Our commitment to openness means more than simply informing the American people about how decisions are made. It means recognizing that Government does not have all the answers, and that public officials need to draw on what citizens know." Knowing we do not have all the answers, we are creating opportunities for citizens to provide substantive contributions, including tags, transcripts, and images. We launched the Citizen Archivist Dashboard and an online transcription tool, which saw almost 1,000 pages transcribed in the first two weeks. We welcomed a Wikipedian-in-Residence and continue to collaborate on projects, scan-a-thons, and to contribute high-resolution digital images to the Wikimedia Commons. Our work with Wikipedia is changing the way we think about our work.

We are creating an innovative culture that utilizes new and emerging technologies. We are improving online access to our records and we will revise our strategy to digitize records to provide the online access you expect. We will move Archives.gov to a content management system and to the cloud. We will engage the community of developers who are interested in working with government information.

I am proud to say that more than ever before we are seen as a leader in the Federal Government for our active use of social media to engage the public. Our social media strategy will guide our efforts to reach our internal staff, the government community, and researchers and citizen archivists. We are improving how we communicate with the public through clear, concise, and plain writing.

We will continue to streamline declassification, manage electronic records, and improve our compliance with the Freedom of Information Act. We will continue our modernization plans for the Federal Register to expand access to regulatory data and other public information. We will meet the requirements of the Presidential Memorandum on Managing Government Records, a task that will be transformative for records management across the Federal Government. We will issue a directive to outline a 21st century framework for managing government records to improve performance and promote openness and accountability.

Our Open Government Plan for 2012-2014 is an ambitious starting point for the next two years. We will also seek to implement related initiatives that strengthen open government, like the new Digital Government Strategy to better serve the American people using emerging technologies. We are excited about our work ahead and our role in strengthening open government in our society. Share your suggestions for improvements to this plan and our work in open government on Twitter @USNatArchives and by email at opengov@nara.gov

David S. Ferriero
Archivist of the United States

OPEN GOVERNMENT PLAN

National Archives and Records Administration

TABLE OF CONTENTS

<i>Executive Summary</i>	<u>3</u>
<i>Section 1: The Approach to Open Government at the National Archives</i>	<u>5</u>
<i>Section 2: Strengthen the Culture of Open Government at the National Archives</i>	<u>6</u>
Subsection 2.1: Sustaining Open Government at the National Archives	<u>6</u>
Subsection 2.2: Employee Engagement	<u>7</u>
Subsection 2.3: Public Engagement	<u>9</u>
<i>Section 3: Flagship Initiative: Innovative Digital Access and Strategies</i>	<u>11</u>
Subsection 3.1: The Citizen Archivist Initiative	<u>11</u>
Subsection 3.2: Digitization Strategy for the National Archives	<u>14</u>
Subsection 3.3: Social Media Strategy for the National Archives	<u>15</u>
Subsection 3.4: Innovations in Archives.gov	<u>16</u>
Subsection 3.5: Innovations in Online Public Access	<u>18</u>
<i>Section 4: Strengthen Transparency at the National Archives</i>	<u>20</u>
Subsection 4.1: Developers, Datasets and Proactive Release of Information	<u>20</u>
Subsection 4.2: Plain Writing at the National Archives	<u>22</u>
Subsection 4.3: Records Management at the National Archives	<u>22</u>
Subsection 4.4: Freedom of Information Act at the National Archives	<u>24</u>
Subsection 4.5: Other Transparency Measures at the National Archives	<u>27</u>
<i>Section 5: Provide Leadership and Services to Meet 21st-Century Needs</i>	<u>30</u>
Subsection 5.1: Records Management: The Backbone of Open Government	<u>30</u>
Subsection 5.2: Freedom of Information Act – Office of Government Information Services (OGIS)	<u>33</u>
Subsection 5.3: Electronic Records Archives (ERA)	<u>33</u>
Subsection 5.4: National Declassification Center (NDC)	<u>35</u>
Subsection 5.5: Office of the Federal Register (OFR)	<u>36</u>
Subsection 5.6: National Historical Publications and Records Commission (NHPRC)	<u>39</u>
<i>Appendix A: Summary of Comments Received from the Public</i>	<u>42</u>
<i>Appendix B: 2012-2014 Open Government Plan Proposed Actions</i>	<u>44</u>
<i>Appendix C: Implementation of 2010 Open Government Plan Task List</i>	<u>47</u>

Executive Summary

The approach to open government at the National Archives and Records Administration (NARA) is simple – it's embedded in our mission. The Open Government Directive and related initiatives provide the National Archives with an opportunity to take a closer look at how we accomplish our mission. We seek to leverage the principles of transparency, participation, and collaboration to bring greater innovation, efficiency, and effectiveness to our work.

In two years, we have implemented most of the 70 tasks we set out to accomplish in the 2010 Open Government Plan, including major open government initiatives in records management, declassification, and FOIA, as well as redesigning Archives.gov and FederalRegister.gov. Within this document, the National Archives' Open Government Plan for 2012-2014, you'll see how far we've come and where we think we are headed.

Strengthen the Culture of Open Government

During the next two years, the National Archives will continue to increase the values of transparency, participation, and collaboration into the culture of the agency. The agency is undergoing a transformation and implementing a new organizational structure. Employee engagement is being improved through a variety of means, including the creation of an internal collaboration network. Public engagement continues to increase dramatically through the use of social media tools.

Flagship Initiative: Innovative Digital Access and Strategies

The National Archives and Records Administration (NARA) provides innovative digital access to the records of the Federal Government and develops strategies that support greater online access to these records. Our flagship Initiative includes the Citizen Archivist Initiative, which engages the public in crowdsourcing activities like tagging, transcription, and scanning to help make the records of the National Archives more accessible online, where people want them. Additionally, the flagship initiative seeks to update our digitization strategy to expand our efforts to digitize records. We will continue to leverage the social media strategy to guide how we utilize social media tools during the next two years. We will move our public website – Archives.gov – to a cloud based solution and implement Drupal, an open source content management system. We will continue to improve Online Public Access by exploring how to display citizen-contributed transcriptions, how to leverage and develop application program interfaces (APIs), and how to make the records of the National Archives more accessible for possible data mining.

The approach to open government at the National Archives is simple – it's embedded in our mission.

Strengthen Transparency at the National Archives

The National Archives is interested in engaging the community of developers who are interested in utilizing datasets, APIs, and open source software that we've made available. We will continue to make available datasets and proactively release information. We are also committed to writing new content in plain language so that our customers can use forms and web pages without getting lost and frustrated.

In Fiscal Year 2012, NARA will establish and begin operating a new Records and Information Management Network consisting of Information Management Officers in each functional area of the agency supported by one or more Record Custodians.

The National Archives and Records Administration (NARA) understands that the effective implementation of the Freedom of Information Act (FOIA) is a critical component of open government. NARA's staff, at all levels of the agency, is committed to improved compliance with the statute and the spirit of openness established by existing policy.

Leadership and Services

The long-term success of the Open Government Initiative and the future of the National Archives hinges on the ability of each Federal agency to effectively manage its records. We will fulfill our role in meeting the requirements of the Presidential Memorandum on Managing Government Records, by working with OMB and the Associate Attorney General to issue a Records Management Directive to outline a 21st century framework for managing government records.

The Office of Government Information Services (OGIS) has an important mission to provide services to mediate disputes between Freedom of Information Act (FOIA) requesters and Federal agencies, to review policies and procedures of administrative agencies under FOIA, to review agency compliance with FOIA, and to recommend policy changes to the

Congress and President to improve the administration of FOIA. Through its mediation program, OGIS directly contributes daily to encouraging public participation and collaboration. Additionally, OGIS is working with the Environmental Protection Agency and the Department of Commerce to build a multi-agency FOIA Module.

The Electronic Records Archives (ERA) seeks to ensure that electronic records created today remain accessible and verifiable as authentic records, long after the software and hardware used to produce these records have ceased to exist. ERA today is a complex information management system that was developed to archive the variety of records that the government currently creates in electronic format. The continued existence of ERA is crucial to open government because of the role it will provide in long-term preservation and access to electronic records.

The National Declassification Center (NDC) is strengthening open government by improving coordination and collaboration between agencies and effectively streamlining the declassification process. It has accelerated the processing of historically valuable classified records in which more than one agency has an interest and whenever practical, it has prioritized declassification based on researcher interest and the likelihood of declassification. The NDC is addressing an enormous backlog of classified records and leading an inter-agency quality review assessment that is eliminating multiple re-reviews.

The Office of the Federal Register continues to be a leader in democratizing government information and open government. The Office of the Federal Register was established to provide public notice and due process of law by ensuring that legal issuances could no longer be adopted in secret and arbitrarily enforced against the public. Modernization plans, also referred to as “Federal Register 2.0,” are an expression of our commitment to open government, and include specific efforts to expand access to regulatory data and other public information.

The National Historical Publications and Records Commission (NHPRC) enables the National Archives to reach beyond those Federal records under its stewardship to assist in the preservation and publication of collections of records held by state and local governments, nonprofit organizations, colleges and universities, and other institutions. It carries out this mission through competitive grants for archives preservation and access projects, by investing in research and development in new archival methods—particularly for electronic records, and through public policy leadership. In late June 2012, the National Archives will be the host for a new web resource, Founders Online, which will provide access to the papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, Benjamin Franklin, and George Washington.

Public Input

We continue to welcome your input and help in shaping the open government initiatives over the next two years. Please visit www.archives.gov/open to learn more about open government at the National Archives. To provide comments, suggestions, and feedback on this plan or specific initiatives, please email opengov@nara.gov or visit the NARAtions Blog at <http://blogs.archives.gov/online-public-access/>.

1. The Approach to Open Government at the National Archives

The approach to open government at the National Archives and Records Administration (NARA) is simple – it’s what we were created to do. The mission of the National Archives indicates our important role:

The National Archives serves American democracy by safeguarding and preserving the records of our Government, ensuring that 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.

On President Obama’s first day in office, he said, “Openness will strengthen our democracy and promote efficiency and effectiveness in Government.” On December 8, 2009, the Open Government Directive was issued, with the goal of creating a culture of transparency, participation, and collaboration in and among Federal agencies to transform the relationship between Government and its citizens.

The Open Government Directive and related initiatives provide the National Archives with an opportunity to take a closer look at how we accomplish our mission. We seek to leverage the principles of transparency, participation, and collaboration to bring greater innovation, efficiency, and effectiveness to our work.

On April 7, 2010, we met an important requirement of the Open Government Directive by issuing the Open Government Plan of the National Archives. The plan set out to recognize the importance of open government and provide a path forward for strengthening the principles of open government in our daily work. In two years, we have completed almost 70 tasks for implementation of the 2010 Open Government Plan, including major open government initiatives in records management, declassification, and FOIA, as well as redesigning Archives.gov and FederalRegister.gov. To track our progress on all areas, please see Appendix C of this plan.

The initial plan, however, marked only a starting point – we’ve taken open government even further than we envisioned. After publication of the plan, we began work on transforming the agency and implementing a new organizational structure. Foundational to these changes are six pillars, one of which is “An Open NARA.” This work continues and is detailed in Section 2 of this plan. We also began to develop the Citizen Archivist Initiative to elevate the role of public participation and contributions from crowdsourcing activities and individuals. This exciting work continues to evolve and is detailed in Section 3 of this plan. These two efforts are evolutions of open government efforts that come out of the work of the NARA’s first Open Government Plan.

Within this document, the National Archives’ Open Government Plan for 2012-2014, you’ll see how far we’ve come and where we think we are headed. Like our initial plan, we know this plan is an important starting point for innovation over the next two years. We welcome your input and help in shaping the open government initiatives over the next two years.

Please visit www.archives.gov/open to learn more about open government at the National Archives. To provide comments, suggestions, and feedback on this plan or specific initiatives, please email opengov@nara.gov or visit the NARAtions Blog at <http://blogs.archives.gov/online-public-access/>.

**Learn more about open government at the
National Archives at:
www.archives.gov/open**

2. Strengthen the Culture of Open Government at the National Archives

Since the launch of the first Open Government Plan in 2010, significant efforts have begun to strengthen the culture of open government at the National Archives and Records Administration (NARA). The agency is undergoing a transformation and implementing a new organizational structure. Employee engagement is being improved through a variety of means, including the creation of an internal collaboration network. Public engagement continues to increase dramatically through the use of social media tools. During the next two years, the National Archives will continue to increase the values of transparency, participation, and collaboration into the culture of the agency.

2.1 Sustaining Open Government at the National Archives

More than 75 years ago, the National Archives was created because we — as a nation — recognized the crucial role records play in our democracy. The changes we are making will ensure that we uphold our fundamental role in safeguarding, preserving, and providing access to the records of our Government.

Currently, NARA is transforming in response to the President’s call for a reorganization of government to give the people “a government that’s more competent and more efficient.” At the National Archives, we are meeting the President’s call to action. In October 2010, the Archivist’s Task Force on Agency Transformation issued a final report, [A Charter for Change](#), which sets out six pillars for how NARA intends to do business in the future:

- **One NARA:** Work as one NARA and not just as component parts.
- **Out in Front:** Embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.
- **An Agency of Leaders:** Foster a culture of leadership, not just as a position but as the way we all conduct our work.
- **A Great Place to Work:** Transform NARA into a great place to work that trusts and empowers all of our people, the agency’s most vital resource.
- **A Customer-Focused Organization:** Create structures and processes to allow our staff to more effectively meet the needs of our customers.
- **An Open NARA:** Open our organizational boundaries to learn from others.

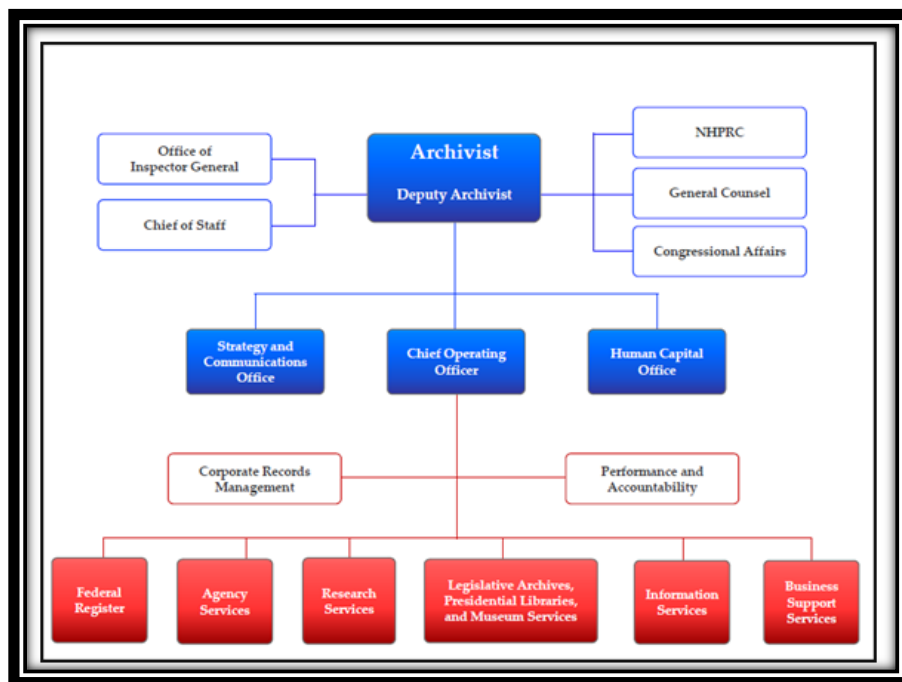
In January 2011, the Transformation Launch Team issued a final report, [Charting the Course](#), which is our plan for reinventing the National Archives to meet the demands we face in the digital age.

We’re creating a new culture based on common values at the National Archives. We’re restructuring the agency to better serve the American people and the Federal Government. And we are living the principles of open government — transparency, participation, and collaboration.

The chart below represents our new structure of the National Archives. The Archivist of the United States has stated, “this is not a ‘rearrangement of the deck chairs,’ but a bold new way of positioning ourselves to face the future.” To learn more about specific changes to the organizational structure, please read the report, [Charting the Course](#).

We’re creating a new culture based on common values at the National Archives.

We’re restructuring the agency to better serve the American people and the Federal Government.



New organizational chart for the National Archives

Next, the National Archives will revisit the strategic planning process and work to align NARA’s Strategic Plan with the transformation. The current strategic goals of the National Archives are:

- **One:** As the nation’s record keeper, we will ensure the continuity and effective operation of Federal programs by expanding our leadership and services in managing the Government’s records.
- **Two:** We will preserve and process records to ensure access by the public as soon as legally possible.
- **Three:** We will address the challenges of electronic records in Government to ensure success in fulfilling NARA’s mission in the digital era.
- **Four:** We will provide prompt, easy, and secure access to our holdings anywhere, anytime.
- **Five:** We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and educational programs.
- **Six:** We will equip NARA to meet the changing needs of our customers.

These six goals enable the National Archives to fulfill its mission to "serve American democracy by safeguarding and preserving the records of our Government, ensuring that the people can discover, use, and learn from this documentary heritage." Open government is a fundamental part of our business. Transparency, participation, and collaboration are important approaches to accomplishing our strategic goals. Because of our unique mission, our performance measures are already tracking our progress related to open government.

Additional information about specific strategies for accomplishing these goals and performance measures are found in *Preserving the Past to Protect the Future*, the Strategic Plan of the National Archives and Records Administration available at <http://www.archives.gov/about/plans-reports/strategic-plan/>.

2.2 Employee Engagement

Openness, innovation, and collaboration are hallmarks of an engaged workforce. The National Archives and Records Administration (NARA) is committed to developing systems and structures that stimulate innovation and support employee engagement at all levels of the agency.

For NARA, engaging employees means developing and maintaining a work environment and culture that stimulates all employees to give their best efforts to achieve organizational success. The critical conditions conducive for employee

engagement include effective leadership, work that provides meaning to employees, and the opportunity for employees to learn and grow on the job.

NARA has already taken several important steps to increase employee engagement:

- Established new offices as a result of NARA's transformation and reorganization– most notably, a Human Capital Office and a Strategy and Communications Office. Leaders of these offices are on the Executive Leadership Team and report directly to the Archivist of the United States.
- Opened lines of communication – in consultation with our union – between staff and management, including:
 - regular all-hands and supervisory forums,
 - online discussion boards and blogs, and
 - launch of an internal collaboration network.
- Established a Diversity and Inclusion Office to lead efforts in this important area.
- Implemented mandatory performance standards for all managers and supervisors that hold managers accountable for engaging employees and fostering diversity and inclusion in the workplace.

NARA's ongoing efforts to improve employee engagement include:

- Hiring additional staff in the Human Capital Office to lead targeted initiatives to increase employee satisfaction and engagement.
- Revamping leadership development curriculum to emphasize importance of employee engagement.
- Revamping the Individual Development Planning process to ensure training is mapped to needed competencies and career goals.
- Preparing to launch an agency-wide mentoring program open to all staff in all locations.
- Identifying tools with voting capability to capture staff ideas for improvements across the agency.

Internal Collaboration Network

In our first Open Government plan, the National Archives outlined goals to improve employee engagement and use social media tools to build community among staff. Key to this initiative has been our project to launch an internal collaboration network (ICN) for all Archives staff. This integrated suite of communication and project management tools would enable staff to develop communities of practice that cut across the organization, find experts and advice more efficiently, and share news and knowledge with the staff community.

In 2010 two staff members studied the implementation of social enterprise sites and knowledge sharing networks at other Federal agencies, including the Department of State, Department of Defense, National Aeronautics and Space Administration, General Services Administration, and the Nuclear Regulatory Commission. They focused on success stories, lessons learned, advice on technical requirements, and legal and policy concerns. They also met with stakeholders across our agency and analyzed challenges and opportunities with potential impact on the success of an ICN for the National Archives. In 2011, the ICN team focused on developing business, technical, and security requirements. In late 2011, we began working with contractors and refined our rollout plan and plan for evaluating the success of the ICN.

Over the next two years, we will continue to explore ways to facilitate greater collaboration and knowledge sharing through the ICN.

In January 2012, we launched the initial setup of the ICN. In February a team of 300 staff, who agreed to assist with testing and case studies, began enhancing the content and resources on the ICN. By the end of March 2012, about a quarter of our agency staff have joined the network and we plan to have all staff on board by the end of the summer.

The types of engagement we observe so far are promising. Staff members at various levels in various offices are discussing ways to build community and foster collaboration. They are building groups around topics and issues of interest, not only groups that mirror organizational structure. Feedback from a variety of staff indicate they are amazed at how much they can

learn about the agency and their coworkers by having this type of open conversation and information sharing happen in one, searchable online space.

Over the next two years, we will continue to explore ways to facilitate greater collaboration and knowledge sharing through the ICN. We will identify and recognize best practices and successful case studies on the network. By training staff and building their skill sets with online communication and collaboration tools we will strengthen employee engagement and empower our employees to transform NARA's culture.

2.3 Public Engagement

Social Media

At the National Archives and Records Administration (NARA), social media is increasingly recognized as an important tool for public engagement and feedback on a variety of topics related to the mission of the agency.

The National Archives currently engages the public on a variety of social media platforms, including blogs, Facebook, IdeaScale, Twitter, and Tumblr. These sites encourage two-way exchanges of information. The National Archives posts on timely and relevant topics and receives feedback from the public. Often, individuals will respond to questions posed by the National Archives, or will ask specific questions related to issues in which they are interested.

Substantive public engagement occurs on NARA blogs through comments from the public and responses from NARA staff. Vibrant conversations can be seen on the blog of the [Archivist of the United States](#), [the FOIA Ombudsman](#), [NARAtions](#), [Prologue](#), [Records Express](#), and [The Text Message](#).

More than ever before, the National Archives is seen as a leader in the Federal Government for its active use of social media to engage the public.

The National Archives uses a brainstorming tool called IdeaScale to get feedback from the public on specific challenges facing the agency. In 2010, the Open Government Idea Forum launched to generate specific ideas to include in NARA's first Open Government Plan using the IdeaScale platform. In 2012, the Open Government Idea Forum relaunched to gather feedback for the creation of this plan.

In the summer of 2010, the National Archives used IdeaScale to encourage public voting on a new design for the homepage of Archives.gov. In January 2012, the National Archives used IdeaScale to gather public input in prioritizing "Know Your Records" presentations to make available online. From February through April 2012, the National Archives used Ideascale to generate ideas from the public on developing a 21st-century framework for managing government records.

On Facebook and Twitter, the National Archives leverages the "short form" nature of these platforms by asking questions and providing links to sites where more engagement can occur. Additionally, the National Archives answers questions and provides clarification to members of the public on issues with which they are concerned.

Tumblr is a social media platform that the National Archives is using to generate interest and, often times, specific feedback on archival records. Although another "short form" tool, Tumblr has proven to be an incredibly easy way for the public to engage with the records of the National Archives. The "reblog" feature on Tumblr allows the public to easily republish content from the National Archives on their own Tumblr blogs.

The Citizen Archivist Initiative at the National Archives encourages public engagement with the records of the National Archives through the Citizen Archivist Dashboard. This type of engagement produces tags, transcripts, articles, and images that improve the accessibility of National Archives records. To learn more about the Citizen Archivist Initiative see "Flagship Initiative" in Section 3 of this plan.

More than ever before, the National Archives is seen as a leader in the Federal Government for its active use of social media to engage the public. For a comprehensive list of NARA's social media sites, please visit <http://www.archives.gov/social-media/>.

For additional information about the use of Social Media at the National Archives, please see the “Social Media Strategy” in Section 3 of this plan, as well as “Informing the Public of our Progress” in Section 4.5 of this plan.



Policymaking Process

NARA’s policymaking process for creating and revising NARA regulations will continue to incorporate online public engagement through Regulations.gov and RegInfo.gov, which provide information to the public on the status of pending regulations. Additionally, the National Archives has provided a step-by-step narrative about how it develops or changes regulations, available at <http://www.archives.gov/about/regulations/process.html>

3. Flagship Initiative: Innovative Digital Access and Strategies

The National Archives and Records Administration (NARA) provides innovative digital access to the records of the Federal Government and develops strategies that support greater online access to these records. The Flagship Initiative is made up of the following initiatives and strategies:

- The Citizen Archivist Initiative,
- Digitization Strategy for the National Archives,
- Social Media Strategy for the National Archives,
- Innovations in Archives.gov, and
- Innovations in Online Public Access

3.1: The Citizen Archivist Initiative

Shortly after the publication of NARA’s first Open Government Plan in 2010, we sought to create a role for “citizen archivists.” By elevating the importance of public participation, citizens can now provide substantive contributions (tags, transcripts, images, etc.) that increase access to the records of the Federal Government.

With over 10 billion pages of paper records alone, there is no shortage of records to digitize or transcribe. The National Archives has changed the way it traditionally approached providing access to these records by introducing a role for citizen archivists.

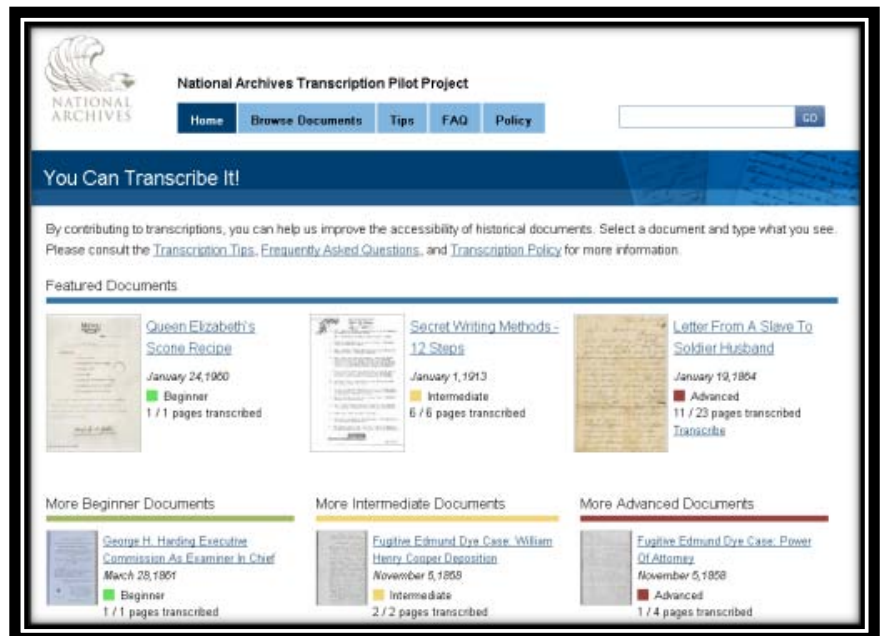
The Citizen Archivist Initiative engages the public in crowdsourcing activities like tagging, transcription, and scanning to help make the records of the National Archives more accessible online, where people want them. This ongoing work encourages citizen archivists to make contributions online through activities on the Citizen Archivist Dashboard, like the National Archives Transcription Pilot Project.

History of the Citizen Archivist Initiative at the National Archives

In April 2010, the Archivist of the United States introduced the concept of “citizen archivist.” He drew parallels to citizen science projects and sought to re-imagine the agency’s relationship with the public. Recognizing that what researchers learn from the records could be captured and harnessed, he set out a vision to develop digital tools that would “make adding real value to the our work intriguing, easy, and fun.”

In May 2010, the Archivist recognized the work of Jon Deiss, a citizen archivist, and later in a newly created award, “Outstanding Citizen Archivist.” In July 2010, the Archivist recognized the contributions of the International Amateur Scanning League and joined the group to scan photographs from the holdings of the National Archives.

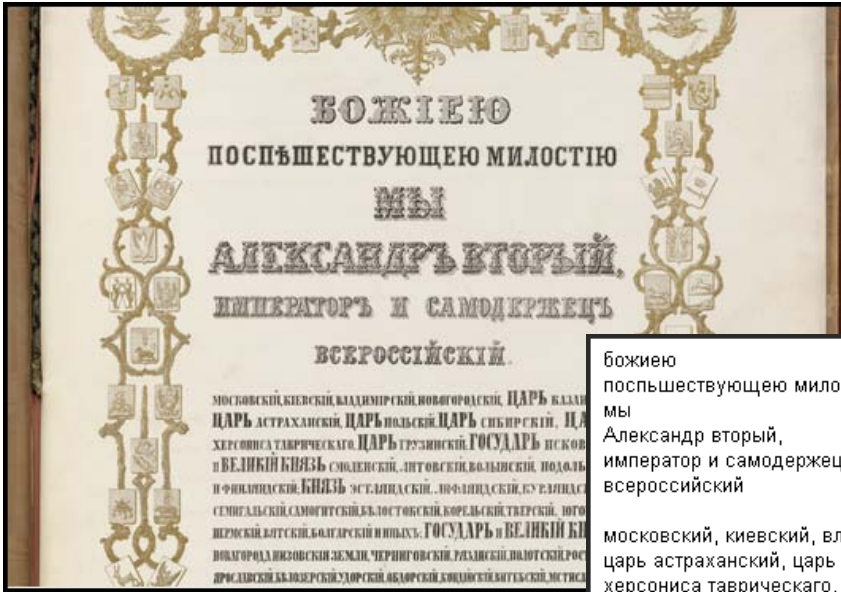
By June 2011, tagging was introduced for the first time in the National Archives Catalog, along with the announcement of the selection of the agency’s first “Wikipedian in Residence” to foster greater collaboration with the Wikipedian community. We have held a variety of events, including scan-a-thons, where individuals have added digital images of records to the National Archives Catalog. The National Archives has shared tens of thousands of high-resolution digital images on Wikimedia Commons, essentially “liberating” the content for wider use and public exposure.



Screen shot of the National Archives Transcription Pilot Project

In December 2011, the National Archives launched the Citizen Archivist Dashboard, serving as a portal for crowdsourcing activities. In January 2012, the National Archives launched a transcription project on the Dashboard to crowdsource transcription of historical handwritten records. Within two weeks, citizen archivists worked on more than 1,000 pages of handwritten documents, including fugitive slave case files, presidential records, and suffrage petitions.

By introducing the role of the citizen archivist, the National Archives has developed an innovative way to improve access to the records of the Federal Government. Individual tags, transcripts, and images contributed prove the value of citizen archivists to the mission of the National Archives.



Alaska Purchase Treaty Ratification and crowdsourced transcription of document from the National Archives Pilot Project

божию
 поспешествующею милостью
 мы
 Александр второй,
 император и самодержецъ
 всероссийский

московский, киевский, владимирский, новгородский, царь казанский,
 царь астраханский, царь польский, царь сибирский, царь
 херсониса таврическаго, царь грузинский; государь псковский
 и великий князь смоленский, литовский, вольинский, подольский,
 и финляндский; князь эстляндский, лифляндский, курляндский, и
 семигальский, самогитский, бѣлостокский, корельский, тверский, югорский,
 пермский, вятский, болгарский и иньихъ; государь и великий князь

The National Archives was the first to use the term “citizen archivist” to refer to public participation. Although it draws from “citizen science,” the term itself has started a larger dialogue about crowdsourcing in government. It has also generated greater public interest in the work of the National Archives.

Tangible Results

Finding something in the National Archives is often compared to trying to find a needle in a haystack. The public expects to find exactly what they are looking for online, but only a small fraction of the records from the National Archives are currently available online. By introducing a role for citizen archivists, the National Archives is recognizing the power of public participation in solving that problem. Small contributions are immediately put to use helping you find exactly what you are seeking.

Thousands of pages of transcriptions, tens of thousands of tags, contributed images, and new search results are all tangible results of the Citizen Archivist Initiative. Additionally, the Initiative has helped the National Archives build significant relationships with existing online communities like Wikipedia. Groups not previously affiliated with the National Archives have reached out to get involved in tag-a-thons. Professional researchers have reached out to the National Archives to share thousands of digital images and metadata they’ve collected over the years to be included in the National Archives Catalog. One citizen archivist shared a digital copy with the “Citizen Archivist Research” group on Flickr of a compelling 1930 photograph of a Washington, DC alley that had not yet been digitized elsewhere.

Over the next two years, the National Archives will continue to strengthen our relationships with individual citizen archivists and groups that are interested in providing contributions. We will also explore any new or interesting ways of engaging citizen archivists, including exploring new tools that help make contributing easy and fun.

Cross-Agency Transferability

Other Federal agencies and cultural institutions are looking at how the National Archives has implemented the Citizen Archivist Initiative and specific tools on the Citizen Archivist Dashboard as inspiration for exploring their own approaches to crowdsourcing activities. We are exploring how to make the Drupal code we developed for the Transcription Pilot Project available on a code-sharing site like GitHub.

The Citizen Archivist Initiative is also helping to shift the thinking away from how institutions need to keep their information contained within their physical and digital “walls” to an approach that recognizes the great benefits from being involved in larger communities like Wikipedia and Flickr. The Citizen Archivist Initiative shows that the perceived fears of “losing control” are greatly outweighed by the benefits of putting your content where people want to see it.

The Citizen Archivist Dashboard

The Citizen Archivist Dashboard serves as portal for crowdsourcing activities at the National Archives. The activities include: tagging, transcribing, editing articles, upload and sharing images, indexing the 1940 Census, and participating in contests.

The Citizen Archivist Dashboard launched on December 23, 2011 to public praise by individuals and institutions. Here’s some examples feedback:



“Great Project Idea.”

“Nice to see NARA picking up further with the crowdsourcing idea with the Citizen Archivist Dashboard!”

“Citizen Archivists?! What a great idea.”

“Can’t wait to explore!”

Tagging

Tagging is a way for citizen archivists to help make it easier to find National Archives records online. By adding keywords, terms, and labels to records, individuals help the next person discover those records. Tagging at the National Archives can be done in the National Archives Catalog through Online Public Access or through Flickr. The National Archives has developed tagging “missions” to focus tagging into thematic interests that might appeal to the public. Tagging missions currently include:

- World War II Posters,
- Photos of the 1963 Civil Rights March on Washington,
- Photographs of Lewis Hine,
- Records related to lighthouses, and
- 1970s DOCUMERICA photos.

To learn more about tagging or participate in a tagging mission, visit <http://www.archives.gov/citizen-archivist/tag/>.

Transcription

By contributing to transcriptions, citizen archivists help the National Archives make historical documents more accessible. Transcriptions help in searching for documents as well as in reading and understanding documents. Transcriptions contributed by citizen archivists help the next person discover and use those records.

The National Archives launched a Transcription Pilot Project in January 2012 based on Drupal and available at <http://transcribe.archives.gov/>. The public is invited to contribute to transcriptions of historical documents and help make them more accessible to the public.

The transcription pilot launched with over 300 documents (more than 1,000 pages) ranging from the late 18th century through the 20th century. Included are letters to a Civil War spy, various acts and laws, presidential records, suffrage petitions, indictments, and fugitive slave case files.

Each document is categorized as “Beginner,” “Intermediate,” or “Advanced” based on the level of effort we believe will be needed to transcribe it. In addition to searching for documents, citizen archivists can browse by difficulty, year, and the status of transcription (“Not Yet Started,” “Partially Transcribed,” and “Completed.”). We are also exploring ways to more effectively crowdsource the review of transcriptions, so that citizen archivists can easily review completed transcriptions.

Here’s what the public has been saying:

- As a professional genealogist, I am forever grateful to those people who volunteer their time to make documents more accessible.
- The National Archives transcription pilot project looks cleverly designed for teaching.

The Citizen Archivist Dashboard also features National Archives records for transcription on Wikisource, the “free library that anyone can improve.”

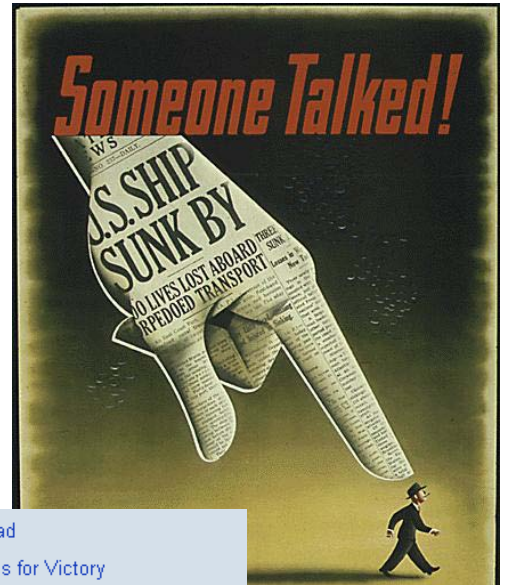
Over the next two years, the National Archives will explore ways to improve the National Archives Transcription Pilot Project, as well as transcription on WikiSource. To make suggestions for improvements, please email opengov@nara.gov. For more information on transcription, please visit <http://www.archives.gov/citizen-archivist/transcribe/>.

Other Activities on the Citizen Archivist Dashboard

The Citizen Archivist Dashboard also encourages individuals to share their knowledge about topics related to the records of the National Archives on Our Archives Wiki and on Wikipedia. Citizen Archivists can share their digital copies of National Archives records on a Flickr group called “Citizen Archivist Research.” We also periodically feature contests to inspire the public to utilize government records in new and interesting ways. Additionally, the Dashboard features events and videos from past events, and encourages individuals to get involved in brainstorming sessions for ideas as well as submitting ideas for new crowdsourcing activities that should be developed. To make suggestions for new activities to feature on the Citizen Archivist Dashboard, please send your suggestions to opengov@nara.gov. For more information on the Citizen Archivist Dashboard please visit <http://www.archives.gov/citizen-archivist/>.

3.2: Digitization Strategy for the National Archives

Access to records in the 21st century means online access. In order to provide the online access you expect, digital copies of the records must first be created through a process called “digitization.” With over 10 billion pages of records, we have a long road to realizing the dream of having all of our records available online.



- Abroad
- Artists for Victory
- Blame
- big hand
- Council for Democracy
- finger
- hand
- homefront
- Inc.
- Inc. Award
- loose lips

World War II Poster and tags contributed by citizen archivists

Almost 75% of our historical documents, videos, and photographs are *described* in our [online catalog](#), but only a small fraction of the descriptions actually include digital copies of the record. These means you may find a written entry online for the records you are looking for, but you can't actually see these records online yet.

If we want all of our records online, how are we going to get there?

Over the next two years, the National Archives will update our digitization strategy. We will look to innovate so that we can expand our efforts to digitize records.

Some of the ideas we will consider in revising the digitization strategy include:

- Improve our in-house digitization workflow and the technology to support that workflow.
- Explore expanding our work with digitization partners.
- Explore options for digitizing records as soon as we receive custody of them, which we are calling “Day Forward Digitization.”
- Consider options for developing an integrated, user-friendly records management solution for the federal government that will allow us to receive all government records in digital form.
- Encourage public participation and collaboration in digitizing and describing our records for online access and use.

Send your comments, ideas, and recommendations for improvements to the strategy to opengov@nara.gov. For more information about NARA's current digitization strategy, as well as information about digitization partnerships, please visit <http://www.archives.gov/digitization/>

3.3: Social Media Strategy for the National Archives

One idea generated during the development of NARA's first Open Government Plan in 2010, was to create a social media strategy for the agency. The National Archives committed to this task and developed the strategy with input from the public via the NARAtions Blog. In December 2010, we published our Social Media Strategy at <http://www.archives.gov/social-media/strategies/>.

In addition to posting policies and frequently asked questions, the National Archives is increasing transparency for the public by publishing monthly statistics of social media activity, and all signed “terms of service” agreements NARA has with third party sites like, Facebook, Flickr, Foursquare, etc.

The Social Media Strategy is an important tool for the National Archives, guiding how we leverage social media tools. The strategy will continue to be the framework for our endeavors over the next two years. We will continue to focus on fostering a community and building tools for citizen archivists. We will further develop spaces for the records management community and interested public stakeholders to exchange ideas for improving records management policy. Staff engagement via social media tools in the ICN, will continue to grow and allow our staff to collaborate and better serve our customers.

To learn more about implementation of social media and Web 2.0 tools, please visit NARA's Social Media Directory available at <http://www.archives.gov/social-media/>

The following is a portion of NARA's Social Media Strategy. The full strategy is available at: <http://www.archives.gov/social-media/strategies/>



Social media tools are transforming the National Archives and the way we serve our customers and American citizens. Social media tools will help us accomplish our mission as the nation's record keeper to preserve government records and make them

more accessible to you. Our social media strategy supports the open government goals of transparency, collaboration, and participation.

Social media is about community and conversations. We focus on engaging with three main communities:

- our staff community,
- the government community,
- and citizen archivists.

Revolutionize Communication and Collaboration within Our Staff Community

We strive to make NARA a great place to work. We will use social media tools to increase information and knowledge sharing at and across all levels at NARA. We believe openness is one of the keys to unlocking our collective potential. Peer to peer communications and networking can lead to better collaboration, more efficiency and less friction.

As organic communities of practice emerge and communications tools are put directly in the hands of all staff, we all will have opportunities to be leaders and to influence the thinking of our internal community. Collaboration networks uncover experts in unexpected places and surprising solutions to problems. We will foster the spirit of innovation by making NARA a safe place to discuss and try new things.

Engage with the Government Community

We will lead the way among government agencies in focusing on the government community, including Federal records managers, declassification stakeholders, and citizens and groups interested in records access.

We will embrace, develop, and invest in new technology to further our mission. By promoting innovation, collaboration and the smart use of technology, we will do more with less. We will develop our staff's knowledge of that technology. We will take the initiative and be leaders in the field of electronic records management for social media. We will lead by example and develop best practices for the capture of social media records created by our own activities and work.

Build and Strengthen Our Relationships with Researchers and Citizen Archivists

We think our researchers are admirable. Your intrepid spirit while following trails of historical clues and tracking down evidence is astounding, and the fascinating stories you are able to tell by drawing connections between those points of history inspire us. So many of you have a wealth of expertise that you have gathered over time while researching at NARA and at other archives and libraries. Your stories and contributions help illuminate the significance of our government's records to our nation's history.

Many of you are natural sharers, and we hope to foster that impulse and encourage those researchers we call citizen archivists. By mapping uncharted terrain in the archival landscape, you are creating navigational tools for others -- researchers, historians, genealogists, educators, students, volunteers, citizen archivists, and archivists -- who come across those records next and can follow your trail. We hope to create online spaces and platforms where you can make available and collaborate on these kinds of pathfinder information, sign posts, tags, and tales. All of these components will make the research endeavor smoother for newcomers and help make the records more discoverable by history lovers who don't know yet about the National Archives. By engaging in more conversations with you and getting to know you better, we seek to exchange our insights and thereby improve access to our nation's documentary heritage together.

3.4: Innovations in Archives.gov

As part of our flagship initiative in our 2010 Open Government Plan, we pledged to make our website – Archives.gov – an effective and easy tool for our users. Our goals were to:

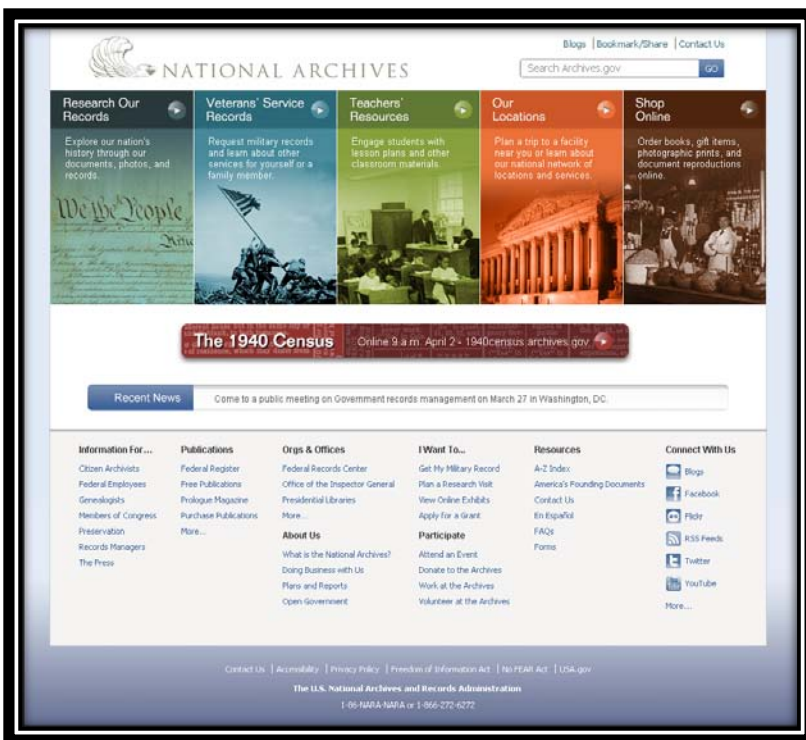
- Streamline Navigation
- Improve Access to Holdings
- Simplify Content
- Update Visual Design
- Focus on Customer's Tasks

On December 13, 2010 we launched our redesigned web site that was strongly supported by participation from the public and NARA staff. The redesign was based on reviews of:

- Multiple card sorts
- Customer questionnaires
- Web statistics
- Online surveys and customer feedback
- Usability testing
- Online and in-person voting

We performed card sorts to designated audiences as well as to the public at-large to confirm preferred terminology and site organization. We performed usability tests throughout the redesign process from wireframes to prototypes to an interactive site. We held online and in-person voting events to confirm the preferred design of four different concepts. More than 3,000 visitors participated in voting for the preferred design.

Comments received since the redesign was completed have been highly positive – especially for the clean look, the labeling, and the organization of the content:



Redesigned Archives.gov

“Wow, great redesign. Love the clean lines and calming colors that allow the focus to be on the amazing content.”

“The redesigned Archives.gov looks gorgeous and the new top labels are very good! Congratulations on the good design and organization!”

“The new design is cleaner, features clearer organization of content and loaded more quickly on my mobile device.”

Survey results show continued satisfaction and improved satisfaction with look & feel, navigation, and online transparency. In addition to the positive feedback we’ve received from the public, the National Archives redesigned web site was:

- Listed in the Top 5 Government Agency Websites in 2011 – GovLoop Social Network for Government;
- Number 7 in the Plain Language Writing Index – Visible Thread Ranks Federal Websites for Plain Language and Transparency; and
- Selected as a winner in the Website/Dynamic Media: Public Sector category – ClearMark Awards – Center for Plain Language.



Moving Archives.gov to the Cloud

In support of the Administration's Cloud First Policy issued in December 2010, NARA is moving our public website – Archives.gov – to a cloud based solution. We anticipate that a cloud based solution will be economical as we will start with a low initial investment and scale up when traffic demands increase. Cloud hosting will allow NARA to increase the availability of newly released high interest records online such as the Pentagon Papers, the Nixon Grand Jury Testimony and more recently the 1940 Census. In the past, we have had to contract out or seek alternative solutions when we release records that might bring a lot of traffic to the web site. Cloud hosting will allow us to increase capacity very quickly and scale back once the interest has decreased.

Implementing Drupal for Archives.gov

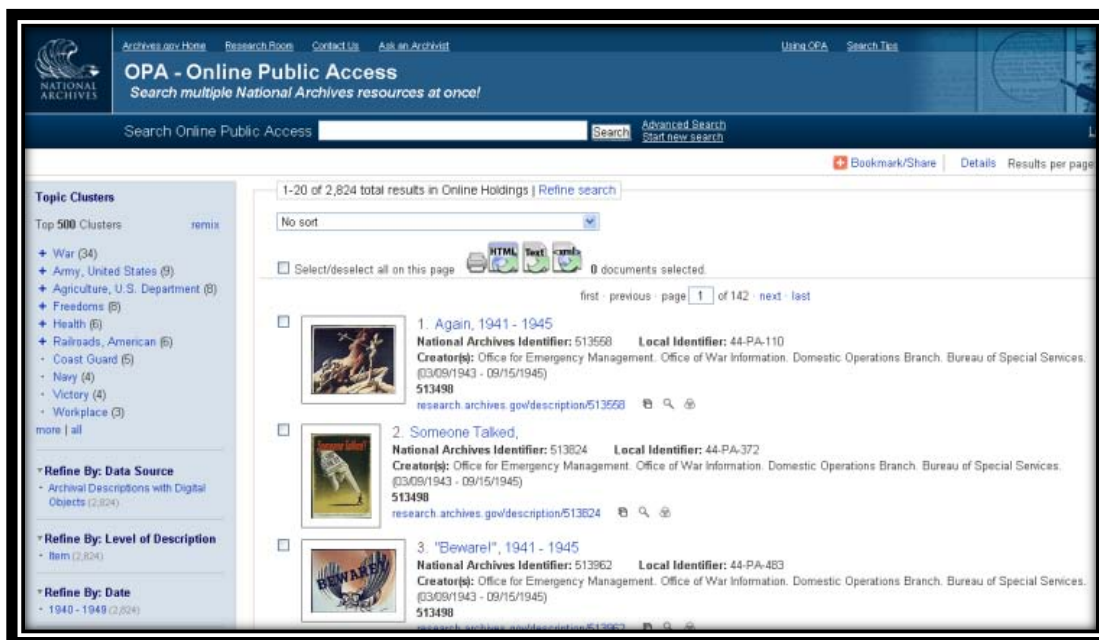
NARA is transforming the way we do business both internally and externally. Another project currently underway for the Archives.gov website is to implement a content management system (CMS). We have chosen Drupal, an open source CMS used by many Federal agencies including the White House and the Department of Energy. We chose Drupal because it is one of the best CMS options in the market and because of the flexibility it offers. Implementing Drupal is likely to increase and improve the quality of our web content. Content contributors (NARA staff) will no longer need to know HTML to code content which means more subject matter experts can write content without learning to code or waiting for someone else to code for them. We will have workflows that will allow for immediate review and approval of revised and new content. The content can then be published immediately without web staff intervention. Due to the separation of the content, its structure and its visual design, a change in one of these elements can be done independently of the others. A complete visual re-design of a whole site can be carried out without touching the site's content or the structure. This improves the work processes of the web staff, making it easier to complete a redesign and reorganize content. Our Web Services Team looks forward to participating in the growing community of Federal Government Drupal users and collaborating on the development and enhancement of modules to meet our common needs.

3.5: Innovations in Online Public Access

As part of our flagship initiative in our 2010 Open Government Plan, we planned to increase online access and participation with you by developing streamlined search capabilities for our online holdings that would unlock records from previously stove-piped systems.

We accomplished that with the launch of the Online Public Access (OPA) system in December 2010. OPA is the online portal to our records and information about our records at the National Archives. It provides a single, streamlined search across multiple resources at the Archives, including archival descriptions and authority records from the Archival Research Catalog, selected electronic records from the Access to Archival Databases system and the Electronic Records Archives, and web pages from Archives.gov and all of the Presidential Libraries.

In addition, we have provided new features in an effort to enhance the user experience and improve your interaction with the records online. Users can zoom and pan online holdings in the catalog, which is essential for handwritten documents. You can also tag records with your own keywords or identifiers, an essential step in increased participation and collaboration with you.



Screenshot of Online Public Access

Online Public Access has received 352,035 total visits since site launch. We continue to receive positive feedback from you about the new catalog and functionality:

“GREAT beginning. THANKS for stepping forward in today’s environment and bringing America’s history into the 21st Century. Really appreciate all your efforts.”

“I’m really enjoying becoming acquainted with OPA, and I’m glad to see an effort at bringing all the different ways to search NARA holdings into one interface.”

“Thanks for trying to make the information at the Archives more accessible.”

“I tagged a few pictures and the list about the submission was great... I think this is awesome!”

In the next two years, we will continue to improve the online public access experience, by exploring:

- Displaying citizen-contributed transcriptions and metadata,
- Evolving the online public access system into a platform,
- Developing useful application programming interfaces (APIs), and
- Making the records of the National Archives more accessible for possible data mining.

4. Strengthen Transparency at the National Archives

The National Archives and Records Administration (NARA) will seek to strengthen the principles of open government and transparency by:

- Engaging the developer community, making available datasets and proactively releasing information;
- Committing to writing new content in plain language;
- Strengthening records management for the agency's records;
- Strengthening the implementation of the Freedom of Information Act (FOIA) at the National Archives;
- Maintaining NARA's Open Government web page, and
- Informing the public of our progress.

4.1 Developers, Datasets and Proactive Release of Information

Engaging the Developer Community

The National Archives and Records Administration (NARA) is interested in engaging the community of developers who are interested in utilizing datasets, application programming interfaces (APIs), and open source software that we've made available. The National Archives will launch a "Developers" webpage at <http://www.archives.gov/developers> to centralize information relevant to the developer community. This new webpage will be modeled off of the webpage dedicated to developers at the FCC (<http://www.fcc.gov/developers>), and include the following resources currently available from the National Archives:

- Datasets and tools available on Data.gov
- The Federal Register API
- The Flickr API
- Software development repositories:
 - NARA File Analyzer
 - NARA Video Frame Analyzer
 - AVI-MetaEdit
 - MediaInfo



Additionally, we are interested in sharing a customized Drupal module utilized in the National Archives Transcription Pilot Project.

The new "Developers" webpage and efforts to engage the developer community will aid our ongoing conversation about the role of open data, open source, and APIs at the National Archives. These efforts will also support our implementation of the May 23, 2012 Digital Government Strategy, "Building a 21st Century Platform to Better Serve the American People," so that we can better serve the American people using emerging technologies.

Available and Future Datasets

The National Archives maintains an inventory of all available datasets at <http://www.archives.gov/open/available-datasets.html> and [Data.gov](http://www.data.gov), the interagency website that provides public access to datasets and tools generated by Federal agencies. Although access to "raw" data is not necessarily helpful to all members of the public, it is made available for developers and researchers, who can download, mashup, and develop useful presentations of the data.

The following datasets are currently available:

- **Code of Federal Regulations (CFR), 1996-Present**
The CFR contains all of the general and permanent regulations of the United States Government, and affects nearly every aspect of life in the United States. The datasets are divided into 50 titles that represent broad areas subject to Federal regulation. These datasets are available for download in XML at <http://www.archives.gov/open/dataset-cfr.html>.

- **Federal Register, 2000-Present**

The daily Federal Register is the official legal newspaper of the United States Government. The publication documents regulatory action and policies of Federal agencies that affect the rights and obligations of citizens, announces grants, benefits, and educational opportunities, and provides a forum for participation in the democratic process. Each dataset contains about 250 individual issues of the Federal Register. Within each issue is a record of the agency rules, proposed rules, and public notices issued that day, as well as Executive orders and other presidential documents. These datasets are available for download in XML at <http://www.archives.gov/open/dataset-fedreg.html>.

- **Archival descriptions from the Archival Research Catalog (ARC)**

This dataset provides archival descriptions of the permanent holdings of the federal government in the custody of the National Archives and Records Administration (NARA). The archival descriptions include information on traditional paper holdings, electronic records, and artifacts. This dataset is available for download in XML at <http://www.archives.gov/open/dataset-arc.html>.

- **Organizational descriptions from the Archival Research Catalog (ARC)**

This dataset contains a highly detailed presentation of the evolution of names and administrative histories of Federal and non-Federal organizations. Organizational descriptions are used by the National Archives to track the organization that created records and as a source of access points for indexing archival descriptions. This dataset is available for download in XML at <http://www.archives.gov/open/dataset-org.html>.

- **United States Government Manual**

As the official handbook of the Federal Government, the United States Government Manual provides comprehensive information on the agencies of the legislative, judicial, and executive branches. It also includes information on quasi-official agencies; international organization in which the United States Participates; and boards, commissions, and committees. This dataset is available for download in XML at <http://www.archives.gov/open/dataset-govmanual.html>.

- **Public Papers of the Presidents of the United States**

The Public Papers of the Presidents series contains Presidential writings, addresses, and remarks issued by the Office of the Press Secretary. Currently, volumes are published approximately twice a year and each volume covers approximately a 6-month period. This dataset is available for download in XML at <http://www.archives.gov/open/dataset-presidentpaper.html>.

The following datasets will be made available:

- **Archival Research Catalog (ARC) Performance Measures**

This data represents the percentage of holdings described in ARC, including traditional holdings, artifacts, and electronic holdings. This dataset will utilize the next generation Data.gov display to provide visualization capabilities beyond bulk download.

- **Executive Orders**

Executive orders (E.O.) are official documents, numbered consecutively, through which the President of the United States manages the operations of the Federal Government. This material includes E.O. title, URL, and editorial notes (amendments, revocations, corrections, and cross references), beginning with the William J. Clinton administration. This dataset will be available for download in CSV.

Proactive Release of Information

The National Archives and Records Administration (NARA) also seeks to proactively release operational records to increase the level of transparency the public has into the working of the agency. NARA has made available online both the bi-weekly calendars of the Archivist of the United States and agencies' records control schedules.

Additionally, operational records can be found on NARA's Freedom of Information Act (FOIA) Electronic Reading Room available at <http://www.archives.gov/foia/electronic-reading-room.html>. This page is updated to include information routinely available to the public as well as frequently requested under the Freedom of Information Act. For more information about the implementation of the Freedom of Information Act at the National Archives please see section 4.4 of this plan.

Archivist's Calendar

The Archivist of the United States, David S. Ferriero's bi-weekly calendar is published to promote transparency and open government at the National Archives. You can expect to find major calendar items by date, including attendees and their affiliation. Bi-weekly calendars are available starting December 27, 2010 through the present on the Blog of the Archivist of the United States at http://blogs.archives.gov/aotus/?page_id=2175.

Records Schedules

In 2010, NARA began to make records schedules available online through the Records Control Schedule repository available at <http://www.archives.gov/records-mgmt/rcs/>. The repository provides access to scanned versions of records schedules or Standard Form 115, Request for Disposition Authority, which have been developed by Federal agencies and approved by the Archivist of the United States. The repository includes images of all post-1973, unclassified records schedules. Also included are records schedules that have been closed without further action, or withdrawn, and are not approved by the Archivist of the United States. Newly approved records schedules are published weekly.

4.2 Plain Writing at the National Archives

President Obama signed the Plain Writing Act on October 13, 2011. The act requires Federal agencies to write "clear Government communication that the public can understand and use." The Plain Writing Act of 2010 calls for writing that is clear, concise, well-organized, and consistent with other best practices appropriate to the subject or field and intended audience. Such writing avoids jargon, redundancy, ambiguity, and obscurity.

At the National Archives, the Archivist established the Plain Writing Working Group to help NARA staff use plain language in their communications with the public. Although plain writing is certainly not a new concept, at the National Archives we know that we need to be clear and understandable so that our customers can use forms and web pages without getting lost and frustrated.

The Plain Writing Working Group has:

- Trained 60 NARA staff in plain language;
- Developed an internal plain writing web page that provides resources and training for NARA staff on plain language;
- Developed an external plain writing web page that provides our implementation plan for plain language and solicits comments from the public on NARA's communications;
- Posted several internal blog posts on plain writing for NARA staff; and
- Reviewed the National Personnel Records Center Survey of Customer Satisfaction and will use this survey as a customer feedback tool for plain language.

Additionally, the Plain Writing Working Group is:

- Developing an online 'introductory plain language' course for all employees;
- Reviewing documents that military veterans read when requesting records from NARA;
- Updating the agency's Style Guide to include plain writing techniques, guidelines, and examples; and
- Writing newsletter articles on plain language techniques training that will be provided to NARA writers and editors.

To learn more about plain writing at NARA visit <http://www.archives.gov/open/plain-writing/>.

4.3 Records Management at the National Archives

As part of the National Archives and Records Administration (NARA) transformation and reorganization in Fiscal Year 2011, NARA reassigned the agency records management program to the Office of the Chief Operating Officer. This move recognized NARA's need to create a model program to serve as a leader for the Federal Government. NARA's Corporate Records Management program is led by a GS-15 Certified Records Manager and includes six professional staff.

In Fiscal Year 2012, NARA will establish and begin operating a new Records and Information Management Network including more than 150 Information Management Officers covering each functional area of the agency. One or more Records

Custodians supports each Information Management Officer. The Information Management Officers and Records Custodians have clearly stated recordkeeping responsibilities and competencies. NARA expects each Information Management Officer and Records Custodian to devote approximately 10 percent of their time to managing records. The Corporate Records Management staff will provide guidance, training, leadership, and tools to support the Records and Information Management Network. During the second half of Fiscal Year 2012 and into Fiscal Year 2013, Corporate Records Management and the Records and Information Management Network will initiate a focused, ongoing effort to dramatically improve NARA's own records management program. We will:

- Assess and benchmark the current recordkeeping situation,
- Train each Information Management Officer and Records Custodian,
- Produce and maintain an inventory of all records and information
- Create detailed file plans for each functional area,
- Develop new "big bucket" records retention and disposal schedules, and
- Use records schedules to periodically move inactive records to low cost storage, and properly dispose of obsolete records.

The Corporate Records Management staff will provide guidance, training, leadership, and tools to support the Records and Information Management network in a focused, ongoing effort to dramatically improve records management in the agency.

We plan to use information technology tools to bolster collaboration and communications. We believe that new internal controls in combination with these technologies can help modernize our program and maximize its effectiveness.

Internal Controls

The Information Management Officers and Records Custodians will use web-based tools to execute records management processes such as populating and maintaining a central records inventory database, populating forms and checklists for analyzing record value, etc.

Corporate Records Management will establish a portal where all NARA staff can view progress and performance at-a-glance for each functional area.

Technology

We will use NARA's new Internal Collaboration Network, SharePoint, NARA's intranet, and other tools to support work of the Information Management Officers and Records Custodians.

Plan for Addressing Specific Recordkeeping Challenges

Email Management

In 2011, Corporate Records Management conducted a pilot project known as the Email Bridge. While capturing Senior Executives' daily email, we tested various scenarios to gather requirements for future processes to capture and maintain permanently valuable Senior Executives' email. The participants included NARA Senior Executives who tested different scenarios including:

- Reviewing and deleting non-record email and filing record email in a records management application,
- Deleting non-record email and the allowing the remaining email to be auto-filed as records,
- Watching as all email was auto-filed without the opportunity for deletion, and
- Using search to help clean up email before it was either automatically or manually filed.

The scenarios tested indicated that most Senior Executives do not have the time to clean up their email, and many non-records were captured.

In 2012, Corporate Records Management will develop and test automated email cleanup rules, and guide NARA staff in using technology to clean up and manage email.

Social Media

In 2011, Corporate Records Management conducted an inventory and survey of NARA's internal social media sites. We developed a white paper with "big bucket" scheduling recommendations. In 2012, we have interviewed all owners of NARA's internal wikis and blogs. We will begin testing capture tools such as PDF writers and harvesters, and we will test our "big bucket" scheduling recommendations. We will include all Social Media sites in our records inventory and work with Information Management Officers and Records Custodians to manage social media records as we manage all other media and formats at NARA.

Deploying Cloud Based Services or Storage Solutions

NARA's Corporate Records Management provides recordkeeping requirements for cloud-based systems. We have been working closely with NARA product-owners to ensure adequate recordkeeping for cloud-based applications.

Cleaning Up Shared Drives

Throughout Fiscal Year 2011, Corporate Records Management led an agency-wide shared drive cleanup project that helped inform NARA's Bulletin 2012-02, Guidance on Managing Content on Shared Drives <http://www.archives.gov/records-mgmt/bulletins/2012/2012-02.html>. Corporate Records Management will implement the guidance in this bulletin by implementing a repository for managing electronic records on our network, implement policies for maintaining the clean shared drives, and experimenting with auto-categorization technologies to expand from enterprise cleanup to enterprise content management.

4.4 Freedom of Information Act at the National Archives

<http://www.archives.gov/foia>

At the National Archives and Records Administration (NARA), we understand that the effective implementation of the Freedom of Information Act (FOIA) is a critical component of open government. NARA's staff, at all levels of the agency, is committed to improved compliance with the statute and the spirit of openness established by existing policy. Our primary goals are to expand our ability to act on FOIA requests in a timely manner, actively work to decrease our backlog of pending requests, find workable solutions to facilitate the prompt review of classified records by agencies that have interests in the records, work with the Office of Government Information Services to mediate or resolve issues that prevent NARA's ability to fully process a pending request, and proactively disclose information that is of interest to FOIA requesters and the research community at large.

NARA has been responding to public access requests for government information since long before the FOIA was enacted. NARA accepts FOIA requests for the operational records that NARA creates while conducting government business as well as the accessioned archival records that NARA receives and maintains from all Executive branch agencies as part of the National Archives of the United States. NARA also accepts FOIA requests for Presidential and Vice Presidential records subject to the Presidential Records Act. Most, but not all, of our holdings are Executive branch agency Federal records and Presidential records that are now subject to the FOIA. Using the principles and processes embodied in FOIA, NARA makes available to the public these archival holdings. In the vast majority of situations, FOIA requests are not necessary to access these records. Additionally, NARA discloses on our website descriptive information concerning our holdings, publicly available electronic records, and digital images of open materials.

When a FOIA request is submitted for access to archival records, in the vast majority of situations, the records being requested have already been reviewed by an archivist when they were received by NARA. During this initial processing stage, archivists determine whether records can be immediately made available to the public, or whether by withholding whole pages or folders from a box of records, the majority of the records in the a box may be made available. If an archivist has reviewed a box and determined the records remain so sensitive that a line by line review of the information is required prior to release, then a researcher seeking such a review must make a FOIA request.

Archival Records

NARA's recent reorganization has had an impact on which offices receive FOIA requests for access to archival records. We now have a single Office of Research Services that oversees the archival holdings from federal agencies in Washington, DC and

all of our regional archives. Presidential libraries continue to process FOIA requests separately, under the auspices of the Office of Legislative Archives, Presidential Libraries and Museum Services. Initial requests for access to records continue to be tracked and processed by the components of NARA having custody of the records. This process allows requests to be handled by the individuals who are most familiar with the records and who are best suited to talk with FOIA requesters about those records.

The Office of Research Services leads the way in making permanent federal records from government agencies available to the public. This office is responsible for planning, directing, and coordinating a comprehensive program to review materials in the National Archives Building in downtown Washington, the National Archives at College Park, MD and at Regional Archives throughout the country. The Office of Research Services processes FOIA requests for some of NARA's most sensitive historical records. This office also participates in interagency programs to develop government-wide regulations for the declassification of security classified materials. In addition, the office conducts numerous "special reviews" to facilitate research of restricted materials for visiting researchers.

In Fiscal Year 2011, the Washington office of the Office of Research Services received 946 FOIA requests and completed processing of 419. Of those there was an on-time completion rate of 33 percent. The regional offices in Research Services received 360 FOIA requests, while the National Declassification Center alone received 408. For more information about the NDC, see Section 5.4 of this plan.

Since 1999, when NARA started to measure FOIA performance, Research Services has answered an average of 44 percent of the FOIA requests it receives within the statutory 20 working days. The completion rate fluctuates with the volume of incoming FOIA requests, including the number of simple FOIA requests that can be quickly moved through the processing queue, compared to the number of complex requests that take much longer to process (those requiring additional review time based on the large number of responsive records or when addressing classification or other issues). Moreover, as described in more detail below, NARA's control over many of these requests is limited because we must refer requests for classified records to the originating agencies for declassification review.

Among NARA's regional archives is the National Personnel Records Center (NPRC) in St. Louis, MO, which maintains both the civilian and military personnel records for the entire Federal Government. Official Military Personnel Files (OMPFs) comprise the single most requested group of records at NARA. In Fiscal Year 2011, the NPRC received 15,902 FOIA requests and processed 15,712. Of those, 15,078 were completed within 20 working days, a completion rate of 94.8 percent. Some FOIA requests for military records take considerably longer than the 20 working day standard if the request is for a record that was destroyed in the 1973 fire at the NPRC and the data must be reconstructed from other sources, or if the record has been borrowed by another agency.

The Office of Presidential Libraries administers NARA's nationwide network of Presidential libraries. The Presidential libraries are not traditional libraries, but rather archival depositories that preserve and make available the records and other historical materials of presidents since Herbert Hoover. Until the Presidential Records Act of 1978 (PRA) went into effect at the beginning of Ronald Reagan's term, materials at the libraries were donated personal property, which are not subject to the FOIA. (The Nixon historical materials are governed by a special statute, the Presidential Recordings and Materials Preservation Act, and are also not subject to FOIA.) Each library may also contain a small amount of Executive branch agency records that are subject to the FOIA.

Presidential records at the Ronald Reagan, George H. W. Bush, William J. Clinton, and George W. Bush Libraries are subject to the Presidential Records Act, which incorporates the FOIA with several variations. The PRA applies to the official records of Presidents, Vice Presidents, and their staffs. The PRA, however, restricts all public access to Presidential records for the first five years after the end of an administration, at which time the public can seek access the records through FOIA. In addition, for the first 12 years, the PRA allows the President to invoke as many as six specific Presidential restrictive categories, along with eight of the nine FOIA exemptions to public access, and there is no judicial review of denied requests. After twelve years, regular FOIA procedures apply, except that the (b)(5) exemption is not available. In addition, the Presidential Records Act establishes procedures for Congress, courts, the incumbent administration and the former President to obtain special access to records that remain closed to the public.

Requests for records under the Presidential Records Act are also subject to the requirements of Executive Order 13489 on "Presidential Records" (issued January 21, 2009). This order, like its two predecessor orders, requires that NARA inform both the incumbent and former Presidents of NARA's intent to release any Presidential records in response to a pending FOIA or any other request for access. This notification gives the incumbent and former Presidents an opportunity to decide whether or not to invoke Executive privilege over the records. The review period authorized by Executive Order 13489 begins after all

review decisions, including classification issues, have been resolved by NARA and other agencies, and the reviewed records are proposed for opening to the public.

During Fiscal Year 2011, Presidential libraries received 230 Presidential Records Act/FOIA new requests and completed 239 (including carry-over from prior years). Of these, 27 were completed within 20 working days, for an on-time completion rate of 11.7 percent. The libraries' low on-time rates are attributable to many factors, including compliance with Executive Order 13489, the volume of incoming requests, the size of the library staff, the overwhelmingly large volume of FOIA requests submitted upon the five-year point that a new library becomes subject to FOIA (the Clinton Library received FOIA requests requiring us to process 9 million pages within the first week of Clinton Presidential records being subject to FOIA), and the complex process required for declassification review and consultations with other agencies. The libraries continue to emphasize the importance of providing an initial response to FOIA requests within 20 working days, providing information concerning expected processing times. However, with long backlogs at each of the libraries and the increasing numbers of requests, it is extremely difficult to meet the statutory time limits for FOIA processing.

NARA's Operational Records

FOIA requests for NARA's operational records are processed by the Office of General Counsel, the Office of the Federal Register, and the Office of the Inspector General. NARA performs extremely well with regard to processing FOIA requests for its operational records within 20 working days. During Fiscal Year 2011, NARA received 269 FOIA requests for access to operational records. NARA completed processing 260 requests in that same time period, including 221 requests within 20 working days, for an on-time completion rate of 82 percent. Since 1999 NARA has answered, on average, 86 percent of all FOIA requests received for operational records within 20 working days. When compared to other executive branch agencies with similar FOIA workloads, NARA does an exceptional job in processing requests within the statutory time limits.

Effective System for Responding to Requests

FOIA requests at all NARA facilities are received via mail, e-mail or fax. Misdirected FOIA requests are routed to the appropriate office for tracking and processing within 10 working days, as mandated by the OPEN Government Act. As described below, tracking methodology varies by available technology in the NARA office responsible for processing the incoming FOIA request.

The Offices of Research Services and Agency Services utilize the Archives Declassification, Review and Redaction System (ADRRES), which automates case tracking and the process of reviewing and redacting sensitive and classified materials in response to FOIA and other legal mandates. ADRRES is an automated records repository that allows staff to scan records into a FOIA case file, conduct electronic redaction, and track the request. The system also contains a search function that facilitates the production of statistical information concerning FOIA requests used for regulatory and compliance reporting. NARA also uses an unclassified version of ADRRES, the Unclassified Redactions and Tracking System (URTS). Both systems have automated the FOIA review process by allowing staff to conduct automated reviews of requested documents. While both offices have the advantage of automated FOIA processing, the challenge of an ever increasing work load in comparison to available resources to process incoming requests must still be overcome.

Each presidential library has a database linked to the NARA Performance Management and Reporting System (PMRS) for tracking statistical information concerning incoming FOIA requests performance and for annual reporting purposes. In addition, the Reagan, George H. W. Bush, and Clinton Presidential Libraries have the Presidential Electronic Records Library (PERL) system, which contains both presidential electronic records and finding aids created by the White House. These databases include document-level metadata for incoming and outgoing correspondence that was tracked during each administration by the White House Office of Records Management, which is helpful in finding documents that are responsive to FOIA requests. Electronic records created during the George W. Bush Administration are stored in NARA's Electronic Records Archive and also contain finding aids at the document and/or folder level for millions of textual records created during the administration. These finding aids will be equally helpful in identifying responsive documents when George W. Bush Presidential records become subject to FOIA on January 20, 2014.

Each regional facility receives and processes its own FOIA requests. The vast majority of FOIA requests received outside of the Washington, D.C. area are for Official Military Personnel Files (OMPFs), which are processed by the NPRC in St. Louis. Accordingly, NARA created a Case Management Reporting System (CMRS), which allows for electronic tracking of all requests for OMPFs. At the NPRC, all requests pertaining to military veterans are entered into this database and then tracked and processed. All new cases are received electronically or converted to electronic images upon receipt.

This system also makes it possible to obtain various kinds of analytical data about FOIA requests. Since the implementation of the system, FOIA performance has drastically improved. In Fiscal Year 2003, 60 percent of FOIA requests for military records were completed in 20 working days. By Fiscal Year 2005, the completion rate was 84 percent. As of March 2012, the rate was 91 percent.

To process the relatively small volume of FOIA requests for NARA’s operational records, NARA has a simplified automated tracking system, using a Microsoft Access database, which allows NARA to maintain control over the FOIA workload and capture statistical information necessary to comply with annual reporting requirements related to FOIA processing. The volume of requests and the nature of the information contained in NARA operational records make this the most feasible method. NARA logs each request it receives and provides a data feed concerning each request to the PMRS, which monitors the processing of FOIA requests against the goals outlined in the annual performance plan. The Chief FOIA Officer and NARA office heads use the data in PMRS to monitor processing, assess the backlog, set priorities and determine areas for improvement in the process. NARA’s current goal is to process 90 percent of FOIA requests within 20 working days. In the first quarter of Fiscal Year 2012, 100 percent of requests for NARA operational records were processed within the 20 working days.

FOIA Processing and Backlogs

NARA continues to work toward a reduction of its backlog of pending FOIA requests. NARA’s 2011 Annual FOIA Report shows that our FOIA backlog grew by 947 requests. Note, however, that NARA received 18,129 requests in Fiscal Year 2011, an increase of 2,348 requests over the 15,781 requests received in Fiscal Year 2010. Even with the increase in incoming requests, NARA managed to process 1,609 more requests in Fiscal Year 2011 than in Fiscal Year 2010.

While NARA has made strides to enhance performance on the processing of FOIA requests, we are still faced with significant challenges. Like many government agencies, NARA faces budgetary and staffing limitations that impede our ability to meet FOIA goals.

A breakdown of our current work of pending FOIA’s is outlined below by NARA office:

NARA Office	FOIA Backlog as of 3/9/12
Research Services	3,201
Office of Presidential Libraries	1,522
Agency Services	2,198
Operational Records	22
All NARA Offices	6,943

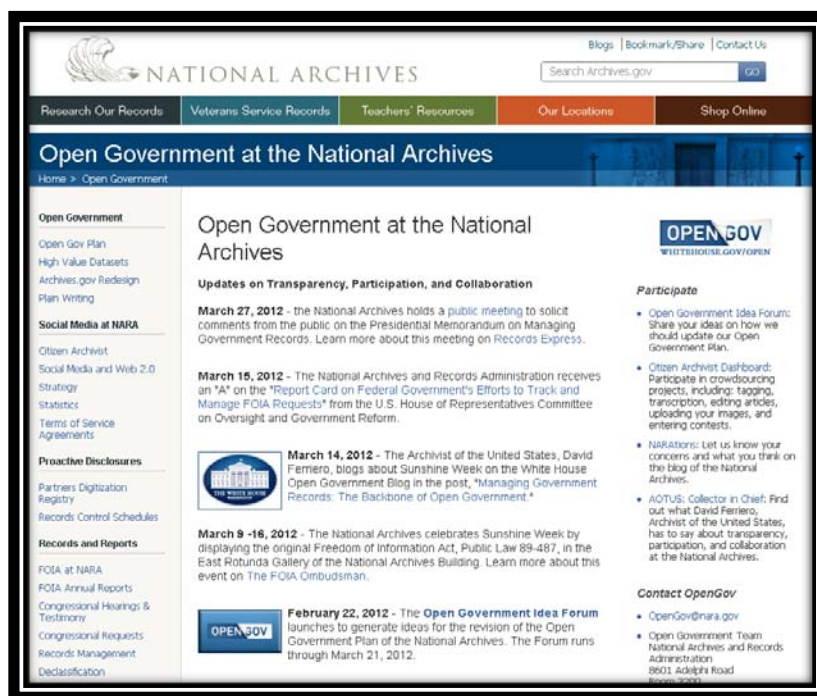
Learn More

Information concerning NARA’s FOIA program can be found on our website at <http://www.archives.gov/foia/>. For information about the Office of Government Information Services, the FOIA Ombudsman, please visit section 5.2 of this plan.

4.5 Other Transparency Measures at the National Archives

Open Government Web Page

The National Archives reports progress and upcoming events related to open government on Archives.gov available at <http://www.archives.gov/open>. The page will be refreshed on a continual basis to inform the public of updates, milestones, events, publications, blog posts and opportunities for public participation. The web page serves as a gateway for open government activities at the National Archives related to the Freedom of Information Act, records management, digitization, social media, plain writing, Archives.gov redesign, and all datasets available on Data.gov. All previous versions of NARA’s Open Government Plan can be found at <http://www.archives.gov/open/open-plan.html>.



NARA's Open Government Web Page at Archives.gov/open

Informing the Public of Our Progress

Strengthening transparency at the National Archives requires active communication of our progress to the public. We will strive to communicate in an efficient and clear way the major milestones and significant actions and business of our agency. We will make announcements in both traditional ways and through social media to encourage two-way communication with the public. While social media is an important and highly interactive way to engage the public, we also realize that more traditional forms of media are sometimes better at reaching members of the public who do not have immediate access to the Internet. A few examples of actions that will be communicated with the public include:

- Significant acquisitions of records
- Releases of previously unavailable material
- Approved agency-specific disposition authorities and the Government-wide General Records Schedules
- Partnerships with outside organizations to increase access to archival material
- Changes in research room procedures
- Changes in visitor/researcher policies
- Temporary closures of records when records are being moved from one facility to another
- Changes to fees charged for some services
- Announcements of conferences, symposiums, exhibits
- Appointments of senior staff
- Availability and awards of grant funds

We use a number of means to communicate with the public, from face-to-face meetings to social media. NARA encourages public feedback through Facebook, Twitter, Tumblr, YouTube, e-mail, blogs, and regular mail.

Press releases and on-site press briefings publicize NARA actions and programs through the news media. All press releases are also posted on Archives.gov so that they are available directly to the public. High-level news is announced on the front page of Archives.gov.

We will continue to hold public meetings, such as those held on researcher room changes, to facilitate immediate exchange of ideas. We are also investigating web chat possibilities for communicating with the public.

NARA's Facebook sites reach the public at large, as well as targeted audiences. On our public and research pages, we will make announcements about agency-wide actions and developments. Facebook pages maintained by our regional archives and

Presidential libraries as well as those relating to the National Historical Publications and Records Commission and the Federal Register will maintain their specialized audiences informed of particular developments in their areas.

Through our NARAtions blog (<http://blogs.archives.gov/online-public-access>), we converse with researchers about issues relating to access to records (both traditional and digital) and the research experience. A Washington, DC, subgroup of NARAtions reaches those concerned about research rooms in the Washington area.

The Pieces of History blog (<http://blogs.archives.gov/prologue/>) is the online extension of Prologue magazine, a traditional print publication that tells the public about our holdings, staff research in our holdings, and upcoming programs and events.

Through our Records Express blog (<http://blogs.archives.gov/records-express/>), we provide the latest information regarding Government-wide records management activities.

Compliance with Transparency Initiative Guidance

The National Archives and Records Administration (NARA) publishes the annual E-Government report in compliance with the E-Government Act of 2002. NARA will continue to prepare the E-Government Act report and make it available publicly at <http://www.archives.gov/about/plans-reports/e-gov/>.

Responding to Congressional Requests

The Congressional Affairs Office of the National Archives serves as the principle point of contact with Capitol Hill and can assist offices with constituent concerns or questions regarding agency policy and procedures. To learn more about the Congressional Affairs Office please visit <http://www.archives.gov/congress>.

5. Provide Leadership and Services to Meet 21st Century Needs

5.1 Records Management: The Backbone of Open Government

(<http://www.archives.gov/records-mgmt/>)

The backbone of a transparent and accountable government is good records management. To put it simply, the Government cannot be accountable if it does not preserve – and cannot find – its records. Across the Government we are falling short in our records management responsibilities, particularly in regard to the exponential growth in electronic records. The long-term success of the Open Government Initiative – and the future of the National Archives – hinges on the ability of each Federal agency to effectively manage its records. At the National Archives and Records Administration (NARA), our records management approach is grounded in these three principles:

- Federal agencies must economically and effectively create and manage records necessary to meet business needs.
- Federal records must be kept long enough to protect rights and assure accountability.
- Federal records of archival value must be preserved and made available for future generations.

Office of the Chief Records Officer

The National Archives has established a Chief Records Officer for the United States Government. This position leads records management throughout the Federal Government, with an emphasis on electronic records, and assesses the effectiveness of Federal records management policies and programs. In addition, the Chief Records Officer is responsible for:

- Issuing Federal records management policy and guidance;
- Ongoing liaison with the Office of Management and Budget, Congress, the Chief Information Officer (CIO) Council and other external stakeholders on records management issues; and
- Serving as an ombudsman between agencies and the Archivist of the United States to ensure that NARA and the agencies we serve meet our statutory mandates and records management requirements.

The long-term success of the Open Government Initiative hinges on the ability of each Federal agency to effectively manage its records.

In support of these efforts is the staff of the Office of the Chief Records Officer made up of around 100 full-time staff members located in the Washington, DC, area and around the country. These records and information management professionals actively work with the Federal records officers in over 250 different Federal agencies across the Federal Government. The Office of the Chief Records Officer staff members:

- Develop electronic records management policy and guidance for Federal agencies;
- Provide records management training to Federal records officers, IT professionals, legal counsels, program managers, and private contractors who provide records management services to Federal agencies;
- Conduct studies and analyses of recordkeeping practices in Federal agencies so others can learn best practices and avoid the costly mistakes of others;
- Work with Federal records officers to conduct self-assessments of their agencies' records management programs, using the Archivist's statutory authority to conduct inspections and report findings to the appropriate oversight committees and the Office of Management and Budget; and
- Work with Federal records officers to schedule and appraise the records that each agency creates to ensure adequate and proper documentation of our Government's actions.

This statutory authority – to grant Federal agencies disposition authority to manage their records – is the most important responsibility of the Archivist of the United States because it determines what records will come to the National Archives for preservation and access by future generations.

Records Schedules

During this process, a Request for Disposition Authority, or "records schedule," is completed by the agency and approved by NARA. The records schedule contains descriptions of records series (a grouping of related records) or systems and disposition instructions for each. These disposition instructions specify when each series is cut off, when records are eligible to be moved to off-site storage, when temporary records must be destroyed or deleted and when permanent records are to be transferred to NARA. In February 2010, NARA unveiled a new portal on its web site that provides scanned images of all post-1973, unclassified, NARA-approved records schedules. For the first time, these records can be seen on the National Archives Records Control Schedule web site at <http://www.archives.gov/records-mgmt/rcs>. Newly approved schedules are posted weekly. This site was created as a way for NARA to respond to requests for greater transparency in records scheduling from some public interest groups.

Ensuring Open Government Values are Realized

Given that the central values of open government are transparency, participation, and collaboration, and that records management is the backbone of open government, the central question is:

What is needed to ensure that the open government values are realized and that NARA's mission is accomplished, at least with respect to Federal records management?

Heads of agencies and senior leaders across the Federal Government need to understand that the records and information they and their organizations are creating are national assets that must be effectively managed and secured so that the public can be assured of the authenticity of the record. Heads of agencies and senior leaders need to be held accountable for managing these assets. Not only is it required by law in the Federal Records Act; effective records management – adequate and proper documentation of the Federal Government's activities and transactions – is good government and a necessary condition of an open government. Today, Federal agencies are not doing an effective job managing their records and other information assets to meet their business needs, to protect rights or assure accountability for the citizen or the Federal Government itself, or to ensure records that document the national experience are preserved and made available for future generations in the National Archives.

Developing a 21st-Century Framework for Records Management

On November 28, 2011, President Obama issued a Presidential Memorandum on Managing Government Records. This Memorandum marked the start of an executive branch-wide effort to reform records management policies and practices. Improving records management will improve performance and promote openness and accountability by better documenting agency actions and decisions.

This initiative was mentioned in the U.S. National Action Plan. The plan said that:

This initiative will recommend reforms and require reporting on current policies and practices. The initiative will consider changes to existing laws and ask how technology can be leveraged to improve records management while making it cost-effective. The initiative will seek a reformed, digital-era, government wide records management framework that promotes accountability and performance.

This Memorandum requires that by July 31, 2012, the Archivist of the United States, in coordination with the Director of OMB and the Associate Attorney General, issue a Records Management Directive outlining a 21st century framework for managing government records. In addition to this, we are currently undertaking a review of the relevant statutes, regulations, and official guidance to identify opportunities for reforms that would facilitate improved Government wide records management practices, particularly with respect to electronic records. Working with the Office of Management and Budget and the Department of Justice, we will present to the President the results of this review to facilitate potential updates to the laws, regulations, and policies governing the management of Federal records.

In support of the Presidential Memorandum, NARA conducted two active calls for participation from the public. NARA launched an IdeaScale site to solicit input. Records and information professionals, vendors, and the general public provided ideas for improving the management of Federal records. Ideas were generated in the six categories specified by the President in the Memorandum:

- Creating a government-wide framework,
- Promoting practices that enable agencies to fulfill missions,
- Maintaining accountability through documentation,
- Increasing open government and access,
- Supporting agency compliance, and
- Transitioning from paper to electronic when feasible.

In addition to submitting ideas, users of the site provided comments and voted on ideas submitted by others. The IdeaScale site ran from March 6 through April 13 2012.

We also hosted an open meeting on March 27, 2012 to solicit public comments in response to the Presidential Memorandum on Managing Government Records. The Memorandum directs the Archivist of the United States, in coordination with the Director of the Office of Management and Budget, to consult with those inside and outside of the government interested in improving records management and open government. This meeting primarily focused on gathering input from the public interest community, from the vendor/IT community, and from members of the public at large. Comments and suggestions received by NARA and the Office of Management and Budget will help inform the Records Management Directive that will be issued later this year.

Cause for Concern

The National Archives will send to Congress and the Office of Management and Budget a report based on analysis of data from annual agency self-assessments based on compliance with records management requirements in the Federal Records Act, the E-Government Act of 2002, and related regulations. The analysis of the three self assessments conducted in 2009-2011 shows on average 88 percent of reporting agencies have a moderate to high level of risk associated with their records management programs, particularly electronic records management. These levels of risk in agencies are a great concern. One of the central ways to begin to deal with this risk is to make the case that records and information are national assets essential for transparency in an open government, and then hold heads of agencies and senior leaders accountable for their management and protection.

In addition to the records management self-assessment data, NARA reports annually to Congress and the Office of Management and Budget on the status of other records management activities for which NARA has oversight responsibility. These activities include:

- Inspecting the records management programs of Federal agencies,
- Scheduling and transferring electronic records to NARA, and
- Reporting on allegations of unauthorized disposition of Federal records.

NARA documents these activities in the annual Performance and Accountability Report (PAR). To review the data on these activities for Fiscal Year 2011, please see pp. 89-96 of the PAR at <http://www.archives.gov/about/plans-reports/performance-accountability/2011/index.html>.

Electronic Records Management

NARA will also continue to provide a wide variety of electronic records management guidance and best practices for Federal agencies in order to assist them in addressing these identified deficiencies. In previous years, we have issued guidance on such topics as Web 2.0, Cloud Computing, and Managing records on Shared Drives. In addition, we have conducted studies of agencies' use of Web 2.0 tools and will provide further guidance to Agency Heads regarding the recordkeeping impacts of the use of these technologies as these technologies evolve. All of the resources that we develop, as well as those best practices that we identify from around the world are aggregated in our Toolkit for Managing Electronic Records, available at <http://toolkit.archives.gov>. This web resource provides hyperlinks to guidance products developed by NARA and other organizations.

As agency heads and senior leaders are held accountable for managing their records and information, they also must work with the National Archives, the General Services Administration, and the Office of Management and Budget, as well as with groups like the CIO Council, the Federal Records Council, and the Federal Web Managers Community, to develop the IT tools necessary to manage electronic records in cost effective ways. The technical challenges associated with developing the IT tools for records management are significant; however, these tools do not exist today because heads of agencies and senior leaders across the Federal Government have not been held accountable in meaningful ways for meeting their Federal records

and information management obligations. The Federal Government spends over \$70 billion annually on information technology, most – if not all – of which create or receive Federal records in some form. Developing cost-effective electronic records management tools that work – and then integrating them into agency IT systems – is essential to managing this national asset.

Toward this end, we look forward to building on existing work done by the leading information policy agencies like the Office of Management and Budget and the General Services Administration – as well as formal advisory or policymaking groups like the CIO Council, the Federal Records Council, and others – to increase visibility and raise accountability around the electronic records management issue. With these other agencies and groups, NARA will take a leadership role finding and developing the cost effective IT solutions needed to meet the electronic records management challenges found in Federal agencies today.

5.2 Freedom of Information Act - Office of Government Information Services (OGIS)

(www.ogis.archives.gov)

The Office of Government Information Services (OGIS) began operations at the National Archives in September 2009, with a mission to provide services to mediate disputes between Freedom of Information Act (FOIA) requesters and Federal agencies, to review policies and procedures of administrative agencies under FOIA, to review agency compliance with FOIA, and to recommend policy changes to the Congress and President to improve the administration of FOIA. Through its mediation program, OGIS directly contributes daily to encouraging public participation and collaboration.

Among its activities to improve the FOIA process, OGIS is in partnership with the Environmental Protection Agency (EPA) and the Department of Commerce to build a multi-agency “FOIA Module.” The Module is a portal through which the public will be able to make FOIA requests; it will automate FOIA processing and reporting; and it will store and provide access to FOIA requests and agency responses in a virtual repository. The partners have been meeting with both agency FOIA professionals and requesters to refine the portal’s capabilities, with a planned launch date of October 1, 2012.

Additionally, OGIS has helped to organize a group of FOIA and Information Technology (IT) professionals who are sharing ideas and making plans about new ways to apply existing technology to improve the FOIA process. Through the FOIA IT Working Group formed in October 2011, items being discussed include:

- Ways to collect the IT requirements of FOIA professionals and communicate those to the companies that create products for this audience;
- Technologies that agencies now use that can be re-purposed for FOIA (such as using the Intelink intranet to streamline consultations and referrals);
- Increasing participation in the [FOIA Module](#) and helping agencies recognize the potential benefits and cost savings of this effort; and
- Applying this group’s unique knowledge to FOIA issues such as database requests and releasing best practices to help agencies better navigate them.

5.3 Electronic Records Archives (ERA)

(<http://www.archives.gov/era/>)

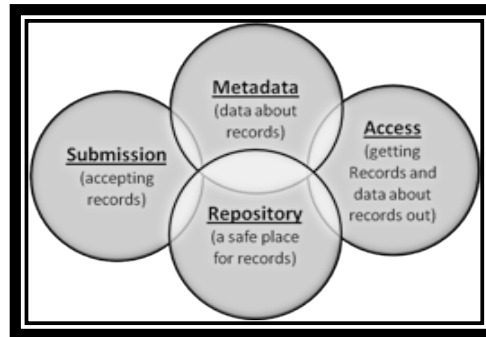
The National Archives and Records Administration (NARA) has set out on an ambitious course to tackle a great challenge facing archives around the world – ensuring that electronic records created today remain accessible and verifiable as authentic records, long after the software and hardware used to produce these records have ceased to exist. NARA’s solution to this challenge is the Electronic Records Archives, or ERA, a one-of-a-kind system designed to archive the wide variety of electronic records known today, and to prepare for new types of records to be archived in the future.

Permanent records are made available to the public once we have screened them to protect sensitive information, including, but not limited to, national security, personal privacy, and law enforcement information. This is true for electronic records too.

ERA today is a complex information management system that was developed to archive the variety of records that the government currently creates in electronic format. ERA is designed to support access by authorized users within the National

Archives and across the Federal Government, as well as any individual anywhere who has access to the internet. The continued existence of ERA is crucial to open government because of the role it will provide in long-term preservation and access to electronic records.

ERA is really a “system of systems,” with multiple components that perform different archival functions and that manage records governed by different legal frameworks. The actual architecture is more complicated, but the diagram below shows the four essential functions that ERA performs.



Government agencies use the **Submission** function to deliver records and metadata into ERA. Electronic records are preserved and reviewed in the **Repository**. The National Archives’ knowledge of what those historically valuable records are, who created them and why, and what processes have been applied to them is all documented in the **Metadata**. Finally, the public uses the **Access** function to do research on records that have been screened by archivists to remove restricted information (there are separate, non-public kinds of access for restricted records, as well.)

Access to Electronic Records

Our holdings are constantly growing as the proliferation of Government electronic records continues. New records are arriving faster than they can be processed. At the same time, the public demand for access is increasing. The expectation of easy online access to our holdings continues to grow.

As of the end of March 2012, ERA supported over 184 TB of electronic records, including records from the George W. Bush White House, many Federal agencies, and Congress. The National Archives’ provides public access to a portion of electronic records from ERA through the Online Public Access (OPA). OPA is the National Archives’ online public portal to the permanent records of the Federal government. OPA currently features:

- Descriptions of nearly 75% of our traditional holdings (textual records), 77% percent of our artifacts, and over 95% of our electronic records.
- Provides a federated search to all of our Archives.gov pages and the Presidential Library web pages so researchers will no longer need to perform separate searches for finding aids or other information related to our records.
- Provides access to nearly one million electronic records in the Electronic Records Archives (ERA), which are not available elsewhere online.

Transforming How We Do Business with Federal Agencies

ERA is transforming the way that NARA currently works with Federal agencies to manage their records and business information, regardless of format. By the end of 2012, all agencies are required to use this evolving system to meet the Nation’s requirements to preserve and make our records available in perpetuity.

ERA is a functioning, secure repository for electronic records that is already being used by most large Federal agencies and is on track to support all agencies by the end September 2012.

- ERA supports records management functions, allowing an automatic link between the disposition authority, the request to transfer records, and the actual electronic records being transferred.
- ERA provides online tools for Federal agencies to create and submit new record schedules to request disposition authority and transfer documentation to send permanent records to the archives.

- ERA provides vastly improved support for preservation of electronic records. ERA incorporates a Transformation Framework that will provide flexible support for format migrations as needed. The Archives' current policy is to maintain the records in the format in which they were transferred in addition to any transformed version.
- It streamlines access to Presidential records. The component for Presidential records supports review functionality for restrictions and redaction of restricted content, allowing the Archives to release Presidential records to the public when they become eligible for public request through the Freedom of Information Act (FOIA).

As the ERA's system capabilities increase over time, NARA staff will be able to provide more consistent, informed, and timely assistance to agency records officers and will ensure NARA identifies, preserves, and makes available archival records for future generations.

Collaboration with ERA Stakeholders

NARA works closely with Federal agency personnel to prepare them for using ERA. Agencies are invited to a "kickoff" meeting where they learn the sequence of steps needed to request user accounts, access training, and generally learn how to use the system. NARA holds its kickoff meetings on a monthly basis. The ERA web site for agencies using ERA is located at <http://www.archives.gov/records-mgmt/era/> and has links to online training, user guides, and account request forms.

Support for users of ERA does not end with the establishment of user accounts. Monthly ERA "Boot Camps" reinforce the online resources by providing agency staff with hands-on training and a forum for answering questions and learning about ERA best practices. At the request of agency customers, NARA conducts ERA demonstrations and provides tailored training on ERA.

To ensure NARA has built and will continue to improve a system that meets the needs of its users, it has held two focus groups with Federal agency users and conducted one user satisfaction survey. Feedback from the survey groups are currently being used to improve the system, for example, in developing a more effective reporting capability. More surveys and focus groups are planned during FY 2012.

To ensure continued engagement and partnership with ERA stakeholders, NARA engages in a robust program of communications, advocacy and outreach with the wider archival community, including non-Federal entities. NARA provides support to quarterly meetings of the Federal Advisory Committee on the Electronic Records Archives (ACERA). It gives presentations to the federal community through its Bi-monthly Records and Information Discussion Group (BRIDG) Meetings and posts occasional ERA updates to its Records Express blog, available at <http://blogs.archives.gov/records-express>.

For more information about the Electronic Records Archive, please visit <http://www.archives.gov/era>

5.4 National Declassification Center (NDC)

(<http://www.archives.gov/declassification>)

On December 29, 2009, President Barack Obama signed Executive Order 13526 in which he directed an overhaul of the way documents created by the Federal Government are classified and declassified. To oversee this initiative and to implement the changes, the President directed the creation of the National Declassification Center (NDC), now located within the National Archives and Records Administration (NARA). The NDC is strengthening open government because it has improved coordination and collaboration between agencies and effectively streamlined the declassification process.

The NDC is addressing the backlog of some 400 million pages of classified records, including some pertaining to military operations and World War II, the Korean War, and the Vietnam War.

Streamlining the Declassification Process

The NDC has streamlined the declassification process throughout the Federal Government. In particular, it has accelerated the processing of historically valuable classified records in which more than one agency has an interest and prioritized declassification based on researcher interest and the likelihood of declassification whenever practical. Ultimately the goal of the NDC is to standardize the development of common declassification processes among agencies. Certain records may remain classified for longer periods, including information concerning war plans, weapons of mass destruction, human intelligence sources and methods, and in certain cases, diplomatic relations conducted with other nations. The NDC is

addressing the backlog of some 400 million pages of classified records, including some pertaining to military operations and World War II, the Korean War, and the Vietnam War, and leading an inter-agency quality review assessment that is eliminating multiple re-reviews.

In fine tuning the processes and risk management strategy introduced during the previous two years, and drastically streamlining data capture, NDC is successfully working with other government agency partners to adjudicate multi-equity documents, while protecting the most sensitive information. Series within the backlog are prioritized for NDC processing based on researcher requests, the significance of the historical topic, and the quality of the earlier review.

In addition to our routine high volume processing efforts aimed at retiring the backlog by the mandated due date, we coordinated referral and declassification processing for two additional special collections in 2011:

- Backlog records related to the construction of the Berlin Wall, and
- The full Pentagon Papers.

In 2012, we are processing backlog records supporting an additional three topical collections:

- Records related to the Katyn Atrocities,
- Records with information related to POW/MIA concerns, and
- Records related to the Cuban Missile Crises.

In addition to improving the review and release process for series of historical records in the backlog, the NDC has improved processes for specific documents requested under FOIA and the MDR provision of E.O. 13526. The new processes have led to better tracking of requests and faster referral to the equity-holding agencies.

Coordination with Federal Agencies

In working across government, the NDC is promoting effective, transparent, and standard processes, training, and quality assurance measures for declassifying documents. The purpose of this extensive collaboration is to enable other agencies, as well as the NDC staff, to recognize each other's designation of classified information and interpret it correctly during the review process. In addition, the President has directed agencies to continually review their classification and declassification guidelines to make sure they are up to date and do not result in unnecessary classification or classification for longer periods than necessary.

In coordinating and leading inter agency teams established to provide NDC-directed quality assurance equity identification and review on prioritized record series, NDC is successfully working with other government agency partners to resolve identified equities, protect only the most sensitive information, declassify and prepare for release a projected 80% of the backlog classified records held at NARA by the 31 December 2013 deadline.

National Archives' Leadership Role

The President's order gives the National Archives a leadership role in ensuring that millions of classified records are declassified and made available for the people to inspect and for historians to mine to enrich the account of our nation's history much sooner than otherwise would have been possible. The National Archives has long embraced providing the public as much access as possible to the records that document the rights of our citizens so they may exercise them fully. The NDC is assisting NARA in this mission.

In working with our other government agency partners, we are leveraging their expertise in their agency-specific sensitive equity with our own in records management, overall national security information knowledge, and declassification processing as we develop a series of courses aimed at establishing a baseline of review capability and quality common across government. In 2011 we hosted a four-day equity training conference attended by 300 declassification reviewers representing 25 agencies. We are on track for the development of a series of eight courses that would be available government wide.

5.5 Office of the Federal Register (OFR)

(<http://www.archives.gov/federal-register/>)

The National Archives and Records Administration's (NARA) Office of the Federal Register (OFR) provides ready access to the

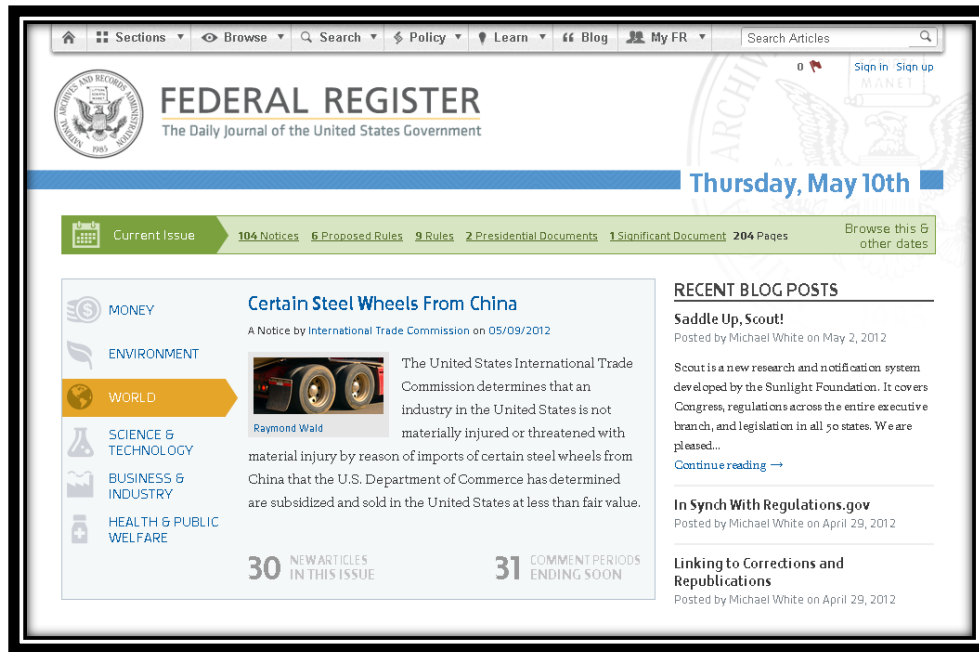
official text of Federal laws, Presidential documents, administrative regulations and notices, and descriptions of Federal organizations, programs, and activities. Office of the Federal Register publications include the daily Federal Register, the currently updated Electronic Code of Federal Regulations (e-CFR), the annual Code of Federal Regulations (CFR), Privacy Act Issuances, Public and Private Laws, U.S. Statutes at Large, the Public Papers of the Presidents of the United States, the Daily Compilation of Presidential Documents, and the U.S. Government Manual. All Federal Register publications are produced jointly with the Government Printing Office (GPO) under a long-standing statutory partnership. The two agencies continue to develop GPO's Federal Digital System (FDsys) and allied web services to replace the aging print-centric Federal Register publication system with a modern Web 2.0 legal information platform. In 2012, the initial transition to FDsys was completed as the old GPO Access system was retired.

Open Government at the Federal Register

The idea of open government is the very reason for the Office of the Federal Register's existence. The Federal Register Act of 1935 was the nation's first open government law, the forerunner of the Administrative Procedure Act, Government in the Sunshine Act, and the Freedom of Information Act. The Office of the Federal Register was established to provide public notice and due process of law by ensuring that legal issuances could no longer be adopted in secret and arbitrarily enforced against the public. In 1993, the Congress authorized GPO to place the Federal Register online. The Administrative Committee of the Federal Register and the OFR/GPO partnership incorporated all major Federal Register publications into GPO's system for online access. GPO's Federal Digital System now supports most Federal Register publications with XML-structured data in a modern content management system, backed by powerful search technology. The publications are no longer sequestered inside a closed system, they are now broadly accessible on the surface of the Web. The Office of the Federal Register and GPO also make the Federal Register and CFR available as bulk XML data to enable anyone to consume regulatory content and re-purpose it for particular communities of interest.

Federal Register 2.0

The Office of the Federal Register's modernization plans, sometimes referred to as "Federal Register 2.0," are an expression of our commitment to open government, and include specific efforts to expand access to regulatory data and other public information. We launched a new XML-based edition of the Federal Register on July 26, 2010, the 75th anniversary of the Federal Register Act, and since that time have continuously added new features. The new edition, posted on FederalRegister.gov, democratizes regulatory information by presenting articles in an easy-to-read, web newspaper format that is accessible to both the expert user and the occasional researcher. The site breaks documents into six major topical areas and includes a wide array of tools to dig into an ever-growing body of regulatory data. Customers can quickly access newsworthy and "most popular" documents based on trending news and web metrics. They can filter information by popular sub-topics and standardized subject terms, and view hundreds of individual agency "home pages." The site also has automatic notification options for both the final and pre-publication ("Public Inspection") versions of Federal Register documents. Users can customize notifications by agency or by virtually any subject matter. For legal assurance, every HTML-formatted Federal Register document includes one-click access to the official PDF version authenticated with a digital signature to verify the material as official, accurate, and complete.



Screen shot of the homepage of FederalRegister.gov

Allied Modernization Projects

In parallel with FederalRegister.gov, we developed a new edition of the U.S. Government Manual (usgovernmentmanual.gov) for access to currently updated information on agency services, organization, and leadership. The site can export XML bulk data and has on-demand printing capability. Joint Federal Register/GPO development teams are also at work on two CFR projects. The “Interim e-CFR” project will establish an updated platform and search capability for the currently updated e-CFR editorial compilation. A longer range “CFR 2.0” project is also underway to create an XML-based, Web 2.0 hub for all editions of the CFR. This will include a “point-in-time” capability to retrieve each daily instance of the massive CFR database on a day-forward basis. When the CFR 2.0 project is fully realized, regulated communities and legal researchers will be able to determine the precise state of the law on any given day, download authenticated digital copies, and have the option to request print-on-demand copies in an official bound publication format.

Bulk Data Applications

Over the past several years, the Federal Register/GPO partnership has established a new policy framework for open access to regulatory data. To expand access, we eliminated all data charges and built a bulk repository for Federal Register and CFR datasets on Data.gov and FDsys.gov. In the past year, we added bulk XML data for the Public Papers of the Presidents and the U.S. Government Manual. We are also in the process of building connections from Law.Data.gov to an extensive collection of Executive orders and related contextual information. In addition, all source code for FederalRegister.gov is available free of charge to application developers on GitHub.com. The open data standards adopted for FDsys also gave us the opportunity to create an Application Programming Interface (API) in August 2011. The Federal Register API gives private sector and non-profit groups the tools to create innovative web and mobile device applications on top of our open source code. In particular, the API can be used to “narrow-cast” information to specialized audiences. For example, a scholar at the Max Planck Institute for the History of Science in Berlin, Germany used the Federal Register API to create a “Polar Bear Feed” that allows researchers and environmental activists to track actions affecting this endangered species, from global climate change to trophy hunting. Every polar bear-related action published in the Federal Register since 1994 is encompassed in this app.

Data Sharing and Harmonization

The Federal Register/GPO development team is joined in an informal data harmonization project with the Office of Management and Budget, the General Services Administration (GSA) (reginfo.gov), and the eRulemaking program (regulations.gov). These central management agencies operate various information systems for regulatory documents, public comment dockets, and regulatory agenda material. The harmonization group explores ways to standardize terminology, track rulemaking throughout the life-cycle of a regulation, and create data connections among the various agency systems. This effort now makes it possible for a FederalRegister.gov user to submit comments on a proposed rule directly into the

Regulations.gov docket and to view comments submitted by others. Enhanced data connections give Federal Register users one-click access to the history of a rulemaking in the Unified Agenda, and lets them quickly determine whether a rule is economically significant or affects small businesses. The group is also exploring ways to attach descriptive metadata to previously undefined document sub-types, such as direct final rules, interim rules, and petitions for rulemaking. The Office of the Federal Register has also launched a cooperative venture with GSA's USASearch team. GSA can use our API to integrate Federal Register documents directly into agency search indexes, eliminating duplicative postings by content managers. In addition, we have discussed automated sharing of Federal Register meeting notices to create a Government-wide calendar of public participation opportunities on USA.gov. As web meeting technology becomes ubiquitous, we envision this events calendar developing into an "American Town Hall."

Digitization

The Office of the Federal Register aspires to make the pre-electronic editions of Federal Register publications available online. Current authority prevents GPO from directing resources towards the digitization of previously published material, such as the pre-1994 Federal Register and the pre-1997 editions of the CFR. However, GPO has received Congressional permission to post digitized editions of our U.S. Statutes at Large (1951-2002) on FDsys.gov, in cooperation with the Library of Congress. The project has been a resounding success in terms of maintaining the fidelity of the publication and expanding access to material that is largely unavailable anywhere else on the Internet. We are currently conducting outreach to gauge public interest in the digitization of the various other Federal Register publications.

Going Mobile

The Office of the Federal Register and GPO received permission from their Administrative Committee of the Federal Register oversight body to explore mobile applications and e-book technology for Federal Register publications. The first mobile app to be developed is the Daily Compilation of Presidential Documents, which will be designed to operate on Android, Apple, and Blackberry devices. The app will offer in-depth access to Executive orders and memoranda, speeches, official correspondence, and many other Presidential actions. On-board tools for geographic information and frequency data should be of particular interest to the media and scholars. GPO is also developing e-book instances for our Public Papers of the Presidents series. All OFR/GPO mobile applications will be constructed consistent with the National Information Exchange Model (NIEM.gov) to promote inter-agency collaboration for innovative and efficient solutions.

5.6 National Historical Publications and Records Commission (NHPRC)

<http://www.archives.gov/nhprc/>

The National Historical Publications and Records Commission (NHPRC) is the means by which the National Archives interacts with archives and historical records repositories across the nation to provide access to the nation's most important historical records. The NHPRC enables the National Archives to reach beyond those Federal records under its stewardship to assist in the preservation and publication of collections of records held by state and local governments, nonprofit organizations, colleges and universities, and other institutions. It carries out this mission through competitive grants for archives preservation and access projects, by investing in research and development in new archival methods—particularly for electronic records, and through public policy leadership.

Congress created the NHPRC in the same 1934 Act that established the National Archives, acknowledging that some of nation's most vital historical records are often held outside of Federal stewardship, including the documents and papers of America's Founding Fathers, dozens of U.S. presidents and statesmen, civil rights leaders, scientists, inventors, and records that are primarily important to state and local history. Through the NHPRC, the National Archives make an investment in the network of repositories that comprise the nation's archives, and helps preserve and make accessible those records, wherever located, vital to citizens' understanding of our rights, history, and culture.

Grant Awards and Performance

The NHPRC awards a variety of competitive grants to projects all across the nation. As part of its effort to increase access to historical records, the NHPRC routinely makes information available to the public about the results of those projects.

Current Information about NHPRC awards

We report all grants made to the federal website, USASpending.gov, on a monthly basis. All NHPRC grants from 2001 to the present are featured on USASpending.gov including recipient name, project title, amount awarded, project period, location, and additional information. Individuals may also download the information into a variety of formats (such as csv or XML files).

Information about NHPRC awards since the 1960s

After each Commission meeting, we update our website with new award information (<http://www.archives.gov/nhprc/projects/states-territories/>). Information is arranged according to state. Grants for Archives and Records projects are briefly described. Publishing projects that receive support are reported cumulatively. The website is coded as individual HTML pages. In addition, in 2011, the NHPRC compiled in a spreadsheet all information on grants from the 1960s to 1986. The information from 1986 to the present is stored in our Grants Management System, a relational database maintained internally. Depending on the availability of resources, we plan to integrate the information maintained in these two resources to create a publicly searchable database, so that the public can examine trends in grants over a longer term.

Quantitative results of grants

We report monthly via the National Archives' Performance Management Report System (PMRS) the results of completed grants, including the number of cubic feet and electronic records preserved, amount of digital facsimiles created, and volumes published. In addition, we assess the overall success of each project. The information is available in a summary format in the [Annual Performance Plan for the National Archives](#), with success rates beginning in 2002, and complete information after 2004.

Narrative information

The public has access to qualitative results of specific grants via our Facebook daily postings, our bi-monthly online newsletter, our annual report, and our contribution to the National Archives' Performance and Accountability Report.

Creation of New Resources Using Historical Records

Founders Online

In late June 2012, the National Archives will be the host for a new web resource, Founders Online, which will provide access to the papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, Benjamin Franklin, and George Washington. The editorial projects that work on these papers have drawn from collections worldwide, and most of them include transcriptions of documents maintained by the National Archives. This new free online web resource is being developed by the University of Virginia through a cooperative agreement with the NHPRC. It will give the public unprecedented access to authoritative transcriptions of the Founders' letters and other writings. The initial release of over 92,000 items in June 2012 will continue to expand over the following 30 months to include additional published documents as well as previously unreleased transcriptions. We are exploring potential educational and teaching uses of this new resource with the National Archives Education Staff.

Investment in Research and Development



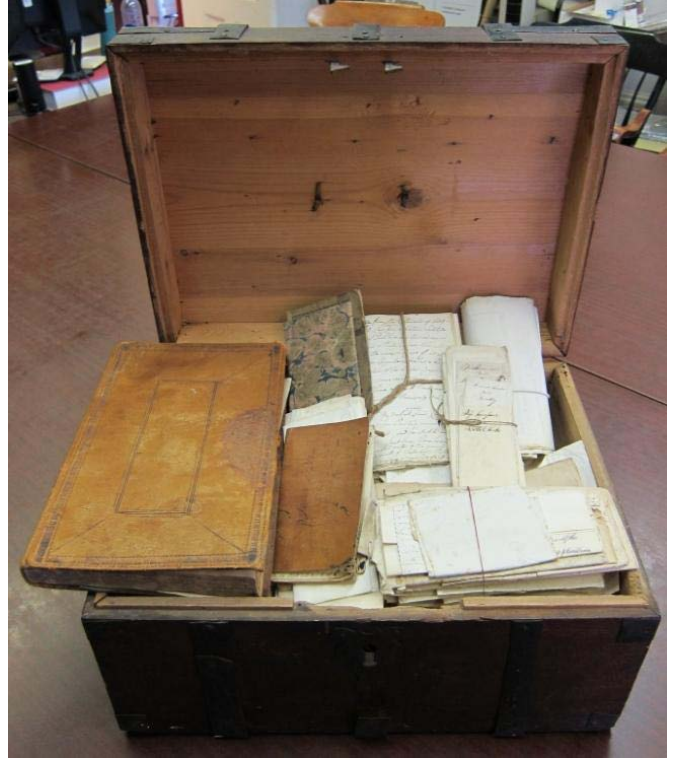
Collection of documents from the Families of Vietnamese Political Prisoners Association Collection at Texas Tech University. An NHPRC grant will help digitize these records of Vietnamese refugees to the United States. Image courtesy of the Vietnam Center and Archive, Texas Tech University.

Model Approaches to Increasing Online Access to Historical Materials

The NHPRC began a grant program, Digitizing Historical Resources, in 2006 and continues today. This program focuses on “mass digitization” of archives and emphasizes the digitization of entire series of nationally significant, already processed archival materials, using existing finding aids to provide the necessary metadata. The approach has drawn an enthusiastic response from the archival community, as it provides access to large quantities of materials without the labor intensive and costly process of creating item-level metadata. A number of state and local government agencies and universities have been grant recipients. Millions of documents already have been digitized and made widely available online through this grant program with the volume growing each year.

Model Approaches to Revealing “Hidden” Collections of Archives

Less than a decade ago, the NHPRC awarded a grant to a pair of research archivists to study the costs associated with organizing and cataloging modern archival materials, particularly the records of organizations and governmental entities. The resulting published study provided a thorough and profoundly influential cost analysis that suggested that archives would save money and time by focusing more on providing timely and broad access to ALL holdings rather than in depth access to a limited portion of their archives. The result would be better overall public access, because “hidden” collections (often called backlogs) would be significantly reduced or eliminated. The NHPRC has followed up the study with a series of grant programs that supported this new approach to archival work, and these grant programs continue today. Many of the nation’s largest archives, often with sizeable backlogs, are now considering or actively using this approach, and the list grows each year.



The papers of Captain Alexander Robinson, a Brooklyn, New York, merchant seaman who was a captain during the War of 1812, currently housed in a classic sea chest at the Peabody Essex Museum in Salem, Massachusetts. An NHPRC grant is helping reveal “hidden” collections in the archives. Image courtesy of the Peabody Essex Museum.

Appendix A: Summary of Comments Received from the Public

The following summary represents comments, ideas, and votes received on the Open Government Idea Forum (<http://naraopengov.ideascale.com/>) and the NARAtions Blog (<http://blogs.archives.gov/online-public-access/>) received from February 22 – March 21, 2012. Nineteen ideas on the Open Government Idea Forum received 23 comments and 158 votes from more than 80 users. Two comments were posted to the NARAtions Blog.

We continue to welcome your ideas and comments on the NARAtions Blog or via email at opengov@nara.gov. For more information about opportunities to participate and to follow open government updates, please visit <http://www.archives.gov/open>.

Declassification

- **Create a JFK Records Declassification Project:**

This idea received the most “I agree” votes (37) and comments (12) on the Open Government Idea Forum. Supporters for this idea indicated that a project should be undertaken to declassify remaining records before the 50th anniversary in 2013.

- **Initial Response:**

We recognize the ongoing interest of historians, researchers, and the public in the records related to the assassination of President John F. Kennedy. The President John F. Kennedy Assassination Records Collection Act of 1992 mandated that all assassination-related material be housed in a single collection in the National Archives and Records Administration (NARA). The resulting collection consists of more than 5 million pages of assassination-related records, photographs, motion pictures, sound records and artifacts (approximately 2,000 cubic feet of records). Most of the records are open for research. Unless approved for continued withholding by the President of the United States, the remaining closed records will be released in 2017 as mandated by Congress through the JFK Assassination Records Collection Act of 1992. To learn more about the President John F. Kennedy Assassination Records Collection, please visit: <http://www.archives.gov/research/jfk/>

- **Legislative proposal to repeal or modify the terms of the Kyl-Lott Amendment:**

This idea was posted to the [NARAtions Blog](#) and suggested NARA should perform an assessment of statutory obstacles to the success of its mission, specifically the Kyl-Lott Amendment, and then petition Congress for legislative relief. A separate comment indicated belief in the continued usefulness of the Kyl-Lott Amendment.

- **Initial Response:**

In its 2008 Report to the President, the Public Interest Declassification Board recommended that the President re-examine the status of Formerly Restricted Data (FRD). We agree that the status of FRD in historical records should be reconsidered, especially the concept of ‘downgrading’ FRD to National Security Information (NSI). Currently, Restricted Data/Formerly Restricted Data (RD/FRD) are excluded from review. Were FRD downgraded to NSI, it would be subject to review for potential declassification and release. Unfortunately not all FRD is created equal and a universal transclassification of FRD to NSI may not afford all information the appropriate level of protection. If a change in policy were made, we would still have to review each document in the backlog for RD/FRD in order to make document-level assessments as to which category, RD (and still excluded from declassification) or NSI, is appropriate for each document. Although we believe that these changes will eventually lead to the release of more historical information, at least initially, this process may take more time as a careful review of documents will replace a reactive automatic exclusion. In a nutshell, we believe that FRD reform will lead to greater release of information but no time saved in processing the records in the backlog. FRD reform does hold the promise of future efficiencies if, going forward, FRD review could be included as part of an agency’s initial review. Learn more about the implications of the Kyl-Lott review on the NDC Blog at <http://blogs.archives.gov/ndc/?p=319>.

Online Public Access

- **Improve Online Public Access:**

On the Open Government Idea Forum we sought ideas for improving Online Public Access. The overall idea garnered 14 “I agree” votes and six comments. Ideas generated include:

- Make it clear what records require a FOIA request for access and easy to submit the FOIA request online
- Enhance tagging features to include the ability to tag directly on the digital copy
- Improve system performance because Online Public Access is very slow to use.

- **Initial Response:**

As we look to improving Online Public Access we will explore possibilities for indicating additional features related to FOIA information and request, as well as additional tagging features, and improvements in system performance.

The following table includes the 19 ideas posted on the Open Government Idea Forum and numbers of “I agree” votes, “I disagree” votes. Only idea #1 (Create a JFK Records Declassification Project) and idea #2 (Online Public Access should be improved) garnered a significant number of comments, with idea #1 receiving 12 comments and idea #2 receiving 6 comments.

#	Idea	agree Votes	disagree votes
1	Create a JFK Records Declassification Project	37	0
2	Online Public Access (OPA) should be improved	14	0
3	Include AV records for transcription	11	1
4	Include more datasets on Data.gov	10	0
5	Include transcriptions in the National Archives Catalog	11	3
6	Digitize archival records responsive to FOIA	8	1
7	Add social media features to Archives.gov	7	1
8	Include translations on the Citizen Archivist Dashboard	6	1
9	Release more software code on GitHub to encourage collaboration	6	1
10	Update the Digitization Strategy of the National Archives	5	0
11	Collaborate with other organizations on crowdsourcing	4	1
12	Define the role of citizen archivists at the National Archives	4	1
13	Digitize pre-electronic Federal Register publications	4	1
14	Archives.gov should be improved	3	1
15	Develop mobile apps and ebooks for Federal Register publications	3	1
16	More crowdsourcing tools for the Citizen Archivist Dashboard	3	1
17	Convene international archives leaders on open government	3	2
18	Utilize new social media tools	1	1
19	Add digitized materials requested by the public to Archives.gov	0	0

Appendix B: 2012-2014 Open Government Plan Proposed Actions

The following table includes all National Archives and Records Administration (NARA) 2012-2014 Open Government Plan proposed actions and specific sections in which they can be found.

#	2012-2014 Open Gov Plan – PROPOSED ACTION	2012 Plan SECTION	TOPIC
1	We will revisit the strategic planning process and work to align NARA’s Strategic Plan with the agency’s transformation.	2.1	Sustaining Open Gov
2	Our ongoing efforts to improve employee engagement include: <ul style="list-style-type: none"> • Hiring additional staff in the Human Capital Office to lead targeted initiatives to increase employee satisfaction and engagement • Revamping leadership development curriculum to emphasize importance of employee engagement • Revamping the Individual Development Planning process to ensure training is mapped to needed competencies and career goals • Preparing to launch agency-wide mentoring program • Identifying tools with voting capability to capture staff ideas for improvements across the agency 	2.2	Employee Engagement
3	We will continue to explore ways to facilitate greater collaboration and knowledge sharing through the Internal Collaboration Network. We will identify and recognize best practices and successful case studies on the network.	2.2	Employee Engagement
5	We will continue to strengthen our relationships with individual citizen archivists and groups that are interested in providing contributions. We will also explore any new or interesting ways of engaging citizen archivists, including exploring new tools that help make contributing easy and fun.	3.1	Citizen Archivist Initiative
6	We will explore how to make the Drupal module developed for the National Archives Transcription Pilot Project available on a code-sharing site like GitHub.	3.1	Citizen Archivist Initiative
7	We will explore ways to improve the National Archives Transcription Pilot Project, including ways to more effectively crowdsource the review of transcriptions.	3.1	Citizen Archivist Initiative
8	We will update our digitization strategy and consider the following ideas: <ul style="list-style-type: none"> • Improve in-house digitization workflow and technology to support that workflow • Explore expanding work with digitization partners • Explore “Day Forward Digitization” • Consider records management solutions that would allow us to receive all government records in digital form • Encourage public participation and collaboration in digitizing and describing our records for online access and use 	3.2	Digitization Strategy
9	We will continue to leverage NARA’s Social Media Strategy to guide our endeavors : <ul style="list-style-type: none"> • Revolutionize communication and collaboration within our staff community • Engage with the Government community • Build and strengthen our relationships with researchers and citizen archivists 	3.3	Social Media Strategy
10	We will move our public website, Archives.gov to a cloud based solution. We will implement Drupal, a content management system for Archives.gov.	3.4	Innovations in Archives.gov
11	We will continue to improve the user experience with Online Public Access (OPA) and consider the following: <ul style="list-style-type: none"> • Displaying citizen-contributed transcriptions • Evolving OPA into a platform 	3.5	Innovations in Online Public Access

	<ul style="list-style-type: none"> • Developing useful application programming interfaces (APIs) • Making OPA more accessible for possible data mining 		
12	We will launch a “Developers” webpage at http://www.archives.gov/developers to centralize information relevant to the developer community.	4.1	Developers, Datasets, and Proactive Release of Information
13	We will publish the Archival Research Catalog (ARC) Performance Measures to Data.gov	4.1	Developers, Datasets, and Proactive Release of Information
14	We will publish Executive Orders to Data.gov to be included in the new Law.Data.gov community.	4.1	Developers, Datasets, and Proactive Release of Information
15	The Plain Writing Working Group will: <ul style="list-style-type: none"> • Develop an online introductory course for all employees • Review documents prepared for military veterans • Update NARA’s Style Guide • Write articles on plain language for NARA staff 	4.2	Plain Writing at the National Archives
16	We will establish and begin operating a new Records and Information Management Network consisting of Information Management Officers in each functional area supported by one or more Record Custodians.	4.3	Records Management at NARA
17	We will continue to work toward a reduction of our backlog of pending Freedom of Information Act (FOIA) requests.	4.4	FOIA at NARA
18	We will continue to update the Open Gov webpage (Archives.gov/open) to inform the public of milestones, events, publications, blog posts, and opportunities for public participation.	4.5	Open Gov Web Page
19	We will strive to communicate in an efficient and clear way the major milestones and significant actions and business of our agency.	4.5	Informing the Public of Our Progress
20	We will continue to prepare the E-Government report in compliance with the E-Government Act of 2002. These reports will be available at http://www.archives.gov/about/plans-reports/e-gov	4.5	Compliance with Transparency Initiative Guidance
21	We will (in conjunction with OMB and the Associate Attorney General) issue a Records Management Directive outlining a 21st century framework for managing government records.	5.1	Records Management
22	We will review relevant statutes, regulations, and official guidance to identify opportunities for reforms that would improve Government-wide records management practices, particularly with respect to electronic records. With OMB, we will submit to the President the results of this review.	5.1	Records Management
23	We will send to Congress and OMB a report based on analysis of data from annual agency self-assessments.	5.1	Records Management
24	We will report annual to Congress and OMB on the status of other records management activities.	5.1	Records Management
25	We will continue to provide a wide variety of electronic records management guidance and best practices for Federal agencies in order to assist them in addressing these identified deficiencies.	5.1	Records Management
26	We will work in partnership with the EPA and Department of Commerce to build a multi-agency FOIA Module.	5.2	Office of Gov’t Information Services (OGIS)
27	We will continue to organize a group of FOIA and information technology professionals (IT) to collaborate on ways to apply existing technology to improve the FOIA process.	5.2	Office of Gov’t Information Services (OGIS)
28	In 2012, we will process backlog records supporting three topical collections: <ul style="list-style-type: none"> • those related to the Katyn Atrocities, 	5.4	National Declassification

	<ul style="list-style-type: none"> • those with information related to POW/MIA concerns, and • those related to the Cuban Missile Crisis 		Center (NDC)
29	We will build connections from Law.Data.gov to an extensive collection of Executive Orders and related contextual information.	5.5	Federal Register
30	We will conduct outreach to gauge public interest in the digitization of the various other Federal Register publications.	5.5	Federal Register
31	We will work with GPO to develop a mobile app for the Daily Compilation of Presidential Documents. The app will offer in-depth access to Executive Orders and memoranda, speeches, official correspondence, and many other Presidential actions.	5.5	Federal Register
32	In late June 2012, we will launch a new web resource, Founders Online, to provide access to the papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, Benjamin Franklin, and George Washington.	5.6	National Historical Publications and Records Commission

Appendix C: Implementation of 2010 Open Government Plan Task List

The following table includes all National Archives and Records Administration (NARA) 2010 Open Government Plan proposed actions, narrative updates on the implementation, and overall status of each action. The status categories include:

- **Implemented** to indicate work that has been accomplished,
- **Ongoing** to indicate work that continues,
- **Forthcoming** to indicate tasks that have not yet been completed, and
- **Cancelled** to indicate tasks that are no longer being pursued.

Please refer to NARA's 2010 Open Government Plan for additional information, available at <http://www.archives.gov/open/open-plan.html>.

#	2010 Open Gov Plan – PROPOSED ACTION	2010 Plan SECTION	TOPIC/ STATUS
1	Formally charge our Open Government Working Group	Executive Summary	Open Government
	Update: The Archivist of the United States approved and signed the charter for the NARA Open Government Working Group.		Implemented
2	Actively seek employee input and buy-in on important initiatives / increase involvement through feedback mechanisms	3.3 / 5.2	Employee Engagement
	Update: The National Archives has utilized a variety of feedback mechanisms including surveys, IdeaScale, blogs, and in the Internal Collaboration Network. Employees have participated in the following topics: employee satisfaction, budget issues, redesign of Archives.gov, Transformation, Online Public Access, and office-specific initiatives.		Implemented and ongoing
3	Identify, develop, and support champions for change	3.3	Employee Engagement
	Update: NARA senior staff were briefed on the concept in 2010. Several working groups at the National Archives have fostered champions for change at the National Archives over the last two years, including the Transformation Task Force and the Social Media Working Group.		Implemented and ongoing
4	Allow employees to spend a percentage of their time on "passion projects"	3.3	Employee Engagement
	Update: NARA Senior staff were briefed on the concept and specific examples of "passion projects" in 2010. Additionally, Our Archives Wiki launched July 2010 as a platform for the public as well as employees to describe records, collections, and provide images as available. http://www.ourarchives.wikispaces.net/		Implemented and ongoing
5	Improve employee access to web-based training and core services to build 21st century skills	3.3 / 5.2	Employee Engagement
	Update: Throughout the last two years, National Archives staff have participated in online public engagement and social media tools, which have increased 21st century skills. During the Summer of 2010, almost 800 NARA employees participated in "Budget Brainstorming," based on the web-based voting platform, IdeaScale. Since then, NARA staff have been involved in internal and external blogs, and a variety of social media tools.		Implemented and ongoing
6	Equip employees with the technology needed to do their jobs	3.3	Employee Engagement
	Update: In 2010, Novell and Groupwise upgrades were completed. In early 2012, NARA began early stages of implementation of the Internal Collaboration Network.		Implemented and ongoing
7	Develop a professional network for NARA employees (like NASA's Spacebook)	3.3	Employee Engagement
	Update: During Fiscal Year 2012, the Internal Collaboration Network began to be rolled out to NARA staff.		Implemented and ongoing

8	Continue to incorporate online public engagement through Regulations.gov and RegInfo.gov when creating and revising NARA regulations	3-4	Public Engagement
	<p>Update: We welcome comments from the public and from other agencies that may be affected by our proposed regulation. Comments can tell us that there is agreement or support for what we are proposing, or disagreement, and why. They can also provide us with new information or other points of view to consider, and with suggestions for ways in which to make the regulation stronger or more effective. This can be especially important in cases where we are proposing a rule that affects a variety of different groups or individuals.</p> <p>Most proposed regulations we develop have a 60-day comment period. During this time, people and organizations can comment on the proposed rule at www.regulations.gov, by fax, by mail, or by hand delivery (contact information under Submitting Comments). Direct-to-final rules usually have a shorter comment period of 30 days.</p> <p>We read and consider all comments we receive during the comment period. Once we consider the comments, we often revise the regulation to include recommended changes. Whether we change the regulation or not, we address the comments we have received and explain our response to them.</p>		Implemented and ongoing
9	Develop a publicly available web page that will explain NARA's regulatory process (like EPA's Rulemaking Gateway)	3-4	Public Engagement
	<p>Update: NARA has provided a step-by-step narrative about how it develops or changes regulations, available at http://www.archives.gov/about/regulations/process.html</p>		Implemented
10	Develop public engagement as a highly-valued and measured aspect of all employees' jobs	3-4	Public Engagement
	<p>Update: Encouraged as an element of Individual Development Plans (IDPs) and through expanded use of social media throughout the agency. "Join the Chorus," a blog post by the Archivist of the United States, David Ferriero, discusses the ongoing role of social media for NARA employees. This post is available at http://blogs.archives.gov/aotus/?p=4148</p>		Implemented and ongoing
11	Develop incentives to increase collaboration among employees and the public	3-4	Public Engagement
	<p>Update: Through expanded use of social media throughout the agency, NARA staff are becoming increasingly competent in engaging and collaborating with the public. To see the extent to which social media engagement has expanded at the National Archives, please visit http://www.archives.gov/social-media/</p>		Implemented and ongoing
12	Proactive identification and engagement of constituencies and online communities who are interested in our work and sharing their own work	3-4	Public Engagement
	<p>Update: NARA continues to do outreach and engagement in different areas, including citizen archivists, researchers, genealogists, and Wikipedians. More about this work can be found at http://www.archives.gov/social-media/ and http://www.archives.gov/citizen-archivist</p>		Implemented and ongoing
13	Develop an Archives wiki (like the UK Archives wiki)	3-4/4-3	Public Engagement
	<p>Update: Launched in July 2010, Our Archives Wiki is available at http://www.ourarchives.wikispaces.net/</p>		Implemented and ongoing
14	Develop a social media strategy to fully integrate social media into the work of the National Archives	4.1	Social Media Strategy
	<p>Update: Completed December 2010 and available at http://www.archives.gov/social-media/strategies/</p>		Implemented and ongoing
15	Explore publishing the social media strategy online in a wiki so that the public can easily collaborate	4.1	Social Media Strategy
	<p>Update: NARA's Social Media Working Group utilizing an internal wiki to develop</p>		Implemented

	the draft of the social media strategy. For public input, the strategy was shared and comments were welcomed on the NARAtions blog and the NARA Facebook page for researchers.		
16	Have a presence in every major social media application	4.1	Social Media Strategy
	Update: The National Archives has an extensive social media presence and explores new tools as they become available. Please visit http://www.archives.gov/social-media/ for NARA's social media directory.		Implemented and ongoing
17	Develop a growing sense of responsibility for NARA to be a Federal Government leader in social media	4.1	Social Media Strategy
	Update: To illustrate leadership in social media and to increase transparency in our social media practices, NARA has published social media policies, strategy, statistics, signed terms of service agreements, and guidance. Please visit http://www.archives.gov/social-media/ for more information		Implemented and ongoing
18	Build social media into our job descriptions	4.1	Social Media Strategy
	Update: With increased tools and social media presence, more and more NARA staff are involved in social media. The Archivist of the United States, David Ferriero, discussed the need for NARA staff to engage in social media in the blog post "Join the Chorus" available at http://blogs.archives.gov/aotus/?p=4148		Implemented and ongoing
19	Demonstrate with concrete metrics how we have improved our reach using social media	4.1	Social Media Strategy
	Update: Visit http://www.archives.gov/social-media/reports/ to see increasing reach of the National Archives through social media		Implemented and ongoing
20	Develop a streamlined search capability for our online holdings (unlock online records from previously stove-piped systems)	4.2	Improved Search
	Update: December 2010, Online Public Access is publicly launched at http://www.archives.gov/research/search/		Implemented and ongoing
21	Turn our catalog into a social catalog (allow our users to contribute information about our holdings)	4.2	Improved Search
	Update: April 2011, bookmarking and sharing are introduced in Online Public Access; June 2011, tagging is introduced in Online Public Access.		Implemented and ongoing
22	Redesign Archives.gov to be more user-focused	4.3	Web Site for Participation
	Update: July 2010, the public and NARA staff are invited to vote for four designs to improve Archives.gov. December 2010, the redesigned Archives.gov is launched. Archives.gov has won several awards for plain language and usability. Learn more at http://www.archives.gov/open/redesign/ .		Implemented and ongoing
23	Convene an agency-level digitization working group to develop strategies on best approaches to streamlining and leveraging current processes	4.4	Digitization
	Update: A digitization working group formed in 2010 and met weekly. This group will be reformulated in response to NARA's transformation and reorganization.		Implemented and ongoing
24	Develop partnership and in-house digitization registries to track progress; make them online and open to the public	4.4	Digitization
	Update: Microfilm publications and original records digitized by our digitization partners are now available on our website at http://www.archives.gov/digitization/digitized-by-partners.html . Registries have been established, but are not available on Archives.gov because they contain partner proprietary information.		Implemented and ongoing
25	Consider making all collections being considered for digitization publicly available for discussion and prioritization	4.4	Digitization
	Update: NARA regularly discusses digitization at its quarterly Researcher Forum meetings. NARA has considered how to involve the public in more discussions about what to digitize.		Implemented and ongoing
26	Consider specific recommendations for digitization (e.g. Federal land records, Record Group 49)	4.4	Digitization

	Update: NARA has almost 95,000 cubic feet of records from the Bureau of Land Management (Record Group 49) and is currently working with Fold3 to digitize these records related to Nebraska homesteads. We also digitized the 1940 census in response to research requests following the opening of the 1930 census.		Implemented and ongoing
27	Consider making more genealogy and other family history records available free online	4.4	Digitization
	Update: NARA worked to digitize the 1940 Census and released these images at http://1940census.archives.gov/ on April 2, 2012. The National Archives is involved in the community indexing project for the 1940 Census available at https://the1940census.com/ . NARA is also posting War of 1812 Pension and Bounty Land Warrant Application Files as part of the project with the Federation of Genealogical Societies and Fold3. This is a multiyear project and NARA will post the records on a rolling basis. NARA will be able to post the first images created under our digitization partnerships in its online public access (OPA) beginning in 2013. Each subsequent year will see additional family history records created under the partnerships added to OPA for free access.		Implemented and ongoing
28	Explore "scan on demand" model for digitization	4.4	Digitization
	Update: Scan-on-demand model was piloted for the Vietnam-era deck logs. Due to the high demand for these records, it was decided to proactively digitize the more frequently requested deck logs. Some records can also be requested on demand from the National Archives Trust Fund.		Implemented and ongoing
29	Pursue digitization projects that harness the work of volunteers, researchers, and the public	4.4	Digitization
	Update: NARA has held several Wikipedian events, including Scan-a-thons to produce images of records not yet digitized. The Citizen Archivist Dashboard features an "upload and share" feature that encourages researchers and the public to share their images of NARA records on Flickr. Additionally, the Civil War Conservation Corps continues work on preparing Civil War pension files for scanning. This work continues and this approach will be incorporated in future digitization strategies.		Implemented and ongoing
30	Expand NARA's high-value datasets (raw and in other formats) available on Data.gov and Archives.gov	5.1	High Value Datasets
	Update: NARA has continued to expand the number of high-value datasets available on Archives.gov and Data.gov, including the US Government Manual, the Public Papers of the President, and additional years for the Code of Federal Regulations and the Federal Register. The complete list of datasets is available at http://www.archives.gov/open/available-datasets.html .		Implemented and ongoing
31	Release Barack Obama's Public Papers of the President in XML	5.1	High Value Datasets
	Update: Available at http://www.archives.gov/open/dataset-presidentpaper.html		Implemented and ongoing
32	Release Classification Management Data of the Executive Branch	5.1	High Value Datasets
	Update: Although this dataset was initially considered for publication on Data.gov, concerns about the precision of some of the legacy data in this set have prevented its release. The Classification Management Data of the Executive Branch is available in aggregate and within the narrative of the Information Security Oversight Office's Annual Report to the President available at http://www.archives.gov/isoo/reports/		Cancelled
33	Release Archival Research Catalog (ARC) performance measures	5.1	High Value Datasets
	Update: The National Archives will publish the performance measures to Archives.gov and Data.gov utilizing the next generation Data.gov display and visualization capabilities.		Forthcoming
34	Identify possible datasets in the following categories for future publication: NARA holdings (permanent historical records of the Federal Government); Freedom of Information Act information; NARA operational records	5.1	High Value Datasets

	Update: Additional datasets have been identified and released in the Office of the Federal Register, including forthcoming Executive Orders.		Implemented and ongoing
35	Publicize the availability of data via our Open Government web page and through social media tools	5.1	High Value Datasets
	Update: The Open Government web page (http://www.archives.gov/open) was launched in early 2010 and contains pages and updates related to available datasets. NARA promotes the release of new datasets as they become available. Additionally, the National Archives will promote datasets to developers through a new web page at http://www.archives.gov/developer .		Implemented and ongoing
36	Be available as a resource for questions and troubleshooting for those who are using the data (via e-mail, our webpage, and social media channels)	5.1	High Value Datasets
	Update: NARA staff answer questions in person, via email, and via social media channels as needed.		Implemented and ongoing
37	Develop mobile applications / an “Apps for Archives” contest	5.1	High Value Datasets
	Update: The National Archives launched the Today’s Document mobile application January 2011. More information on this app is available at http://www.archives.gov/social-media/todays-doc-app.html . Three contests have been held – “History Happens Here,” “I Found It in the National Archives,” and “Document Your Environment.” More information about contests can be found here http://www.archives.gov/citizen-archivist/contest/ .		Implemented and ongoing
38	Make the Archivist’s congressional meetings and conference attendance publicly available online	5.1	High Value Datasets
	Update: The biweekly calendar of the Archivist of the United States is available at http://blogs.archives.gov/aotus/?page_id=2175 .		Implemented and ongoing
39	Proactively release records schedules online (including for the period between 1973 and 1985)	5.1/6.1	High Value Datasets
	Update: The Records Control Schedule portal is available at http://www.archives.gov/records-mgmt/rcs/ .		Implemented and ongoing
40	Modernize our records management practices and explore new and emerging recordkeeping technologies	5.2	Records Management at NARA
	Update: In Fiscal Year 2010 and Fiscal Year 2011, we studied of the state of records management within NARA, in government, and in the private sector. We ran our program on three tracks: maintained day-to-day operations, addressed important recordkeeping challenges, and began designing a methodology to modernize NARA’s records management program.		Implemented and ongoing
41	Act as a test bed and leverage “hands-on” experience before NARA promulgates government-wide records management regulations and policies	5.2	Records Management at NARA
	Update: Our shared drive cleanup project provided NARA with detailed hands-on experience that supported Bulletin 2012-02: Guidance on Managing Content on Shared Drives , December 6, 2011. Our Email Bridge Proof-of-Concept provided valuable insights that helped to frame the test scenarios for NARA’s Email Management 2.0 Pilot http://blogs.archives.gov/records-express/?p=1412		Implemented and ongoing
42	Implement a publicly available website that shows how NARA is meeting its existing records management requirements	5.2	Records Management at NARA
	Update: We hope to implement this new web site when tools are available to help us design and maintain content that we can update regularly.		Forthcoming
43	Share our products, accomplishments, and lessons learned on our new public-facing web site	5.2	Records Management at NARA
	Update: Until our new web site is available, CM will share our products in NARA’s Toolkit for Managing Electronic Records.		Implemented and ongoing
44	Expand the use of multiple tracking queues in order to make sure that simple FOIA	5.3	FOIA at

	requests are not caught behind more complex requests		NARA
	Update: NARA has expanded the use of multiple tracking queues, particularly in the Office of Research Services.		Implemented and ongoing
45	Allocate additional resources in NW to ensure that all agency FOIA responses on classified records are reconciled (shift staff priorities to accomplish this task within existing resources)	5-3	FOIA at NARA
	Update: NARA has not been able to identify additional resources for this goal, however it is NARA's hope that the recent reorganization will lead to increased efficiencies in this area.		Implemented and ongoing
46	Target our 20 oldest FOIA requests and obtain declassification determination	5-3	FOIA at NARA
	Update: NARA has closed 17 of these 20 oldest FOIA requests since beginning the effort. An updated list is now being compiled so that those can be targeted.		Implemented and ongoing
47	Contact requesters in extremely old FOIA cases to determine whether they are still interested in gaining access to the records; better understand what information they are seeking, and see if they are willing to narrow the request to a smaller subset of records	5-3	FOIA at NARA
	Update: This is now the standard procedure for all offices within NARA that handle FOIA requests.		Implemented and ongoing
48	Use training opportunities as a method of equipping staff with the knowledge necessary to independently process FOIA requests (where necessary and appropriate)	5-3	FOIA at NARA
	Update: Since the 2010 report, all regional offices that process FOIA requests have received new training. Additional training will be provided as needed, and there are efforts underway to improve communication between the many regional archives which process FOIA requests.		Implemented and ongoing
49	Report to the Office of Government Information Services (OGIS) for possible mediation or appropriate resolution delays in processing related to: inability to reach agreement with a FOIA requester on the scope of his or her request; segmenting extremely large requests; over our response times	5-3	FOIA at NARA
	Update: NARA has not had an occasion to use OGIS's mediation services, but remains willing to participate in a mediation should a need arise.		Implemented and ongoing
50	Publish frequently requested documents in our Electronic FOIA reading room	5-3	FOIA at NARA
	Update: While updates to the electronic reading room have not been as frequent as may be desirable, the agency is in the process of moving to a new web content management system, which will improve offices' ability to update web content without relying on web staff members who can properly code pages.		Forthcoming
51	Continue to prepare the E-Gov Report and make it publicly available on our website	5-4	Transparency Initiative Compliance
	Update: The E-Government Act reports are available at http://www.archives.gov/about/plans-reports/e-gov/ .		Implemented and ongoing
52	Maintain, update, and provide increased functionality (e.g. email updates) for our Open Government webpage in a timely fashion	5-5	/open Website
	Update: The Open Government webpage is kept up-to-date with news, events, conferences, and significant milestones, available at http://www.archives.gov/open		Implemented and ongoing
53	Make announcements in low-tech and traditional ways (to reach a broad range of citizens, including those without easy access to the Internet)	5-7	Informing the Public
	Update: These announcements are made in traditional ways as needed.		Implemented and ongoing
54	Continue to hold public meetings to facilitate immediate exchange of ideas (such as those held on researcher room changes)	5-7	Informing the Public
	Update: DC-area Researcher Forum meetings have continued on a regular basis. Additional meetings are held as needed.		Implemented and ongoing
55	Make announcements through social media channels (to encourage two-way	5-7	Informing the

	communication with the public)		Public
	Update: The National Archives engages the public on a variety of social media channels, including Facebook, Twitter, and blogs.		Implemented and ongoing
56	Investigate web chat possibilities	5-7	Informing the Public
	Update: The National Archives established a working group to investigate web chat possibilities. This working group continues to explore leveraging tools to facilitate better customer service with NARA's customers.		Implemented and ongoing
57	Send to Congress and the OMB a report related to agency compliance with records scheduling requirements in the Federal Records Act and the E-Government Act of 2002 (based on agency self-assessments carried out in September 2009 and analysis of other data)	6.1	Records Management Across the Gov't
	Update: We have issued the following reports: <ul style="list-style-type: none"> • <u>Records Management Self Assessment 2009 Report</u> – published April 2010 • <u>Records Management Self Assessment 2010 Report</u> – published March 2011 • <u>Records Management Self Assessment 2011 Report</u> – published May 2012 • <u>Preserving the Past to Protect the Future, 2011 Performance and Accountability Report, November 2011.</u> 		Implemented and ongoing
58	Continue to provide electronic records management guidance and best practices for Federal agencies in order to assist them in addressing identified deficiencies	6.1	Records Management Across the Gov't
	Update: In Fiscal Year 2010, NARA issued: <ul style="list-style-type: none"> • Advice on implementing records management requirements of Open Government Directive (OMB M-10-06) <u>NWM 04.2010.</u> • <u>Revised Federal records management regulations.</u> • <u>The Records Control Schedule</u> repository provides access to scanned versions of records schedules, or Standard Forms 115, Request for Records Disposition Authority, developed by Federal agencies and approved by the Archivist of the United States. • <u>NARA Bulletin 2010-03 Flexible Scheduling.</u> This bulletin announced <u>Frequently Asked Questions for additional guidance</u> to agencies that want to create flexible schedules. • <u>Records Management Self - Assessment 2009 Final Report</u> to determine how effective Federal agencies are in meeting the statutory and regulatory requirements for records management during Fiscal Year 2009. • <u>Guidance Concerning Notifications for Previously Scheduled Permanent Records</u> to address the use of notifications when an agency implements electronic recordkeeping for records covered by a previously approved permanent schedule item. This bulletin also provides guidance to agencies concerning the disposal of original hard copy records that have been converted to an electronic format (e.g., by scanning). • <u>Frequently Asked Questions About Media Neutral Schedule Items.</u> In Fiscal Year 2011, NARA issued: <ul style="list-style-type: none"> • <u>Inspection report on Management of Hard Copy Mapping Products in the National Geospatial-Intelligence Agency</u> presenting the findings and recommendations of NARA's inspection of the National Geospatial-Intelligence Agency that was conducted earlier this year on the transfer of permanent hard copy map products to the physical and legal custody of the National Archives. • <u>NARA Bulletin 2011-04, Guidance on Managing Mixed-media Files</u> providing guidance to agencies who frequently manage files with records created or received in more than one type of medium. 		Implemented and ongoing

	<ul style="list-style-type: none"> • <u>Telework Frequently Asked Questions</u> reiterating basic records management guidance from the NARA to agencies and their employees that applies to Federal records in a telework environment. • <u>Records Management Self-Assessment Report 2010</u> to determine how effective Federal agencies are in meeting the statutory and regulatory requirements for records management during Fiscal Year 2010. 		
59	Provide guidance to agency heads regarding the recordkeeping impacts of the use of Web 2.0 technologies	6.1	Records Management Across the Gov't
	<p>Update: In the fourth quarter of Fiscal Year 2010, NARA issued two guidance products related to Web 2.0 technologies:</p> <ul style="list-style-type: none"> • <u>NARA's Report on Federal Web 2.0 Use and Record Value</u>. This web study observed how agencies are using web 2.0 tools to conduct business and identifies characteristics that may affect the value of information created. • <u>Guidance on Managing Records in Web 2.0/Social Media Platforms</u>. This bulletin provides guidance on managing records produced when Federal agencies use web 2.0/social media platforms for Federal business. <p>In 2011, NARA sponsored the <u>American Council for Technology-Industry Advisory Council</u> Collaboration & Transformation (C&T) Shared Interest Group (SIG) <u>Best Practices Study of Social Media Records Policies</u> and hosted a government-wide panel discussion of study participants.</p> <p>In 2012, NARA is developing social media capture best practice guidance as directed by the Archivist in response to <u>GAO 11-605: Federal Agencies Need Policies and Procedures for Managing and Protecting Information They Access and Disseminate</u>.</p>		Implemented and ongoing
60	Provide guidance to agency heads regarding the recordkeeping impacts of Federal use of cloud computing solutions	6.1	Records Management Across the Gov't
	<p>Update: In the fourth quarter of Fiscal Year 2010, NARA issued <u>Guidance on Managing Records in Cloud Computing Environments</u>. This bulletin addresses records management considerations in cloud computing environments and is a formal articulation of NARA's view of agencies' records management responsibilities.</p>		Implemented
61	Take a leadership role in developing cost effective IT solutions to meet the electronic records management challenges of Federal agencies today	6.1	Records Management Across the Gov't
	<p>Update: In October 2010, NARA sponsored the first joint meeting between the CIO Council and the Federal Records Council.</p>		Implemented and ongoing
62	Create annual Archivist Achievement Awards in Records Management to recognize agencies that demonstrate innovation and contribute towards the principles of Open Government	6.1	Records Management Across the Gov't
	<p>Update: NARA continues to recognize agency achievement in records management with the annual Archivist Achievement Awards in Records Management. One factor that goes in consideration for these awards are agencies that demonstrate innovation towards the principles of open government in their records management activities.</p>		Implemented and ongoing
63	Investigate the possibility of developing a FOIA Dashboard	6.2	FOIA - OGIS
	<p>Update: OGIS had initially talked with several agencies including the Department of Justice about developing a FOIA dashboard. DOJ moved ahead on its own with an update of its web site to produce FOIA.gov, which provides access to agencies' Annual FOIA Report data. During this time, NARA has worked in partnership with the Environmental Protection Agency (EPA) and the Department of Commerce to build a multi-agency "FOIA Module." The Module will allow the public to make</p>		Implemented and ongoing

	FOIA requests at one portal; automate FOIA processing and reporting; and store and provide access to FOIA requests and agency responses in a virtual repository. The two efforts are complementary.		
64	Explore other strategies for making information about the FOIA process available to the public and across the Federal government (e.g. access to raw datasets and providing a forum for the public's participation on relevant issues)	6.2	FOIA - OGIS
	Update: See above update for Task #63.		Implemented and ongoing
65	Expand current ERA records management capabilities to 25 Federal agencies in FY2010	6.3	Electronic Records Archives (ERA)
	Update: The Electronic Records Archives (ERA) records management capabilities were expanded to 25 Federal agencies by the end of Fiscal year 2010.		Implemented
66	NARA will assume a leadership role in ensuring that millions of classified records are declassified	6.4	National Declassification Center
	Update: In coordinating and leading inter agency teams established to provide NDC-directed quality assurance equity identification and review on prioritized record series, NDC is successfully working with other government agency partners to resolve identified equities, protect only the most sensitive information, declassify and prepare for release a projected 80% of the backlog classified records held at NARA by the 31 December 2013 deadline.		Implemented and ongoing
67	NDC will accelerate the processing of historically valuable classified records in which more than one agency has an interest	6.4	National Declassification Center
	Update: In fine tuning the processes and risk management strategy introduced during the previous two years, and drastically streamlining data capture, NDC is successfully working with other government agency partners to adjudicate multi-equity documents, while protecting the most sensitive information. Series within the backlog are prioritized for NDC processing based on researcher requests, the significance of the historical topic, and the quality of the earlier review. In addition to our routine high volume processing efforts aimed at retiring the backlog by the mandated due date, we coordinated referral and declassification processing for two additional special collections in 2011: backlog records related to the construction of the Berlin Wall and the full Pentagon Papers. In 2012, we are processing backlog records supporting an additional three topical collections: those related to the Katyn Atrocities, those with information related to POW/MIA concerns, and those related to the Cuban Missile Crises. In addition to improving the review and release process for series of historical records in the backlog, the NDC has improved processes for specific documents requested under FOIA and the MDR provision of E.O. 13526. The new processes have led to better tracking of requests and faster referral to the equity-holding agencies.		Implemented and ongoing
68	NDC will develop common processes among agencies (promote effective, transparent, and standard process, training, and quality assurance measures for declassifying documents)	6.4	National Declassification Center
	Update: In working with our other government agency partners, we are leveraging their expertise in their agency-specific sensitive equity with our own in records management, overall national security information knowledge, and declassification processing as we develop a series of courses aimed at establishing a baseline of review capability and quality common across government. In 2011 we hosted a four-day equity training conference attended by 300 declassification reviewers representing 25 agencies. We are on track for the development of a series of eight courses that would be available government wide.		Implemented and ongoing
69	Federal Register 2.0 - Replace the aging print-centric Federal Register publication	6.5	Federal

	system with a modern Web 2.0 legal information platform		Register
	<p>Update: The proposed action has been largely accomplished with the final migration of all major Federal Register publications to the XML-based Federal Digital System (FDsys), and the development of FederalRegister.gov (Federal Register 2.0). FederalRegister.gov will be presented to the Administrative Committee of the Federal Register for adoption as an official edition under a streamlined procedure (pending completion of notice and comment rulemaking). GPO continues to work on a composition replacement system for modernized printing of Federal Register publications that are still required by law to appear in printed form.</p>		Implemented and ongoing
70	Pursue XML conversion of older Federal Register and CFR data in print code format and develop a digitization strategy for capturing pre-electronic data	6.5	Federal Register
	<p>Update: The proposed action has been completed to the extent practical. CFR data is available in XML from 1996 to present, and Federal Register data is available in XML from 2000 to present. GPO's analysis of 1994-1999 Federal Register print files indicates that documents from that era contain too many coding errors to be converted to XML in a cost-efficient and reliable manner. Converted XML versions would, in many cases, not be true copies of the original printed documents. The OFR determined that distribution of corrupted XML files would not be consistent with our statutory obligation to disseminate complete and authentic editions of the Federal Register. To present a complete and authentic record, FederalRegister.gov displays XML summaries and metadata for pre-2000 documents, with links to the official PDF version on FDsys. The OFR and GPO successfully processed scanned editions of the 1951 through 2002 U.S. Statutes at Large for posting on FDsys.gov. Congressional approval is required for GPO to pursue digitization of pre-electronic Federal Register and CFR material. We are engaged in public outreach to build public support for digitized editions of the Federal Register and CFR.</p>		Implemented and ongoing